



SUSTAINABLE FORESTRY INITIATIVE

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Introduction
(Section 1)
April 15, 2021

SECTION 1 - INTRODUCTION

Why SFI Matters

SFI'S MISSION

is to advance sustainability through forest-focused collaborations.

SFI'S VISION

is a world that values and benefits from sustainably managed forests.

It is critical that we work together to ensure the sustainability of our planet. People and organizations are seeking solutions that not just reduce negative impacts but ensure positive contributions to the long-term health of people and the planet. SFI-certified forests and products are powerful tools to achieve shared goals such as climate action, reduced waste, conservation of biodiversity, education of future generations, and sustainable economic development.

SFI provides practical, scalable solutions for markets and communities working to pursue this growing commitment to a sustainable planet. When companies, consumers, educators, community, and sustainability leaders collaborate with SFI, they are making active, positive choices to achieve a sustainable future.

- Forests certified to SFI are essential to reducing the impacts of climate change because they absorb carbon from the atmosphere at impressive rates and are resilient to climate impacts. This means that SFI-certified companies are helping to mitigate the impacts of climate change through their use of SFI standards.
- SFI-certified forests are sustainably managed to provide habitats for multiple species, including species at risk. SFI standards take a multi-species approach, and SFI-certified companies are held to the highest level of species and habitat conservation.
- There is increasing demand for better packaging. One out of three Americans have actively tried to buy products packaged in something other than single-use plastic. Using the SFI label is a great way to let consumers know that the product comes from a sustainable source.
- There are environmental and economic benefits of building with wood. SFI-certified wood is an environmentally smart choice for construction and renovations because it is a sustainable, natural, and renewable resource. The SFI label means that the forest where the wood comes from is managed sustainably to ensure many benefits, from clean water to wildlife and a range of ecological and ecosystem services.

Standards

People and companies are looking for better solutions to ease pressures on the planet — practical choices that will conserve nature, combat climate change, and cut waste and pollution. Choosing certified sustainable forest products protects species, combats climate change, reduces plastic pollution, and protects water supplies.

SFI standards have become the fastest growing, highly trusted solution in support of a growing need for products from the forest, and in response to the drive to reduce carbon pollution and waste. SFI is working to shape markets today and ensure that properly managed forests will continue to play a crucial role in keeping the planet healthy.

Four Certification Standards

Getting certified to SFI is one of the best things that organizations can do to support the long-term sustainability of forests and ensure the multitude of benefits that forests provide for future generations.

SFI's standards provide an important solution to the long-term sustainability of our forests. With more than 375+0 million acres/150+ million hectares certified by the end of 2020 and tens of millions more positively influenced through fiber sourcing, SFI has the scale and growth trajectory to ensure positive, forest-based outcomes in the marketplace.

- The SFI Forest Management Standard is the largest single forest management certification standard in the world. Among its requirements are measures to protect water quality, biodiversity, wildlife habitat, species at risk, and forests with exceptional conservation value.
- The SFI Fiber Sourcing Standard is designed for manufacturers ~~which-that~~ source from a variety of ownerships, or ~~which-that~~ don't own forestland. It distinguishes SFI from all other forest certification ~~programs-organizations~~ in that it governs how SFI-Certified Organizations procure fiber from non-certified forest landowners in a responsible way, including avoidance of controversial sources in the supply chain.
- The SFI Chain-of-Custody Standard is an accounting system that tracks forest fiber content through production and manufacturing to the end product. This standard also has measures to avoid controversial sources in the supply chain.
- The SFI Certified Sourcing Standard contains the requirements for SFI-Certified Organizations to use the SFI-Certified ~~Sourcing-sourcing~~ claim and label. This standard also has measures to avoid controversial sources in the supply chain.

The SFI Standards require third-party independent certification audits by competent and accredited certification bodies for all four ~~Standardsstandards~~. All certification bodies must be accredited by a member of the International Accreditation Forum — (i.e., ANSI-ASQ National Accreditation Board (ANAB) or the Standards Council of Canada (SCC).

SFI Labels

Once certified, organizations can apply to use SFI on-product labels, which are globally recognized and show customers that products are responsibly sourced. Studies have shown that 52% of consumers are aware of the SFI label and 90% of those, trust it.

The SFI on-product labels provide a tool that allows producers to educate the market and consumers to make responsible purchasing decisions. SFI sourcing solutions, from certification through to the SFI label, provide choices that help support a circular economy, green building, resource renewability, and contribute to a sustainable future.

SFI Chain-of-Custody labels tell the consumer that the fiber in the product is from sustainably managed SFI certified forests and/or that it contains recycled materials. The SFI Certified Sourcing label does not make claims about certified forest content. Rather, it tells the consumer that the fiber in the product was purchased from responsibility managed forestlands. (See ~~For~~ a description of all the ~~SFI on-product labels~~); refer to <https://www.forests.org/labelsandclaims/>

Field Code Changed

Conservation

There is a growing awareness that if we want to grapple with climate change, water quality, waste reduction, and species loss, taking good care of our forests is ~~of~~ fundamental ~~importance~~. Unique among certification standards, SFI mandates innovative and impactful conservation research that builds knowledge and improves forest outcomes. We provide a value-added solution for customers of forest products who want to know that the companies they source from are contributing to conservation results that improve the health of the planet.

SFI's conservation work is inextricably linked with our standards and provides leadership, expertise, and resources in order to measure and scale the conservation outcomes on forestlands influenced by those standards. SFI's conservation approach helps provide solutions to sustainability challenges such as species at risk, migratory bird decline, forest health, and climate change. The ~~SFI~~ Conservation Impact ~~project~~ ~~Project~~ focuses on quantifying the biodiversity maintained and recovered, the water purified, and carbon sequestered on SFI-certified forestlands, and those affected by SFI's sustainable sourcing. This work is guided by a network of conservation leaders and researchers to ensure credibility and transparency. The work is supported by the ~~SFI~~ Conservation Grants Program, which supports independent researchers seeking to improve understanding of the relationship between forest management and important conservation outcomes.

SFI and Climate-~~Smart~~ Forestry

Climate change is consistently identified as a significant threat to the environment, business, and our collective way of life. Forests are universally cited as an essential nature-based solution because forests and forest products provide a significant opportunity to counter the impacts of climate change ~~through-by~~ sequest~~er~~ing~~ation~~ and stor~~ing~~age~~-of~~ carbon.

Through our standards, our conservation impact work, our environmental education, and our extensive network, SFI has the scale to make a difference on climate change. ~~SFI-e~~Certified

Organizations act as a driving force in addressing climate change impacts through sound, science-based natural resource management. SFI is in a strong position to elevate the role of sustainable forests in addressing climate change, due to our global reach and our focus on communicating the important role of forests play in relation to ~~relevant~~ critical global issues.

SFI and Conservation Impact

The motivations to measure conservation values are diverse: brand owners seek to understand the impact of their raw materials sourcing; conservation stakeholders can engage more effectively if they understand the values that certification can provide; and improved tracking will better equip SFI to provide sustainability related metrics, contribute meaningfully to conservation outcomes, and to ensure continual improvement.

For guidance on this work, SFI has convened a diverse group of scientists, drawn from academia, public agencies, the non-profit conservation community, SFI Certified Organizations and SFI leadership. ~~This~~ The “Conservation Impact Sounding Board” helps ensure transparency and provides direct input into conservation project development. The Sounding Board relies on ~~is~~ an open process which ~~that~~ helps shape this important work and promotes interaction between project leaders and experts from a diverse variety of backgrounds.

Community

Communities rely on forests for jobs and economic development, recreational benefits, and human health. These links between people and forests have always been important but are even more relevant in an increasingly connected and changing world. Our work is focused on nurturing a positive relationship between people who live near and work in forests, and the goals of a sustainable marketplace and healthy forests.

SFI works to promote the value of sustainable forests and build meaningful relationships in the communities where we operate. Our network helps drive our success by facilitating forest-focused collaborations that make an impact. Through our network we engage collaboratively on issues such as logger training, green career pathways, and Indigenous relations.

Thirty-four SFI Implementation Committees, that engage at the state, provincial or regional level work with local, forestry, and professional associations, universities, government agencies, landowner groups, conservation groups, and many others to promote SFI standards as a means to broaden the practice of responsible forestry and achieve on-the-ground progress. SFI is committed to building and promoting forest-focused collaborations rooted in recognition and respect for Indigenous Peoples’ rights and traditional knowledge. Through networks and partnerships, we work across diverse communities, from urban to rural, to advance awareness of the social and health benefits of sustainable forests. The SFI Community Grants Program promotes collaboration within the SFI Network-network to support local communities’ understanding of the value and benefits ~~from~~ of sustainably managed forests.

Indigenous Relationships

At SFI we respect the rights of Indigenous Peoples and believe our shared quality of life improves when forests are sustainably managed for current and future generations. These shared values allow for a strong and multi-faceted link between SFI and Indigenous communities across Canada and the U.S. SFI partners with leading organizations like the Canadian Council for Aboriginal Business and Habitat for Humanity Canada’s Indigenous Housing Partnership.

The SFI 2022 Forest Management Standard is aligned with Indigenous values, including rights, knowledge, and environmental considerations. The SFI 2022 Forest Management Standard recognizes and integrates the principles outlined in the United Nations Declaration on the Rights of Indigenous Peoples, including the right to determine and develop priorities and strategies for the development or use of their territories. In adopting the SFI 2022 Forest Management Standard, ~~Certified Organizations~~ ~~SFI-certified organizations~~ commit to building meaningful relationships with Indigenous Peoples, grounded in respect for their unique rights, traditional knowledge, representative institutions, and distinctive relationships with the forest. This includes training for personnel and contractors so that SFI-~~c~~ Certified organizations are competent to fulfill their responsibilities with respect to Indigenous Peoples rights, as they apply within each ~~SFI~~ Certified Organization's operating jurisdiction and tenure type.

Education

Building a next generation of leadership that will take responsibility for solving environmental challenges and market needs is one of the best investments a society can make. Project Learning Tree and Project Learning Tree Canada are initiatives of SFI. They advance environmental literacy, stewardship, and career pathways using trees and forests as windows on the world.

Project Learning Tree

Project Learning Tree (PLT), SFI's environmental education program, educates teachers, community leaders, and youth about forests and the environment. PLT believes that through environmental education we can develop a new generation of leaders and environmental stewards prepared with the knowledge and skills to address complex environmental issues. Environmental education grows the ability of our youth to think critically, solve problems, and make informed decisions. It encourages youth to take action to keep our natural world healthy, our economies productive, and our communities prosperous and vibrant.

Since its inception, PLT has engaged in thousands of partnerships, including the North American Association of Environmental Education, the US Environmental Protection Agency, the US Bureau of Land Management, USDA Forest Service and the Corporation for National and Community Service. PLT operates programs that are locally relevant, impactful, and have measurable multiplier effects and SFI is always looking for new ways to spread the reach of PLT through strategic partnerships and joint initiatives.

Project Learning Tree Canada

PLT Canada believes in a society that values and benefits from sustainably managed forests and the great outdoors. PLT Canada is committed to using the outdoors to engage youth in learning about the world around them — in rural, Indigenous, and urban communities — and advancing environmental literacy, stewardship, and career pathways using trees and forests as windows on the world.

Since 2018, PLT Canada has placed youth in over 3,000 Green Jobs and supported over 200 employers with wage matching across the country. These young people have gained valuable

experience that will help them pursue careers as foresters, wildlife biologists, Indigenous knowledge coordinators, hydrologists, park rangers, and much more. Notably, in a traditionally male-dominated sector, PLT Canada has achieved gender balance in job placements. PLT Canada provides important support to Indigenous youth and others facing employment barriers.

Project Learning Tree Canada offers a 50% wage match to employers hiring youth into forest, conservation, and parks jobs. The jobs inspire leadership in forest stewardship, foster a passion for science-based research and education, and help youth gain skills and experience so they can transition successfully into future job markets. Green Jobs are considered positions that contribute positively to increasing sustainability in the forest, conservation, and parks sectors.



**SFI 2022 Forest Management Standard
(Section 2)
April 15, 2021**

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1. General

1.1 Scope

What the Forest Management Standard Does

The *SFI 2022 ~~15-2019~~ Forest Management Standard* promotes *sustainable forestry practices* based on 13 *Principles*, 175 *Objectives*, 4137 *Performance Measures* and 1,1401 *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 2022 ~~15-2019~~ Forest Management Standard* applies to any *Certified Organization* that owns or has management authority for forestlands.

Geographic Application of the Forest Management Standard

The *SFI 2022 ~~15-2019~~ Forest Management Standard* applies to organizations in the United States and Canada.

1.2 Additional Requirements

Certified Organizations 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 2022 ~~15-2019~~ Fiber Sourcing Standard*.

Use of the *SFI ~~on-product~~ Product* labels and claims shall follow Section 65 — 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 17021:20151 — 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 87 — SFI Policies
- iv. Section 109 — SFI 2015-2019 Audit Procedures and *Auditor* Qualifications and Accreditation
- v. Section 110 — Communications and Public Reporting
- vi. Section 143 — SFI Definitions

vii. Interpretations for the Requirements for the SFI 2022~~15-2019~~ 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 14~~3~~).

Informative References

- i. ISO 14001:201~~504~~ Environmental Management Systems — Specification with guidance for use
- ii. PEFC ST 1003:201~~80~~ Sustainable Forest Management Requirements, November 2~~86~~, 201~~80~~
- iii. PEFC ST 1002:201~~80~~ Group Forest Management Certification, November 2~~86~~, 201~~80~~
- iv. Section 7~~6~~ — Guidance to SFI 2022~~15-2019~~ Standards
- v. Section 9~~8~~ — SFI Standards Development and Interpretations Process
- vi. Section 12~~1~~ — Public Inquiries and Official Complaints
- vii. Section 13~~2~~ — Optional Modules

1.4 Forest Management Standard Principles

~~SFI Program Participants~~ *Certified Organizations* 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* on forestland they *manage and* promote it on other lands. They support efforts to *safeguard protect* private property rights, and to help all private landowners manage their forestland sustainably. In keeping with this responsibility, *Certified Organizations* ~~SFI Program Participants~~ shall have a written *policy* (or *policies*) to implement and achieve the following *principles*:

Commented [SFI 1]: Edit to expand beyond private forest land to reflect public forest tenures.

1. Sustainable Forestry

To practice *sustainable forestry* ~~means to~~ meeting the needs of the present *while promoting 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 for the provision of ecosystem services* such as the *conservation* of soil, air and water quality *and quantity*, *climate change adaptation and mitigation* ~~carbon~~, *biological diversity*, *wildlife* and *aquatic habitats*, recreation and aesthetics.

Commented [SFI 2]: Linkage to the new Objective 9 – Climate Change Adaptation and Mitigation

2. Forest Productivity and Health

To provide for regeneration after harvest, *and* maintain the *health and* productive capacity of the forest land base, and to *protect* and maintain *long-term forest and* soil *health and productivity*. In addition, to *protect* forests from economically, *or* environmentally *or socially* undesirable *impacts* ~~levels~~ of wildfire, pests, diseases, *invasive exotics* ~~species 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* and maintain the water quality and quantity of water bodies and *riparian areas*, and to conform with forestry *best management practices* to *protect* water quality, ~~and quantity, to~~ meet the needs of both human communities and ecological systems.

4. Protection of Biological Diversity

To manage forests in ways that *protect* and promote *biological diversity*, including animal and plant species, *wildlife habitats*, *ecologically and culturally important species*, *threatened and endangered species* (i.e., *Forest with Exceptional Conservation Values*) and *native forest cover types at multiple scales* 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.

Commented [SFI3]: Edit to retain P6 with edit to align with inclusion of 'ecologically important' in P4.

~~7. Responsible Fiber Sourcing Practices in North America~~

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

Commented [SFI4]: Now addressed in P. 12.

7.8. Legal Compliance

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

8.9. Research

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

Commented [SFI 5]: Edit broadens the scope of what is being considered for research.

9.10. Training and Education

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

~~10.11. Community Involvement and Social Responsibility, and Respect for Indigenous Rights~~

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*.

11.2. Transparency

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

12.3. Continual Improvement

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

13.2. Responsible Fiber Sourcing

To use and promote sustainable forestry across a diversity of ownership and management types in the United States and Canada that is both scientifically credible and socially, environmentally, and economically responsible; and to avoid sourcing from controversial sources both domestically and internationally. 1.5 Forest Management Standard Objectives

Commented [SFI6]: New Principle to align with new Objective which applies in the U.S., Canada and internationally.

A Summary of the *SFI 2022-2019 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 or afforestation of ecologically important areas.

Commented [SFI7]: Conversion and Afforestation Subgroup edit.

Why it Matters: Ensures that we grow more trees than we harvest, guaranteeing that forests will last for future generations.

Commented [SFI8]: Why It Matters statement – each Objective has a corresponding statement.

Objective 2. Forest Health and Productivity

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

Commented [SFI9]: Topic now addressed in Objective 9.

Commented [SFI10]: Oct 15 TG edit.

Why it Matters: Ensures that forests remain healthy and resilient which means better forest productivity including providing a reliable and renewable source of sustainably managed fiber for consumer products.

Objective 3. Protection and Maintenance of Water Resources

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

Commented [SFI11]: Forest Conservation Subgroup edit.

Why it Matters: Protects water quality and quantity helps provide safe and abundant drinking water for all.

Objective 4. Conservation of Biological Diversity

To maintain or advance ~~manage the quality and distribution of wildlife habitats and contribute to the conservation of biological diversity at the by developing and implementing stand- and landscape-level and across~~ measures that promote a diversity of types of forest and vegetation cover types habitats and successional stages including, ~~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.~~

Commented [SFI12]: Forest Conservation Subgroup edit.

Why it Matters: Ensures that forests are managed to protect wildlife habitat and conserve biological diversity.

Objective 5. Management of Visual Quality and Recreational Benefits

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

Why it Matters: Ensures that the public can continue to enjoy the aesthetic values and recreation opportunities of forests.

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.

Why it Matters: Protects special sites that have important geological or cultural values.

Objective 7. Efficient Use of Fiber Resources

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

Why it Matters: Ensures the economic well-being of communities that live and work near forests.

Objective 8. Recognize and Respect Indigenous Peoples' Rights

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

Why it Matters: Recognizing and respecting the *Indigenous Peoples'* rights supports relationship building and shared benefits from sustainably managed forests.

Objective 9: Climate Smart Forestry

To ensure forest management activities address climate change adaptation and mitigation measures.

Why it Matters: Ensures that SFI-certified forests make an important contribution to addressing the effects of climate change.

Objective 10. Fire Resilience and Awareness

To limit susceptibility of forests to undesirable impacts of wildfire and to raise community awareness of fire benefits, risks, and minimization measures.

Why It Matters: Ensures that forests are managed proactively relative to fire risk in the face of climate change, so that they can continue to store carbon, provide *habitat* for *wildlife*, and are a source of clean air and water while protecting public safety and human health.

Objective 11. Legal and Regulatory Compliance

To comply with all applicable laws and regulations including, international, federal, provincial, state, and local. ~~laws and regulations.~~

Why it Matters: Compliance with all laws ensures the protection of the environmental and social values of forests.

Objective 12. 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.~~

Why it Matters: -Forest research means healthier, more productive forests.

Commented [SFI13]: Forest Conservation Subgroup edit

Commented [SFI14]: The new Climate Change Objective captures the intent of this requirement.

Objective 131. Training and Education

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

Why it Matters: -Training and educating foresters means forest management plans are more accurately implemented, ensuring the well-being of our forests.

Objective 142. 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*.

Why it Matters: Outreach and education improves the public's understanding of how important sustainable forestry is to local and global issues.

Objective 153. Public Land Management Responsibilities

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

Why it Matters: Protects the environmental, social, and economic values of public forests.

Objective 164. Communications and Public Reporting

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

Why it Matters: Reporting the results of third-party audits increases the public's understanding of forest certification.

Objective 175. Management Review and Continual Improvement

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

Why it Matters: Encourages continual improvement of sustainable forestry practices, a cornerstone of sustainable forestry.

1.6 SFI 2022 15-2019-Forest Land Management Requirements

Objective 1. Forest Management Planning

To ensure forest management plans include *long-term* sustainable harvest levels and measures to avoid forest conversion or afforestation of ecologically important areas.

Performance Measure 1.1. Certified Organizations ~~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:

Commented [SFI 15]: Edit to reflect incorporating the topic of afforestation in Obj 1, moving it from Obj 2.

- 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 and use of 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. consideration a review of non-timber issues such as (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).
- j. consideration of bioenergy feedstock production;
- k. consideration of pilot projects and economic incentive programs to promote water protection, carbon storage, or biological diversity conservation, or to address climate-induced ecosystem change);

Commented [SFI 16]: Edit to recognize use of G&Y modeling.

Commented [SFI17]: Edit to retain the existing requirement making the edit to replace 'review' with 'consideration' and e.g. with 'such as'.

Commented [SFI18]: Removing j. and k. in keeping with the edit above to revert to existing text for 1.1.1 i.

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 is used to determine annual and/or periodic harvest levels.

Commented [SFI 19]: Edit to link forest inventory to harvest level determination.

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 forest land ownership and tenure, or *forest health*.

5. Documentation of forest management practices (such as: *planting*, fertilization and thinning) consistent with assumptions in harvest plans.

6. Assessment of the local or regional social, environmental, and economic effects impacts of forest management operations contained in the forest management plan, and consideration of how the results can be incorporated into the forest management plan.

Commented [SFI 20]: Edit to clarify the intended scale of the assessment.

Commented [SFI 21]: Edit addressing how the results of an assessment could be incorporated in the management plan.

Commented [SFI 22]: This was an interpretation which is now incorporated into the Standard. (Interpretation #2, Part 1).

Performance Measure 1.2. *Certified Organizations Program Participants* shall not convert one *forest cover type* to another *forest cover type*, unless type unless an assessment has been conducted to determine ecological impacts and provide appropriate justification, ied circumstances

Indicators:

1. *Certified Organizations Program Participants* shall not convert one *forest cover type* to another *forest cover type*, unless the conversion:
 - a. does not convert native forest cover types that are rare, ecologically important, or which that put any native forest cover types at risk of becoming rare; i is in compliance with relevant national and regional policy and legislation related to land use and forest management; and
 - b. does not create significant long-term adverse impacts on Forests with Exceptional Conservation Value, old growth forests, forest critical to threatened and endangered

Commented [SFI 23]: Edit to remove "long term" as significant impacts could occur sooner than 1 economic rotation which is the definition of "long term".

Keeping "long term" could be interpreted to mean near term outcomes for maintaining native forts types and ecological function are not important.

~~species, or special sites or ecologically important non-forest eco-systems; 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~~

Commented [SFI 24]: Edit to reference to ecologically important non-forest ecosystems.

- ~~c. includes objectives for long-term outcomes that support maintaining native forest cover types and ecological function; and 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.~~
- ~~d. is in compliance with relevant national and regional policy and legislation related to land use and forest management.~~

2. ~~Any proposed conversion deemed appropriate per 1.2.1, and which has considered impacts relative to scale, may be implemented subject to~~Where a Program Participant intends to convert another forest cover type, ~~an a landscape~~ assessment that considers:

Commented [SFI 25]: Edit clarifying that the assessment is at the landscape level.

- ~~a. a response to address forest health issues such as pests or pathogens, or proactive consideration of anticipated impacts of fire or climate change, reforestation challenges, or riparian protection needs, provided that such justification is supported by the best scientific information; credible science, Productivity and stand quality conditions and impacts which may include social and economic values;~~
- ~~b. site productivity, economics, and/or stand quality. Specific ecosystem issues related to the site such as invasive species, insect or disease issues, riparian protection needs and others as appropriate to 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; and~~
- ~~d. appropriate consultation with local communities, Indigenous Peoples, and other stakeholders who could be affected by such activities.~~

Performance Measure 1.3. ~~Certified Organizations 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.

Indicator:

1. Forest lands converted to other land uses shall not be certified to this SFI ~~Standard~~standard. This does not apply to forest lands used for forest and wildlife management such as wildlife food plots or infrastructure such as forest roads, log processing areas, trails, etc.

Performance Measure 1.4. ~~Certified Organizations~~ shall not afforest in locations which negatively impact ~~ecologically important natural communities, threatened and endangered species, or native natural communities~~ which could be at risk of becoming rare.

Indicator:

1. Any afforestation activity must include an evaluation of the proposed site to determine the presence of:
- ~~a. ecologically important natural communities, or~~
 - ~~b. threatened and endangered species, or~~
 - ~~c. native natural communities which that could be at risk of becoming rare.~~
2. Afforestation shall not occur on that location if the evaluation determines a negative impact to the presence of:
- ~~a. ecologically important natural communities, or~~

- b. *threatened and endangered species, or*
- c. *native natural communities which could be at risk of becoming rare.*

Commented [SFI 26]: New Performance Measure to address the topic of afforestation more thoroughly.

Objective 2. Forest Health and Productivity

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

Commented [SFI27]: Item now addressed in Objective 9.

Commented [SFI28]: TG edit – Oct 15.

Performance Measure 2.1. *Certified Organizations* ~~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 native or non-invasive naturalized exotic tree species are preferred. In exceptional circumstances where exotic tree species are being planted, they should not increase minimize risk to native ecosystems.*
4. *Protection of desirable or planned advanced natural regeneration during harvest.*

Commented [SFI29]: Revised as per Tsk Group discussion. Edit recognizes that SFI-certified organizations should plant either native or naturalized tree species.

~~5. Any planned Afforestation activity should include an evaluation a plan programs that considers potential ecological impacts of the selection and planting of tree species in non-forested landscapes.~~

Commented [SFI 30]: Afforestation now has its own PM – PM 1.4.

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

Indicators:

1. *Pest management shall be implemented through the use of integrated pest management shall be preferred.*
2. *Minimized chemical use required to achieve management objectives.*
3. *Use of least-toxic and narrowest-spectrum pesticides necessary to achieve management objectives.*
4. *Use of pesticides registered for the intended use and applied in accordance with label requirements.*

Commented [SFI 31]: Definition of 'integrated pest management' was edited to align with PEFC's definition which is adopted from FAO. Section 13 reflects this edit.

Commented [SFI32]: Edit to improve auditability of the requirement – 'shall be preferred' is subjective and hard to audit.

5. The World Health Organization (WHO) type 1A and 1B pesticides shall be prohibited, except where no other viable alternative is available.
6. Use of pesticides banned under the Stockholm Convention on Persistent Organic Pollutants (2001) shall be prohibited.
7. Supervision of forest chemical applications by state- or provincially-trained or certified applicators.
8. Use of management practices appropriate to the situation, ~~for examples such as:~~
 - 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 ~~limit~~ *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. *use of spill response plans and chemical spill kits;*
 - ji. filing of required state or provincial reports; and/or
 - kj. use of methods to ensure *protection of threatened and endangered species.*

Commented [SFI 33]: New sub indicator to reference spill prevention.

Performance Measure 2.3. *Certified Organizations* ~~Program Participants~~ shall implement ~~forest management~~ practices ~~which that to protect~~ and maintain forest and soil *productivity and soil health.*

Commented [SFI 34]: Task Group determined that a new term 'soil health' should be adopted to highlight values in the soil other than the soils ability to grow trees.

soil health: the continued capacity of soil to function as a vital living ecosystem that sustains plants, animals, and humans. (USDA)

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 *impacts to* site *productivity.*
3. Post-harvest conditions conducive to maintaining site *productivity* (~~such as: e.g., limited rutting,~~ retained down woody debris *and minimized skid trails*).
4. Retention of vigorous trees during partial harvesting, consistent with scientific silvicultural standards for the area.
5. *Criteria-Practices* that address harvesting and site preparation to *protect* soil *productivity and soil health.*
6. Road construction, ~~and~~ skidding layout, ~~and harvest plans designed~~ to *minimize* impacts to soil *productivity and soil health.*

~~7. Protection of residual trees from material damage resulting from harvesting, stand tending, road or trail construction or construction of in woods log processing areas:~~

Commented [SFI35]: Subgroup determined that existing requirements in Obj 2, 3 & 4 meet the intent.

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

Commented [SFI 36]: Edit to add clarity – some amount disturbance can be beneficial from a biodiversity perspective.

Indicators:

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

Performance Measure 2.5. ~~Certified Organizations 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 ~~and water quantity~~ of rivers, streams, lakes, ~~wetlands~~, and other water bodies, ~~through meeting or exceeding best management practices~~

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

Commented [SFI37]: Subgroup edit – water quantity now addressed in PM 3.2.

Commented [SFI38]: TG edit Oct 15.

Indicators:

1. ~~Program~~ to implement federal, ~~state~~, or provincial water quality ~~best management practices~~ during all phases of management activities.

~~2. Program to implement federal, state or provincial water quantity regulatory requirements and best management practices during all phases of management activities.~~

Commented [SFI39]: Sept 23 call – decided to move to PM 3.2 where other water protections will be address in one PM.

2. Contract provisions that specify conformance to ~~best management practices~~.
3. Monitoring of overall ~~best management practices~~ implementation.

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

Commented [SFI 40]: Edit to add 'climate' to list of factors.

Indicators:

1. Program addressing management and protection of ~~water quality and quantity 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. ~~Program to protect water quantity during all phases of management. 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. Programs that address wet-weather events in order to maintain water quality such as: forest inventory systems, identification of wet-weather tracts and definitions of acceptable operating conditions.

Commented [SFI41]: Sept 23 call – new Water Quantity indicator.

Objective 4. Conservation of Biological Diversity

To ~~maintain or advance~~ ~~manage the quality and distribution of wildlife habitats and contribute to the conservation of biological diversity at the~~ ~~by developing and implementing stand- and landscape-level and across measures that promote a diversity of types of forest and vegetation cover types~~ ~~habitats~~ and successional stages ~~including~~ ~~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. ~~Certified Organizations~~ ~~Program Participants~~ shall conserve biological diversity.

Indicators:

1. Program to incorporate the conservation of ~~native~~ biological diversity, including ~~native~~ species, ~~wildlife habitats~~ and ecological community types at ~~stand~~ and ~~landscape~~ levels, ~~through the use of best scientific information including the incorporation of research results.~~
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. ~~Program to individually and/or~~ through cooperative efforts such as ~~SFI Implementation Committees~~, support ~~diversity of native forest cover types~~ and age or size classes that ~~enhance native biological diversity, by incorporating the results of analysis of documented diversity at landscape and ownership/tenure levels, to ensure the contribution of the managed area to the diversity of conditions that promote biodiversity.~~
~~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. ~~Certified Organizations~~ ~~Program Participants~~ shall ~~individually and/or through cooperative efforts such as SFI Implementation Committees~~, participate in or incorporate the results of ~~credible, relevant~~ state, provincial, or regional ~~conservation~~ planning and priority-setting efforts to conserve biological diversity and ~~incorporate the results of~~ ~~consider~~ these efforts in forest management planning. ~~Examples of credible priority-setting efforts include state~~

Commented [SFI 42]: The use of “native” has been moved this sentence because it does not apply to the term or concept of “biodiversity”. Biodiversity is the variety and variability of life on Earth, typically measured as the variation at the genetic, species, and ecosystem level. As such it does not have a locality. The term “native” is better applied to species, or biota, or flora and fauna, e.g. the black spruce is a native species of the boreal forest.

Commented [SFI43]: Use of ‘native’ incorrectly included here.

Commented [SFI 44]:
Guidance developed to clarify and offer examples of conditions that can affect biodiversity by virtue of condition, age and/or size classes.

Commented [SFI45]: Edit to call out option for cooperatively addressing this requirement.

Commented [SFI 46]: Edit for more specificity.

Commented [SFI 47]: Guidance developed relative to incorporating results into forest management planning.

and provincial wildlife action plans, state forest action plans, relevant habitat conservation plans, or provincial wildlife recovery plans, Indigenous planning processes or ecoregional plans.

Commented [SFI 48]: Edit to recognize Indigenous planning processes as one of the “credible priority setting efforts”.

5. Program to address conservation of ~~known sites with viable occurrences of significant species of concern~~, ecologically important species and natural communities, including those that are locally rare.

Commented [SFI 49]: Guidance developed to clarify the relationship between the new term “ecologically important” and the concept of “viable occurrences of significant species of concern”, essentially an effort to make language more clear and consistent. Guidance includes attention to species that are vulnerable and/or locally rare.

6. Identification and protection of non-forested wetlands, including bogs, peatlands, fens and marshes, and vernal pools ~~that are ecologically important of ecological significance~~.

Commented [SFI50]: Locally rare was intended to be addressed through guidance as a suggested way to determine species that are “ecologically important” in the guidance.

7. Participation in programs and demonstration of activities as appropriate to limit the introduction, spread and impact of ~~invasive species exotic plants and animals~~ that directly threaten or are likely to threaten native plant and animal communities.

Commented [SFI 51]: Edit to include peatlands.

8. Consider the role of natural disturbances, including opening size, structural retention, the use of prescribed or natural fire where appropriate, and ~~forest health~~ threats in relation to biological diversity when developing forest management plans.

Commented [SFI 52]: Guidance was developed to clarify the relationship between these wetland areas the concept of “natural communities”.

Commented [SFI 53]: Edit to use the new terminology.

Performance Measure 4.2. Certified Organizations Program Participants shall protect threatened and endangered species, ~~critically imperiled and imperiled species, and natural communities~~ (Forests with Exceptional Conservation Values (FECV)), and old-growth forests.

Commented [SFI54]: Edit to give more specificity to the Indicator. The idea that historic natural disturbance be used as more of a guide in management planning.

Indicators:

1. Program to protect threatened and endangered species.
2. Program to locate and protect known sites flora and fauna associated with viable occurrences of ~~critically imperiled and imperiled species and~~ ecological communities, defined also known as Forests with Exceptional Conservation Value. Programs for protection may be developed independently and/or through cooperative efforts involving SFI Implementation Committees and may include Certified Organization Participant-managers of SFI-certified organizations, 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.

Commented [SFI55]: Deletion of plans made because programs is understood to be more action oriented and typically requires a plan to implement so is redundant.

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

Commented [SFI 56]: ‘to protect’ added here in the PM to strengthen the requirement for protection of ecologically important sites.

Indicators:

1. Use of information such as existing NatureServe or 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. Certified Organizations Program Participants shall apply knowledge gained through research, science, technology, ~~and~~ field experience, and the results

of monitoring of the effectiveness of conservation-related programs to manage *wildlife habitat* and contribute to the *conservation of biological diversity*.

Commented [SFI 57]: Edit to incorporate the results of monitoring of conservation related programs.

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, *statestate* or provincial heritage *programs*, or other *credible-reputable systems organizations*. Such participation may include providing non-proprietary scientific information, *time*, and assistance by staff, or in-kind or direct financial support.
2. A *program methodology* to *program to* incorporate *data collected*, research results and field applications of *biodiversity* and ecosystem research into forest management decisions.
3. *Individually or collaboratively participate in or support research that demonstrates clarifies the conservation outcomes resulting from management strategies.*

Commented [SFI 58]: Edited language is more consistent with the examples... (organizations vs. systems).

Commented [SFI 59]: Edit to use the defined term "program".

Commented [SFI60]: Subgroup edit – *demonstrate* is more action oriented.

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 Organizations* ~~*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 Organizations* ~~*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 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 Organizations* ~~*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-three~~ years old or ~~5-five~~ 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 Organization-Program-Participant~~.

Performance Measure 5.4. ~~Certified Organizations-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. ~~Certified Organizations-Program-Participants~~ shall ~~have a program to~~ identify *special sites* and manage ~~and protect~~ them in a manner appropriate for their unique features.

Commented [SFI 61]: Edit to call out protection of special sites.

Indicators:

1. Use of information such as existing natural heritage data, expert advice or ~~stakeholder consultation, or consultation with Indigenous Peoples~~ 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. ~~Certified Organizations-Program-Participants~~ shall employ appropriate forest harvesting technology and in-woods manufacturing processes ~~and practices to~~ minimize waste and ensure efficient utilization of ~~forest resources harvested trees~~, where consistent with other *SFI Standard objectives*.

Commented [SFI 62]: Clarifying edit to expand the focus of efficient utilization beyond just "harvested trees".

Indicator:

1. *Program* or monitoring system to ensure efficient utilization, ~~which may include using~~ provisions ~~such as to ensure~~:
 - a. management of harvest residue (~~such as: e.g.,~~ slash, limbs, tops) considers economic, social and environmental factors (~~such as 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. exploration of markets for underutilized species and low-grade wood and alternative markets (~~such as 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. *Certified Organizations*~~Program Participants~~ shall recognize and respect *Indigenous Peoples'* rights.

Indicators:

1. ~~Certified Organizations~~ *Program Participants* ~~will shall develop and implement -provide~~ a written *policy* acknowledging a commitment to recognize and respect the rights of *Indigenous Peoples*. ~~This policy shall provide reference to a program that includes:~~
 - a. ~~use of available resources and information to identify the Indigenous Peoples whose rights may be affected by the Certified Organization's forest management activities.~~
 - b. ~~recognition of the established framework of legal, customary, and traditional rights such as outlined in:~~
 - i. ~~the UN Declaration on the Rights of Indigenous Peoples; and/or~~
 - ii. ~~federal, provincial, and state laws and regulations; and/or~~
 - iii. ~~treaties, agreements or other constructive arrangements among governments and Indigenous Peoples.~~
 - c. ~~appropriate training of personnel and contractors so that the Certified Organization is competent to fulfill their responsibilities under Objective 8 of the Forest Management Standard.~~

2. ~~The written policy shall be publicly available.~~

Performance Measure 8.2. *Certified Organizations*~~Program Participants~~ with forest management responsibilities on public lands shall confer with ~~affected~~ *Indigenous Peoples* ~~whose rights may be affected by~~ ~~with respect to sustainable~~ the *Certified Organization's* forest management practices.

Indicator:

1. *Program* that includes communicating with affected *Indigenous Peoples* to enable *Program Participants*~~Certified Organizations~~ 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;~~
 - d. ~~communicate through processes that respect their representative institutions, using appropriate protocols;~~
 - e. ~~provide opportunities to review forest management plans and forest management practices; and~~
 - f. ~~respond to Indigenous Peoples' inquiries and concerns received.~~

Performance Measure 8.3. *Certified Organizations*~~Program Participants~~ are encouraged to communicate with and shall respond to ~~local~~ *Indigenous Peoples* ~~whose rights may be affected~~

Commented [SFI63]: Edit to clarify intent.

Commented [SFI64]: Decision to delete after RC discussion. Instead edit n Guidance will clarify the intent of the Indicator.

Commented [SFI65]: Edit to clarify intent.

Commented [SFI66]: Decision to delete after RC discussion. Instead edit n Guidance will clarify the intent of the Indicator.

Commented [SFI 67]: This was an interpretation which is now incorporated into the Standard. (Interpretation #1, Part 1).

Commented [SFI 68]: Guidance updated to reflect the need to share management plans in a non-technical format.

by with respect to sustainable forest management practices on ~~the Certified Organization's~~ their private lands.

Commented [SFI 69]: Edit for clarity.

Indicators:

1. *Certified Organizations 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. Climate Smart Forestry.

To ensure forest management activities address climate change adaptation and mitigation measures.

Performance Measure 9.1—*Certified Organizations* shall individually and/or through cooperative efforts involving *SFI Implementation Committees* or other partners ~~develop a program to~~ identify and address the climate change risks to forests and forest operations and develop appropriate adaptation objectives and strategies. *Strategies are based on best scientific information, based on analysis of available regional climate models, research, and scenario analysis.*

Commented [SFI70]: Edit to highlight a potential role for SICs as an example of cooperative efforts.

Commented [SFI71]: Recommended edit to remove “develop a program” as PM requires more than just developing a program.

Commented [SFI 72]: Subgroup edit for clarity.

Indicators:

1. Based on *best scientific information*, *-Certified Organizations* shall identify climate change risks and prioritize them based on the likelihood, nature, ~~severity and longevity~~ of their expected impact to their forest lands or forest tenures.
2. *Certified Organizations* shall develop an adaptation plan to address priority climate change risks, via effective implementation of the *SFI 2022 Forest Management Standard* requirements for ~~which considers approaches for potential adaptive management including:~~
 - a. periodic updates of forest inventory and recalculation of planned harvests ~~as appropriate~~ to account for changes in growth due to productivity increases or decreases, including improved data, *long-term* drought, fertilization, climate change, or *forest health*; ~~shifting southern latitude seed zones incrementally northward and upward in elevation, as appropriate, to account for predicted warming;~~
 - b. access to *growth and yield modeling* capabilities ~~silvicultural activities to limit the impacts from wildfire, disease or forest pests;~~ and
 - c. documented harvest trends within *long-term* sustainable levels identified in the forest management plan, and
 - d. appropriate research, testing, *evaluation*, and deployment of *improved planting stock*, including *varietal seedlings*.
3. *Certified Organizations* shall document how their adaptation plan objectives and strategies fit ~~within broader regional climate adaptation strategies and plans, where they exist.~~
4. *-Certified Organizations* shall report annually to SFI Inc. their progress towards achieving climate change adaptation strategies and plans.

Commented [SFI73]: Edit to include severity of impacts in list of factors.

Commented [SFI74]: Edit to link the need for an inventory update with changes in G&Y where the data is adequately calibrated.

Commented [SFI75]: Edit to call out existing elements in the FM Standard that help contribute to an adaptation plan.

Commented [SFI76]: New Indicator for reporting progress to SFI Inc.

-Performance Measure 9.2. *Certified Organizations shall have a program to individually and/or through cooperative efforts involving SFI Implementation Committees or other partners identify and address opportunities to mitigate for the effects of climate change mitigation associated with its forest operations on climate change.*

Commented [SFI77]: Edit to remove “develop a program” as PM requires more than just developing a program.

Commented [SFI78]: Edit to highlight a potential role for SICs as an example of cooperative efforts.

Commented [SFI79]: Edit to add specificity to the desired outcome for PM 9.2.

Commented [SFI80]: Edit Jan 12 Task Group call.

Indicators:

1. *Based on best scientific information, Certified Organizations shall identify and address opportunities to enhance the climate benefits associated with forest management operations carbon sequestration on the forests they own or manage via effective implementation of the SFI 2022 Forest Management Standard requirements considering factors such as including:*

- a. *Objective 2 – Forest Health and Productivity; Objective 10 – Fire Smart Forestry; and/or other silvicultural or operational practices to enhance the climate benefits associated with the forest operations. improved growth rates toward the enhancement of forest carbon pools (e.g., through improved seed selection, plantation survival, stocking levels, choice of species, thinning, competition reduction, fertilization); and;*
- b. *protection of forests from the impacts from more frequent of wildfire, disease, or forest pest outbreaks as per Performance Measure 2.4. Silvicultural activities to limit the impacts practices, as appropriate.*

Commented [SFI81]: Edit to call out existing elements in the FM Standard that help contribute to carbon sequestration.

Commented [SFI82]: Edit to address the concern that the requirement for enhanced carbon sequestration could jeopardize a Certified Organization’s ability to satisfy the requirements of regulated carbon offset protocol.

2. *Based on best scientific information, Certified Organizations shall identify and address opportunities to enhance ecosystem resilience for the forests they own or manage via effective implementation of the SFI 2022 Forest Management Standard requirements including:*

- a. *prompt reforestation or within two planting seasons or by planned natural reforestation within five years as per Indicator 2.2.1;*
- b. *adequate regeneration and appropriate actions to correct understocked areas, and*
- c. *evaluation for afforestation of areas that are not ecologically important, and*
- d. *protection of desirable or planned advanced regeneration during harvest and the retention of vigorous trees during partial harvest.*

Commented [SFI83]: Oct 15 edit.

Commented [SFI 84]: Subgroup edit to recognized role of afforestation and new afforestation PM in Objective 1.

3. *Based on best scientific information, Certified Organizations shall develop a program to identify and address greenhouse gas emissions within their operational control.*

Commented [SFI85]: Edit following Board review Oct 21 of the new Objective 9.

Commented [SFI86]: Edit to clarify the scope of the requirement.

Commented [SFI87]: New Indicator for reporting progress to SFI Inc.

4. *Certified Organizations shall report annually to SFI Inc. their measures to mitigate climate change associated with forest operations.*

Commented [SFI88]: New objective - Fire Resilience and Awareness

Objective 10. Fire Resilience and Awareness.

To ensure forest management activities limit susceptibility of forests to undesirable impacts levels of wildfire and to raise community awareness of fire benefits, risks, and minimization prevention measures.

Performance Measure 10.1 *On the forests they own or manage, Certified Organizations shall limit susceptibility to undesirable impacts levels of wildfire, promote healthy and resilient*

forest conditions through management techniques, actions and/or policies, and support restoration of forests following wildfire damage.

Indicators:

1. Program to evaluate the risk of undesirable impacts/levels of wildfire and the role of fire on the forests they own or manage.
2. Use of stand and landscape level management techniques, actions and/or policies to promote forest health and resilience, and to mitigate the likelihood of undesirable impacts/levels of wildfire, such as, prescribed fire, cultural burning, thinning, or hazardous fuel reduction where appropriate based on risk.
3. Use of management techniques to address wildfire damage, mitigate negative impacts to water and soils, and to promote forest restoration and future forest resilience.

Performance Measure 10.2 - Certified Organizations shall individually and/or through cooperative efforts involving government agencies, SFI Implementation Committees, Project Learning Tree, or other partners, engage in efforts to raise awareness of and take action towards benefits of fire management and minimization/prevention of undesirable impacts/levels of wildfire.

Indicators:

1. Participation in, or support of, local, state, provincial, federal, or Indigenous fire management and prevention programs.
2. Participation in, or support of, programs to promote benefits of fire management, and raise awareness about the environmental, economic, and social risks of undesirable impacts/levels of wildfire to values such as carbon emissions, water quality and quantity, air quality, species habitat, public safety, and human health.

Objective 911. Legal and Regulatory Compliance.

To comply with all applicable laws and regulations including, international, federal, provincial, state, and local laws and regulations

Performance Measure 119.1. Certified Organizations/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.

Commented [SFI89]: Local: a level of elected government below state or province such as county, district, city, township, municipality, town or parish.

Commented [SFI 90]: Edit deleting "social" as it is addressed in more detail in PM 10.2.

Commented [SFI 91]: Edit to remove as it is redundant.

Performance Measure 119.2. *Certified Organizations 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 Organization Program Participant* operates.

Commented [SFI 92]: Edit to align with language used in PM 10.1.

Indicators:

1. Written *policy* demonstrating commitment to comply with social laws, such as those covering civil rights, equal employment opportunities, *gender equality, diversity inclusion*, 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.

Commented [SFI 93]: Alignment with PEFC requirements.

Objective 120. 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.*

Commented [SFI 94]: Edit to align with language used in PM 11.1.

Commented [SFI 95]: Edit to remove "forestry" here is limiting the scope of the research and redundant with the inclusion of "sustainable forest management".

Commented [SFI 96]: The new Climate Change Objective captures the intent of this requirement.

Performance Measure 120.1. *Certified Organizations 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.

Commented [SFI 97]: Edit to align with revised Indicator 12.1.1.

Indicators:

1. Financial or in-kind support of research, *collaboratives, or knowledge transfer* to address questions *key themes* of relevance in the region of operations *as identified by Certified Organizations, local stakeholders, communities and/or Indigenous Peoples.* Examples could include, but are not limited to, *areas of the following topics:*
 - a. *forest productivity* climate change adaptation and mitigation;
 - b. *water quality and quantity;*
 - c. biodiversity, *Forests with Exceptional Conservation Value, and species maintenance and recovery;*
 - d. *landscape ecology;*
 - e. *Indigenous traditional forest-related knowledge;*
 - f. *ecosystem services or non-timber forest products;*
 - g. *community issues engagement;*
 - h. *forest health and productivity;*
 - i. *support for Forest Inventory Analysis (FIA);*
 - j. *SFI sponsored Conservation Grant Program research;*
 - k. *the role of forests in the bioeconomy, and*
 - l. *or similar areas themes* which build broader understanding of the benefits and effects impacts of sustainable forest management *and forest sustainability or sustainable supply chains.*

Commented [SFI 98]: Edit to better illustrate the range of potential topics for research.

Commented [SFI99]: Subgroup edit to include sustainable supply chains.

2. ~~Research on genetically modified engineered trees via forest tree biotechnology shall adhere to all applicable federal, state, and provincial regulations and~~ Ensure that knowledge gained through research is shared, to the extent possible, to positively influence sustainable forest management. ~~Consider the sharing of knowledge gained through research in appropriate formats to influence sustainable forest management.~~

Commented [SFI 100]: Edit to strengthen the requirement.

Performance Measure 120.2. ~~Certified Organizations Program Participants~~ shall individually and/or through cooperative efforts involving *SFI Implementation Committees*, associations or other partners develop, contribute to, or use national, state, provincial or regional analyses in support of their *sustainable forestry programs*.

Commented [SFI 101]: Edit to bring more specificity to the Performance Measure.

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 of ~~some of the following information such as:~~
 - 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; and
 - f. *landscape-scale biodiversity* assessments which clarify the contributory role of sustainable forest management.

Commented [SFI 102]: Edit to expand the list of assessments that could be considered.

Performance Measure 10.3. ~~Certified Organizations Program Participants~~ *Certified Organizations* 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~~ *Certified Organizations* are knowledgeable about *climate change* impacts on wildlife, wildlife habitats and conservation of biological diversity through international, national, regional or local programs.

Commented [SFI 103]: This Performance Measure is no longer needed due to the new Climate Smart Forestry Objective.

Objective 13. Training and Education.

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

Commented [SFI 104]: Edits to the requirements to Objective 13 will mirror those decided in the Fiber Sourcing Subgroups discussion for Fiber Sourcing Objective 6.

Performance Measure 131.1. ~~Certified Organizations Program Participants~~ shall require appropriate training of personnel and contractors so that they are competent to fulfill their responsibilities under the *SFI 2022-15-2019 Forest Management Standard*.

Indicators:

1. Written statement of commitment to the *SFI 2022-15-2019 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 2022-2019 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. *Certified Organizations* ~~Program-Participants~~ shall have written agreements for the use of *qualified logging professionals*, ~~certified logging professionals (where available); and/or wood producers that have completed training programs and are recognized as qualified logging professionals and/or certified logging companies.~~

Commented [SFI105]: Edit from Logger Training Subgroup. Edit aligns with same text in Fiber Sourcing PM 3.2.2.

~~6. Certified Organizations can choose to use the services of certified logging companies to foster improvement in wood producers. Certified Organizations shall encourage the use of certified logging companies where they are available and after consideration of other factors involved in developing contractual relationships.~~

Commented [SFI106]: Edit to align with decision in the Logger Training Subgroup discussion.

Performance Measure 13.2. *Certified Organizations* ~~Program-Participants~~ shall work individually and/or *through cooperative efforts involving 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 specific to qualified logging professionals*.

Indicators:

1. Participation in or support of *SFI Implementation Committees* to establish criteria and identify delivery mechanisms for *wood producer core* training courses *that allow individuals to attain qualified logging professional status. These criteria shall address at least the following and periodic continuing education that address:*
 - a. awareness of *sustainable forestry principles and the SFI program* ~~SFI's work across four pillars: standards, conservation, community, and education;~~
 - 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;~~
 - ~~cd.~~ awareness of responsibilities under the U.S. Endangered Species Act, the Canadian Species at Risk Act, *Forests with Exceptional Conservation Value (critically imperiled and imperiled species and ecological communities)*, and other measures to *protect biodiversity and wildlife habitat*;
 - d. logging safety;
 - e. 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, and
 - f. other topics identified by *Certified Organizations* and/or *SFI Implementation Committees* that improve their responsibilities in meeting the SFI 2022 ~~Standards standards. i. business management;~~
 - ~~j. public policy and outreach; and~~
 - ~~k. awareness of emerging technologies;~~

Commented [SFI 107]: Logger Training Subgroup edit to call out requirements need to attain trained status.

Commented [SFI 108]: Moved to PM 13.2, Indicator 2 under continuing education requirements.

Commented [SFI 109]: Edit to call out option to recognize other topics for as Core training.

Commented [SFI 110]: Moved to continuing education – Indicator 13.2.2

2. ~~Participation in or support of *SFI Implementation Committees* to establish criteria and identify delivery mechanisms for *wood producer* continuing education training courses that shall be taken by *qualified logging professionals* at least once every two years to maintain their status. The continuing education training course(s) shall address one or more of the following topics:~~

- a. ~~awareness of *sustainable forestry principles* and *the SFI program*; SFI's work across four pillars: standards, conservation, community, and education;~~
- a. ~~—~~
- b. ~~*best management practices*, including streamside management and road construction, maintenance, and retirement;~~
- c. ~~*reforestation, invasive species management* ~~*exotic plants and animals*~~, forest resource conservation, aesthetics and special sites;~~
- d. ~~b. awareness of rare forested *natural communities* as identified by provincial or state agencies, or by credible organizations such as NatureServe and, The Nature Conservancy;~~
- e. ~~transportation issues;~~
- f. ~~business management;~~
- g. ~~public policy and outreach;~~
- h. ~~awareness of emerging technologies;~~
- i. ~~logging safety; or and~~
- j. ~~other topics identified by *Certified Organization* and/or *SFI Implementation Committees* that improve their responsibilities in meeting the SFI 2022 Standards; and~~
- k. ~~trends related to the effectiveness of the *SFI Implementation Committee* approved *wood producer* training programs;~~

Commented [SFI 111]: New Indicator to call out Continuing Education for Qualified Logging Professionals.

Commented [SFI 112]: Aligns with comment above – repetition of core topics in Continuing Education for reinforcement.

Commented [SFI 113]: Edit to call out options to recognize other topics for as Core training.

Commented [SFI 114]: Logger Training Subgroup edit. Replaced by (j).

~~**Performance Measure 121.3.** *Certified Organizations* 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* specific to *certified logging companies* professionals where they exist.~~

13. ~~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* of key personnel;~~
 - 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 including *Forest with Exceptional Conservation Value* (*critically imperiled and imperiled species and ecological communities*);~~
 - d. ~~use of *best management practices* to protect water quality;~~
 - e. ~~adherence to a logging safety *program*;~~
 - 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.~~

- i. independent verification that each crew includes an individual who:
 - i. has completed the *SFI Implementation Committee approved wood producer training program*;
 - ii. is an owner of, employee of, or contracted by the *wood producer*; and
 - iii. has direct responsibility and is on site regularly to consistently carry out the roles and responsibilities of the *wood producer*;

Commented [SFI115]: Certified Logging Companies referenced in PM 13.1 and the definition of Certified Logging Company updated. PM removed.

Objective 142. 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 142.1. *Certified OrganizationsProgram-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 and/or through cooperative efforts involving *SFI Implementation Committees*, education and outreach 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 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) considers economic, social, environmental factors (e.g., *organicorganic*, and nutrient value to future forests) and other utilization needs;
 - f. control of *invasive speciesexotic plants and animals*;
 - g. characteristics of *special sites*; and
 - h. reduction of wildfire risk;_-
 - i. use of *qualified logging professionals, and-qualified resource professionals and/or certified logging companies*;
 - j. awareness of SFI, and
 - k. reporting of inconsistent practices.
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*, *conservation* easements *federal, state, or provincial cost share programs*, or *the SFI Conservation Grants-Program*.

Commented [SFI116]: Inclusion of Certified Logging Companies

Performance Measure 142.2. *Certified OrganizationsProgram-Participants* shall *individually and/or through cooperative efforts involving -membership in a-SFI Implementation*

Committee(s) 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 for the public 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 national, state, provincial, and local *forestry* organizations and soil and water *conservation* districts.
 - f. engagement and support of teachers and/or students through programs such as Project Learning Tree.

Performance Measure 142.3. Certified Organizations Program Participants shall, individually and/or through cooperative efforts including membership in a SFI Implementation Committee(s), establish, at the state, provincial, or other appropriate levels, procedures to address concerns raised by loggers, consulting foresters, employees, unions, stakeholders, the public or other Certified Organizations regarding management practices that appear inconsistent with the SFI Standard-standards principles and objectives.

Indicators:

1. Support for *SFI Implementation Committees* (e.g., toll-free numbers and other efforts) to address concerns about apparent nonconformance~~ing 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 153: Public Land Management Responsibilities.

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

Performance Measure 153.1. Certified Organizations 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 164. Communications and Public Reporting.

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

Performance Measure 164.1. A ~~Certified Organization~~~~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 2022-15-2019 Forest Management Standard*.

Indicator:

1. The summary audit report submitted by the ~~Certified Organizations~~~~Certified Organization~~~~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 Organization~~~~Program Participant~~ that was audited, including its SFI representative;
 - d. a general description of the ~~Certified Organization's~~~~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 ~~Certified Organization~~~~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 ~~management practices~~; and
 - h. the certification decision.

The summary audit report will be posted on the *SFI Inc.* website (www.forests.org) for public review.

Performance Measure 164.2. ~~Certified Organizations~~~~Program Participants~~ shall report annually to *SFI Inc.* on their conformance with the *SFI 2022-15-2019 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 2022-15-2019 Forest Management Standard*.

Objective 175. 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 175.1. ~~Certified Organizations~~~~Program Participants~~ shall establish a management review system to examine findings and progress in implementing the *SFI 2022-15-2019 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 20~~2215~~-2019 Forest Management Standard objectives and performance measures*; including measures to reduce the negative impacts from forest management operations.
3. Annual review of progress by management and determination of changes and improvements necessary to continually improve conformance to the *SFI 20~~2215~~-2019 Forest Management Standard*.

Commented [SFI 117]: This was an interpretation which is now incorporated into the Standard. (Interpretation #2, Part 1).



**SFI 2022 Fiber Sourcing Standard
(Section 3)
April 15, 2021**

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1. General

1.1 Scope

What the Fiber Sourcing Standard Does

The *SFI 2022-2019 Fiber Sourcing Standard* promotes responsible *forestry practices* based on 134 Principles, 113 Objectives, 291 Performance Measures and 595 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 2022-2019 Fiber Sourcing Standard* applies to any organization with a *fiber sourcing* program that acquires roundwood *or* ~~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.~~

~~Certified Organizations~~ *SFI-certified organizations* that source all of their *primary sources* from forests certified to the *SFI Forest Management Standard*, *American Tree Farm Standard* or *CSA Z809 Standard* do not have to certify to the *SFI Fiber Sourcing Standard*.

~~Certified Organizations~~ *SFI-certified organizations* that do not own a manufacturing facility but who purchase roundwood for the purposes of reselling without a SFI claim are not required to certify to the *SFI Fiber Sourcing Standard*.

Geographic Application of the Fiber Sourcing Standard

The *SFI 2022-2019 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.~~

1.2 Additional Requirements

~~SFI-certified organizations~~ *SFI Program Participants* ~~Certified Organizations~~ that own or have management authority for forestlands must also conform to the *SFI 2022-2019 Forest Management Standard*.

Use of the SFI on-product labels and claims ~~shall~~ *shall* follow Section 65 — 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.

Commented [SFI 1]: Edit to remove of pulp and veneers. "Roundwood" covers pulp and veneer logs.

Commented [SFI 2]: Appendix 1 has been removed – requirement now addressed in the Certified Sourcing Standard.

Commented [SFI 3]: This was an interpretation which is now incorporated into the Standard. (Interpretation #2, Part 2).

Commented [SFI 4]: This was an interpretation which is now incorporated into the Standard. (Interpretation #2, Part 2).

Commented [SFI5]: Deleted as Appendix 1 is now outside of the Fiber Sourcing Standard.

Normative References

- i. ISO/IEC 17021:2015~~1~~ — 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 ~~87~~ — SFI Policies
- iv. Section ~~109~~ — SFI 20~~2215-2019~~ Audit Procedures and *Auditor* Qualifications and Accreditation
- v. Section ~~110~~ — Communications and Public Reporting
- vi. Section ~~143~~ — SFI Definitions
- vii. Interpretations for the Requirements for the SFI 20~~2215-2019~~ 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 ~~143~~).

Informative References

- i. ISO 14001:2015~~04~~ Environmental Management Systems — Specification with guidance for use
- ii. PEFC ST 1003:2018~~10~~ Sustainable Forest Management Requirements, November 286, 2018~~10~~
- iii. Section ~~76~~ — Guidance to *SFI* 20~~2215-2019~~ Standards
- iv. Section ~~98~~ — SFI Standards Development and Interpretations Process
- v. Section ~~121~~ — Public Inquiries and Official Complaints
- vi. Section ~~132~~ — Optional Modules

1.4 Fiber Sourcing Standard Principles

~~SFI-certified organizations SFI-Program-Participants~~*Certified Organizations* 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 *safeguard*~~protect~~ private property rights, and to help all private landowners manage their forestland sustainably. In keeping with this responsibility, ~~SFI-certified organizations SFI-Program-Participants~~*Certified Organizations* ~~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 ~~while promoting~~~~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 for the provision of ecosystem services~~ such as the *conservation* of soil, air and water quality ~~and quantity~~, *climate change adaptation and mitigation*~~carbon~~, *biological diversity*, *wildlife* and *aquatic habitats*, recreation and aesthetics.

2. Forest Productivity and Health

To provide for regeneration after harvest, ~~and~~ maintain the *health and* productive capacity of the forest land base, and to *protect* and maintain *long-term forest and* soil *health and productivity*. In addition, to *protect* forests from economically, ~~or~~ environmentally *and socially* undesirable *impacts* ~~levels~~ of wildfire, pests, diseases, *invasive species*~~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 and maintain the* water *quality and quantity of water* bodies and *riparian areas* and to conform with forestry *best management practices* to *protect* water quality, *to meet the needs of both human communities and ecological systems*.

4. Protection of Biological Diversity

To manage forests in ways that *protect* and promote *biological diversity*, including animal and plant species, ~~wildlife habitats~~, *ecologically and culturally important species, threatened and endangered species (i.e., Forest with Exceptional Conservation Values)* and *native forest cover types at multiple scales*~~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.

Commented [SF16]: Edit to align with Principle 4.

~~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.~~

Commented [SF17]: Now addressed in P. 12.

78. Legal Compliance

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

89. Research

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

910. Training and Education

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

1011. Community Involvement and Social Responsibility, and respect for Indigenous Rights

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*.

112. Transparency

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

123. Continual Improvement

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

134. Responsible Fiber Sourcing including Illegal Logging in Offshore Fiber Sourcing

To use and promote sustainable forestry across a diversity of ownership and management types avoid wood fiber from ~~controversial sources illegally logged forests when procuring fiber outside of in the United States and Canada that is both scientifically credible and socially, environmentally, and economically responsible and globally North America, and to avoid sourcing fiber from countries without effective social laws and to avoid sourcing from controversial sources both domestically and internationally.~~

Commented [SF18]: New Principle to align with new Objective which applies in the U.S., Canada and internationally.

1.5 SFI- 2022 15-2019 Fiber Sourcing Objectives

A summary of the *SFI 2022 15-2019 Fiber Sourcing Standard Objectives* follows:

Objective 1. Biodiversity in Fiber Sourcing

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

Why it Matters: Conserving biological diversity protects wildlife habitat and ensures healthy forests.

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.

Why it Matters: Protecting water quality and quantity helps ensure safe and abundant drinking water for all.

Objective 3. Use of Qualified Resource Professionals and Qualified Logging Professionals and SFI-Certified Logging Companies

To promote encourage and utilize forest landowners to utilize the services of qualified logging professionals, ~~certified logging companies professionals (where available) and~~ qualified resource professionals and SFI-certified logging companies.

Commented [SF19]: Logger Training Subgroup edit.

Why it Matters: Training logging professionals helps landowners implement effective forest management practices.

Objective 4. Legal and Regulatory Compliance

To comply with all applicable laws and regulations including international, federal, provincial, state, and local. ~~laws and regulations.~~

Why it Matters: Compliance with all laws ensures the protection of the environmental and social values of forests.

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.~~

Commented [SFI10]: Forest Conservation Subgroup edit.

Why it Matters: Investing in forest research means healthier, more productive forests.

Objective 6. Training and Education

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

Why it Matters: Training and educating foresters means forest management plans are more accurately implemented, ensuring the well-being of our forests.

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*.

Why it Matters: Outreach and education improves the public's understanding of how important sustainable forestry is to local and global issues.

Objective 8. Public Land Management Responsibilities

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

Why it Matters: Protects the environmental, social, and economic values of public forests.

Objective 9. Communications and Public Reporting

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

Why it Matters: Reporting the results of third-party audits increases the public's understanding of forest certification.

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.

Why it Matters: Encouraging continual improvement of sustainable forestry practices, a cornerstone of sustainable forestry.

Objective 11. Avoid Controversial Sources. To manage the risk of sourcing fiber products from *controversial sources*.

Why it Matters: A due diligence system minimizes the risk of sourcing from controversial sources whether in the United States, Canada or offshore.

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*.

Commented [SFI 11]: New objective with the due diligence system requirements for assessing risk of fiber from controversial sources.

Commented [SFI 12]: Removed due to new Objective.

1.6 SFI 2022-2019 Fiber Sourcing Requirements

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

Commented [SFI 13]: Geographic restriction no longer applies.

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. ~~Certified Organization~~ ~~Program participant shall~~ *SFI-certified organizations shall* address *conservation of biodiversity*, individually *and/or collaboratively through cooperative efforts involving SFI Implementation Committees*, through a *Program* ~~which that~~ includes one or more of the following:
 - a. promotion of *biological diversity concepts* utilizing information from organizations such as *the* 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; and
 - e. other credible approaches.

Performance Measure 1.2. Promotion and conservation of Forests with Exceptional Conservation Value.

Indicators:

1. ~~SFI-certified organizations~~ ~~Certified Organization shall~~ shall conduct an assessment, individually and/or collaboratively through cooperative efforts involving ~~s the involvement of SFI Implementation Committees, of Forests with Exceptional Conservation Value, defined as critically imperiled and imperiled species and ecological communities, within their wood and fiber supply area(s) and make the summary of the assessment available to wood producers.~~
2. Program to address Forests with Exceptional Conservation Value (*critically imperiled and imperiled species and ecological communities*) in harvests of purchased stumpage for all harvest operations through fiber sourcing activities such as:
 - a. use of *qualified logging professionals, certified logging companies* ~~professionals~~ (where available), and *qualified resource professionals*; or
 - b. ~~through a training program program~~ for *qualified logging professionals on how to recognize and protect Forests with Exceptional Conservation Value*; or
 - c. through in-the-forest verification by *certified logging companies* ~~professionals~~; or
 - d. forest landowner outreach; or
 - e. *SFI Implementation Committee involvement in the assessment of Forests with Exceptional Conservation Value, and development of recommendations for conservation.*
3. ~~SFI-certified organizations~~ ~~Certified Organization shall~~ shall conduct and incorporate the results of a *Forests with Exceptional Conservation Value (critically imperiled and imperiled species and ecological communities) assessment at the stand level to promote conservation of Forests with Exceptional Conservation Value for purchased stumpage.*

Commented [SFI 14]: Edit to call out use of SICs when developing these assessments.

Commented [SFI15]: Subgroup edit to clarify intent.

Commented [SFI16]: Subgroup edit to clarify intent.

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~~ ~~Certified Organizations shall~~ *SFI-certified organizations 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.~~
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*.
23. Program to address adverse weather conditions.
34. ~~Program Participants~~ ~~Certified Organizations shall~~ *SFI-certified organizations shall* clearly define their *fiber sourcing policies* in writing and make them available to *wood producers*.

Commented [SFI 17]: Indicator moved to 2.2.1.a

Performance Measure 2.2. ~~Program Participants~~ ~~Certified Organizations~~ shall ~~SFI-certified organizations~~ shall, individually or through cooperative efforts ~~collaboratively~~ monitor the use of best management practices relative to scale.

Indicators:

1. A *verifiable monitoring system* to:
 - a. ~~Program to require~~ confirm that harvests of *purchased stumpage* comply with *best management practices*;
 - b. monitor the use of *best management practices* by *wood producers* supplying the ~~SFI-certified organization~~ *Program Participant*; and
 - c. 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 Professionals, and Qualified Logging Professionals and Certified Logging Companies.

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

Commented [SFI18]: Edits from 2nd Logger Training Subgroup call Sept 29.

Performance Measure 3.1. ~~SFI-certified organizations~~ ~~Certified Organizations~~ shall ~~shall~~ promote the use of ~~through their relationships with wood producers and landowners, shall~~ maximize the ~~deliveries~~ purchases of their raw materials ~~deliveries from qualified logging professionals, and shall encourage the use of qualified resource professionals and/or certified logging companies to improve sustainable forestry through their relationships with wood producers and landowners.~~ ~~Program Participants~~ ~~Certified Organizations~~ shall encourage landowners to utilize the services of ~~qualified logging professionals, certified logging companies professionals (where available), qualified resource professionals and in applying principles of sustainable forest management on their lands.~~

Commented [SFI19]: Edits from 2nd Logger Training Subgroup call Sept 29.

Indicators:

1. *Program* to promote the use of *qualified logging professionals*, ~~certified logging companies professionals (where available), and~~ *qualified resource professionals and/or certified logging companies where available*.
2. ~~List of qualified logging professionals, certified logging companies professionals and maintained by a Certified Organization~~ *Program Participant*, state or provincial agency, loggers' association or other organization.
3. ~~Certified Organizations shall have written agreements for the use of qualified logging professionals or wood producers that have completed training programs and are recognized as qualified logging professionals.~~

Commented [SFI20]: Requirements moved to new Ind. 3.2.1. Subgroup call Sept 29.

Commented [SFI21]: Requirement addressed in new PM 3.2. Subgroup call Sept 29.

Originally was in Obj 6 at Ind. 6.1.5.

Performance Measure 3.2. Where available, ~~SFI-certified organizations~~ ~~Certified Organizations~~, through

their relationships with *wood-producers* and landowners, ~~shall~~ *shall* maximize ~~recognize~~ *the* ~~deliveries~~ *of raw materials from qualified logging professionals and/or potential benefit of certified logging companies to foster improvement in wood-producers.*

Indicator:

1. ~~List of qualified logging professionals and/or certified logging companies maintained by an SFI-certified organization~~ *Certified Organizations, state or provincial agency, loggers' association, or other organization.* ~~shall encourage the use of certified logging companies where they are available and after consideration of other factors involved in developing contractual relationships.~~
2. ~~Certified Organizations shall~~ *SFI-certified organizations shall have written agreements for the use of qualified logging professionals or wood producers that have completed training programs and are recognized as qualified logging professionals and/or certified logging companies.*

Commented [SFI22]: Was Ind. 3.1.2.

Commented [SFI 23]: Edit after Subgroup call Sept 29. Intent is to emphasize the importance of using trained loggers for deliveries to SFI mills.

Commented [SFI24]: Originally was Ind. 6.1.5.

Objective 4. Legal and Regulatory Compliance.

To comply with all applicable laws and regulations including international, federal, provincial, state, and local ~~laws and regulations.~~

Performance Measure 4.1. ~~Program Participants~~ *Certified Organizations shall* ~~SFI-certified organizations shall~~ comply with all applicable federal, provincial, state, and local ~~forestry and related social and environmental laws and regulations.~~ and take steps to avoid illegal logging.

Commented [SFI 25]: Edit to remove "social" from PM 4.1 as it addressed in PM 4.2.

Commented [SFI26]: deleted as this is now addressed in the avoidance of controversial sources Objective 11.

Indicators:

1. Access to relevant laws and regulations in appropriate locations.
2. System to achieve compliance with applicable international, federal, provincial, ~~state~~ *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 as defined by Controversial sources is considering some of the following:~~
 - ~~a. communications with suppliers;~~
 - ~~b. independent research;~~
 - ~~c. contract documentation; and~~
 - ~~d. maintain records.~~

Commented [SFI 27]: Edit to link to international in Objective text.

5. ~~Program to address any significant risk identified under 4.1.4.~~

Commented [SFI28]: Deleted as this is now addressed in the avoidance of controversial sources Objective 11

Performance Measure 4.2. ~~Program Participants~~ *Certified Organizations shall* ~~SFI-certified organizations shall~~ take appropriate steps to comply with all applicable social laws at the federal, provincial, ~~state~~ *state*, and local levels in the country where in which the *SFI-certified organization* ~~Certified Organization~~ *Program Participant* operates.

Indicator:

1. Written *policy* demonstrating commitment to comply with social laws, such as those covering civil rights, equal employment opportunities, [gender equality, diversity inclusion](#), 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 [which meet the spirit and intent of the International Labour Organization \(ILO\) Declaration on the Fundamental Principles and Rights at Work \(1998\)](#).

Commented [SFI29]: Subgroup Edit Oct 6 2020

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~~ *Certified Organizations shall SFI-certified organizations* 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.

Commented [SFI 30]: Edit to align with revised Indicator 5.1.1.

Indicators:

1. Financial or in-kind support of research, [collaboratives, or knowledge transfer](#) to address [questions key themes](#) of relevance in the region of operations [as identified by Certified Organizations-SFI-certified organizations](#) [local stakeholders, communities and/or Indigenous Peoples.](#) ~~such as~~ Examples could include, but are not limited to, ~~areas of~~ the following topics:
 - a. ~~forest productivity~~ [climate change adaptation and mitigation](#);
 - b. [water quality and quantity](#);
 - c. [biodiversity, Forests with Exceptional Conservation Value, and species maintenance and recovery](#);
 - d. [landscape ecology](#);
 - e. [Indigenous traditional ecological knowledge](#);
 - f. [ecosystem services or non-timber forest products](#);
 - g. [community issues engagement](#);
 - h. [forest health and productivity](#);
 - i. [support for Forest Inventory Analysis \(FIA\)](#);
 - j. [SFI sponsored Conservation Grant Program research](#);
 - k. [the role of forests in the bioeconomy, and](#)
 - l. ~~or similar themes areas~~ which build broader understanding of the benefits and [effects impacts of sustainable forest management and forest sustainability or sustainable supply chains](#).
2. ~~Research on genetically engineered modified 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. Refer to the SFI policy on forest tree biotechnology in Section 7.~~

Commented [SFI31]: Forest Conservation Subgroup edit to include that Certified Organization can identify themes – good to clarify.

Commented [SFI 32]: Edit to better illustrate the range of potential topics for research.

Commented [SFI33]: Forest Conservation Subgroup edit to include supply chains.

Commented [SFI34]: Forest Conservation Subgroup edit to remove Indicator and place reliance of the SFI Forest Tree Technology Policy.

23.- Ensure that knowledge gained through research is shared, to the extent possible, to positively influence sustainable forest management. Consider the sharing of knowledge gained through research in appropriate formats to influence sustainable forest management.

Commented [SFI 35]: Edit to strengthen the requirement.

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

Commented [SFI 36]: Edit to bring more specificity to the Performance Measure.

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 of information such as~~:
 - 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~~*cultural*, or economic benefit assessments.

Performance Measure 5.3. ~~Program Participants~~~~Certified Organizations~~ shall ~~SFI-certified organizations~~ 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~~~~Certified Organizations~~ ~~SFI-certified organizations~~ 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~~~~Certified Organizations~~ shall ~~SFI-certified organizations~~ require appropriate training of personnel and contractors so that they are competent to fulfill their responsibilities under the *SFI 2022+5-2019 Fiber Sourcing Standard*.

Indicators:

1. Written statement of commitment to the *SFI 2021+5-2019 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 2022-2019 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~~~~Certified Organizations~~ 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.~~

Commented [SFI37]: Moved to Objective 3 – QLP and QRPs.

~~6. Certified Organizations~~ shall strive to achieve 100 percent of their raw material deliveries from ~~qualified logging professionals, or certified logging companies where they exist, who:~~

- ~~a. has completed the SFI Implementation Committee approved wood producer training program;~~
- ~~b. is an owner of, employee of, or contracted by the wood producer; and~~
- ~~c. has direct responsibility and is on site regularly to consistently carry out the roles and responsibilities of the qualified logging professional or certified logging companies under the SFI 2022 Forest Management or Fiber Sourcing Standards.~~

Commented [SFI38]: Indicator incorporated into Obj 3, PM 3.2.

Performance Measure 6.2. ~~Program Participants~~~~Certified Organizations~~ shall ~~SFI-certified organizations 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 specific to qualified logging professionals*.

Indicators:

1. Participation in or support of *SFI Implementation Committees* to establish criteria and identify delivery mechanisms for *wood producer core* training courses ~~that allow individuals to attain qualified logging professional status. These criteria must that address at least the following and periodic continuing education that address:~~
 - a. awareness of *sustainable forestry principles* and ~~SFI's work~~~~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, *Forests with Exceptional Conservation Value (critically imperiled and imperiled species and ecological communities)*, and other measures to *protect biodiversity and 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~~~~state~~, and local employment laws, ~~and~~

Commented [SFI39]: Edit highlighting that these topics in 6.2.1 are the core course needed to attain QLP.

Commented [SFI 40]: Moved to continuing education – indicator 6.2.2.

Commented [SFI 41]: Moved to continuing education – indicator 6.2.2.

f. other topics identified by ~~Certified Organizations~~ *SFI-certified organizations* and/or *SFI Implementation*

Committees that improve their responsibilities in meeting the SFI 2022 Standards.

- h. ~~transportation issues;~~
- i. ~~business management;~~
- j. ~~public policy and outreach; and~~
- k. ~~awareness of emerging technologies.~~

Commented [SFI 42]: Moved to continuing education - indicator 6.2.2.

2. Participation in or support of *SFI Implementation Committees* to establish criteria and identify delivery mechanisms for *wood producer* continuing education training courses ~~that shall~~ be taken by *qualified logging professionals* at least once every two years to maintain their status. The continuing education training course(s) ~~shall~~ *shall at least once every two years* that address one or more of the following topics: ~~The SIC-approved wood producer training programs~~ shall have a continuing education component with coursework that supports the current training programs;

Commented [SFI43]: Edit to call out that CE must be at least once every two years to maintain QLP status.

- a. ~~awareness of sustainable forestry principles and the SFI's work~~ *SFI program*;
- b. ~~best management practices, including streamside management and road construction, maintenance, and retirement;~~
- c. ~~reforestation, invasive species management, forest resource conservation, aesthetics and special sites;~~
- d. awareness of rare forested *natural communities* as identified by provincial or state agencies, or by credible organizations such as NatureServe or The Nature Conservancy;
- e. ~~transportation issues;~~
- f. ~~business management;~~
- g. ~~public policy and outreach;~~
- h. ~~awareness of emerging technologies;~~
- i. ~~logging safety; -or and~~
- j. ~~the principles of sustainable forestry~~ other topics identified by the *SFI-certified organization* ~~Certified Organization~~ and/or *SFI Implementation -Committees* that improve their responsibilities in meeting the SFI 2022 Standards; and
- k. ~~observed trends regarding the effectiveness of the SFI Implementation Committee approved wood producer training programs.~~

Commented [SFI 44]: Repetition of core topics in CE for reinforcement.

Commented [SFI 45]: Edit to add specificity.

Commented [SFI 46]: Edit to add specificity.

Commented [SFI47]: Replaced by new 6.2.2 j

Performance Measure 6.3: ~~Certified Organizations~~ shall work individually and collaboratively 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 specific to certified logging companies where they exist.~~

31. 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 by key personnel;~~
 - 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 including such as Forest with Exceptional Conservation Value (critically imperiled and imperiled species and ecological communities);~~

- ~~d. use of best management practices to protect water quality;~~
- ~~e. adherence to a logging safety program;~~
- ~~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; and~~
- ~~i. independent verification that each crew has an individual who:~~
 - ~~i. has completed the SFI Implementation Committee approved wood producer training program;~~
 - ~~ii. is an owner of, employee of, or contracted by the wood producer; and~~
 - ~~iii. has direct responsibility and is on site regularly to consistently carry out the roles and responsibilities of the wood producer.~~

Commented [SFI48]: Addressed in Objective 3 and new Certified Logging Company requirements.

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~~*Certified Organizations shall SFI-certified organizations* 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 ~~and/or collaboratively~~ *through cooperative efforts involving SFI Implementation Committees*, 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 species exotic plants and animals*;
 - g. characteristics of *special sites*; ~~and~~
 - h. reduction of wildfire risk;
 - i. *use of qualified logging professionals, and qualified resource professionals and/or certified logging companies*;

Commented [SFI49]: Inclusion of Certified Logging Companies

- j. awareness of SFI, and
- k. reporting of inconsistent practices.

Commented [SFI 50]: Edit to call out additional topics for outreach.

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, federal, state, or provincial cost share programs, or the SFI Conservation Grants program.
4. ~~Program Participants~~Certified Organizations~~SFI-certified organizations~~ 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~~Certified Organizations~~SFI-certified organizations~~ 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~~Certified Organizations~~shall~~SFI-certified organizations shall individually or through cooperative efforts involving SFI Implementation Committee(s) 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 for the public promoting *sustainable forestry*, such as
 - a. ~~Project Learning Tree~~; field tours, seminars, websites, webinars or workshops;
 - ~~e~~.b. ~~—~~educational trips;
 - ~~d~~.c. self-guided forest management trails;
 - ~~e~~d. ~~publication—publishing of~~ articles, educational pamphlets or newsletters; or
 - ~~f~~e. support for national, state, provincial, and local *forestry* organizations and soil and water *conservation* districts, and
 - ~~f~~. ~~engagement and supporting of~~ teachers and/or students through programs~~initiatives~~ such as Project Learning Tree.

Commented [SFI51]: Edit to call out organizations such as PLT.

Performance Measure 7.3. ~~Program Participants~~Certified Organizations~~shall~~SFI-certified organizations shall individually and/or through cooperative efforts involving SFI Implementation Committee(s) establish, at the state, provincial, or other appropriate levels, procedures to address concerns raised by loggers, consulting foresters, employees, unions, stakeholders, the public or other ~~Program Participants~~Certified Organizations~~SFI-certified organizations~~ regarding practices that appear inconsistent with the SFI ~~Standard standards~~ principles and objectives.

Commented [SFI 52]: Edit to include “stakeholders”.

stakeholder: A person, group, community or *organization* with an interest in the subject of the standard.

Indicators:

1. Support for *SFI Implementation Committees* (e.g., toll-free numbers and other efforts) to address concerns about apparent nonconformanceing practices.
2. Process to receive and respond to public inquiries. *SFI Implementation Committees* ~~shall~~ 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 Participant~~Certified Organizations ~~SFI-certified organizations~~ with forest management responsibilities on public lands ~~shall~~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 Fiber Sourcing Standard*.

Performance Measure 9.1. An ~~SFI-certified organization~~Certified Organization~~Program Participant~~ ~~shall~~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 2022-2019 Fiber Sourcing Standard*.

Indicator:

1. The summary audit report submitted by the ~~SFI-certified organization~~Certified Organization~~Program Participant~~ (one copy must be in English), ~~shall~~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 SFI-certified organization~~Certified Organization~~Program Participant~~ that was audited, including its *SFI* representative;
 - d. a general description of the ~~Program Participant's~~Certified organization'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~~the SFI-certified organization);
 - 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.forestssfi.org) for public review.

Performance Measure 9.2. ~~Program Participants~~ ~~Certified Organizations shall~~ ~~SFI-certified organizations shall~~ report annually to *SFI Inc.* on their conformance with the *SFI 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 2022-2019 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~~ ~~Certified Organizations shall~~ ~~SFI-certified organizations shall~~ establish a management review system to examine findings and progress in implementing the *SFI 2022-2019 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 2022-2019 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 2022-2019 Fiber Sourcing Standard*.

Objective 11. Avoid Controversial Sources.

To manage the risk of sourcing fiber from *controversial sources*.

Controversial sources are defined as:

- a. Forest activities which are not in compliance with applicable state, provincial, federal, or international laws.
- b. Forest activities which are contributing to regional declines in *habitat conservation* and species *protection* (including *biodiversity* and *special sites*, Alliance *for Zero Extinction* sites and key Biodiversity Areas, *threatened and endangered species*).
- c. *Conversion sources* originating from regions experiencing forest area decline.

Commented [SFI 53]: New objective with the due diligence system requirements for assessing risk of fiber from controversial sources.

- d. Forest activities where the spirit of the ILO Declaration on Fundamental Principles and Rights at work (1998) are not met.
- e. Forest activities where the spirit of the United Nations Declaration on the Rights of Indigenous Peoples (2007) are not met.
- f. Fiber sourced from areas without effective social laws
- g. Illegal Logging including trade in CITES (The Convention on International Trade in Endangered Species of Wild Fauna and Flora) listed species.
- h. Conflict Timber.
- i. Genetically modified trees via forest tree biotechnology.

Commented [SFI 54]: Avoidance of Controversial Sources
Subgroup edit to include definition of controversial sources in the Objective.

Performance Measure 11.1. The *SFI-certified organization* ~~Certified Organization shall~~ have a process to access and collect information regarding the sources of its procured fiber.

Indicators:

1. The *SFI-certified organization* ~~Certified Organization shall~~ collect information on the source of the fiber, through a due diligence system to address the likelihood of sourcing from *controversial sources*. This includes:
 - a. Identification of tree species, or list of tree species potentially included, by their common name and or their scientific name where applicable.
 - b. Country and region of harvest of the fiber.
2. The *SFI-certified organization* ~~Certified Organization~~ can consider fiber low risk and exempt from further due diligence when:
 - a. Procured from a supplier with a valid SFI Section 2 (*SFI Forest Management Standard*) certificate, or other *acceptable forest management standards*, that clearly indicates that the source is within the scope of the certification; or
 - b. Procured from a supplier with a valid SFI Section 3 (*SFI Fiber Sourcing Standard*) certificate that clearly indicates that the source is within the scope of the certification and/or the due diligence system; or
 - c. Procured from a supplier with a valid SFI Section 4 (*SFI Chain-of-Custody Standard*), or other *credible chain-of-custody standard* certificate and/or due diligence system; or
 - d. Procured from a supplier with a valid SFI Section 5 (*SFI Certified Sourcing Standard*) certificate that clearly indicates that the source is within the scope of the certification and/or due diligence system; or
 - e. Sourced from recycled forest-based products.

Commented [SFI55]: Avoidance of Controversial Sources
Subgroup edit.

Performance Measure 11.2. The *SFI-certified organization* ~~Certified Organization shall~~ individually and/or through cooperative efforts involving *SFI Implementation Committee(s)* have a process to conduct a risk assessment.

Commented [SFI56]: Edit calling out option for cooperative approach to risk assessment.

Indicators:

1. The *SFI-certified organization* ~~Certified Organization shall~~ develop and implement a due diligence system (DDS) to manage the risk of sourcing fiber from *controversial sources* in accordance with the requirements of this standard.
2. The DDS risk assessment ~~shall~~ classify material into "low-" and "high-" risk categories.

3. The risk assessment ~~shall~~ be carried out at the regional level unless risk is consistent at the national level.
4. The ~~SFI-certified organization~~ ~~Certified Organization~~ shall review, and if necessary, revise its risk ratings on at least an annual basis.
5. The ~~SFI-certified organization~~ ~~Certified Organization~~ shall conduct a risk assessment before the first time of delivery for each new region of supply.

Performance Measure 11.3. The ~~SFI-certified organization~~ ~~Certified Organization~~ shall have a process to assess substantiated concerns.

Indicators:

1. The ~~SFI-certified organization~~ ~~Certified Organization~~ shall have a program to assess any substantiated concern. A substantiated concern is information supported by proof or evidence, indicating that fiber originates from *controversial sources*. Substantiated concerns can be concerns by third parties, as well as concerns of the ~~SFI-certified organization~~ ~~Certified Organization~~ itself.
2. The ~~SFI-certified organization~~ ~~Certified Organization~~ shall update its risk assessment to reflect substantiated concerns associated with a region of origin identified through internal data or public data.

Performance Measure 11.4. The ~~SFI-certified organization~~ ~~Certified Organization~~ shall have a process to mitigate the risk of sourcing controversial fiber from high-risk areas.

Commented [SFI 57]: Edit to clarify.

Indicators:

1. Where the risk assessment determines high risk, the ~~SFI-certified organization~~ ~~Certified Organization~~ shall implement a program to mitigate such risk and require a signed contract and/or self-declaration that the supplied fiber does not originate from *controversial sources*.
2. For each supply source where the risk is high, the risk assessment shall also identify the specific verifiable controls that the supplier has in place to substantially reduce the risk of sourcing fiber from *controversial sources*.
3. Where an ~~SFI-certified organization~~ ~~Certified Organization~~ receives fiber, and then learns the fiber is ~~may be~~ from *controversial sources*, if possible, the fiber shall be segregated and prevented from entering the supply chain. If fiber has already entered the supply chain and cannot be segregated additional corrective measures shall be implemented to avoid future controversial sources. If subsequent verification demonstrates that the risk of this fiber originating from *controversial sources* is low, the fiber can re-enter the supply chain.

Commented [SFI58]: Edit from Avoidance of Controversial Sources Subgroup

4. The ~~SFI-certified organization~~ *Certified Organization shall* identify the verifiable measures to be implemented across the full supply chain for each source of supply identified as high risk to ensure that the supply is not from *controversial sources* which will include:
- assessing the operating effectiveness of verifiable measures, through field-based verification.
 - for direct sources, include field and document verification of *controversial sources* risk factors back to the forest units from which fiber is sourced.
 - for indirect sources, include site and document verification of suppliers (such as lumber suppliers, chip suppliers and wood yards) to establish the absence of *controversial sources* risk factors in their inputs and sample-based field verification of their supply sources back to the forest units from which they source fiber.
5. Where sampling is conducted as part of the verification *program*, the sampling ~~program~~ should be risk based to draw valid conclusions across all fiber inputs.

Performance Measure 11.5. The ~~SFI-certified organization~~ *Certified Organization shall* have a process to avoid *controversial sources*.

Indicator:

1. Where the verifiable measures in Performance Measure 11.4 are not considered to be effective in reducing the risk of receiving fiber from *controversial sources* to low, fiber from these sources ~~shall~~ be avoided.

Commented [SFI 59]: Edit to link back to PM 11.4.

Fiber sourcing outside the United States and Canada (Objectives 11-13 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:

- ~~Fiber sourcing from areas outside the United States and Canada promotes conservation of biological diversity, utilizing information from the following sources:~~
 - ~~biodiversity hotspots and high biodiversity wilderness areas as identified by Conservation International; and~~
 - ~~rare species and habitat information derived from organizations such as the World Resources Institute, the Alliance for Zero Extinction, World Wildlife Fund, the International Union for Conservation of Nature and Nature Serve.~~
- ~~Program with direct suppliers to promote the principles of sustainable forestry.~~
- ~~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;~~

Commented [SFI 60]: With the new proposed Objective 11, these objectives are now redundant since the new Objective 11 applies in the U.S, Canada and globally.



SFI 2022 ~~Chain-of-Custody~~Chain-of--Custody
Standard
(Section 4)

April 15, 2021

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CALCULATION OF THE CERTIFICATION PERCENTAGE	27

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 2022-15-2019 Chain-of-Custody Standard and Associated Labels, implemented together with certification to the SFI 2022-15-2019 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 Certified Organizations 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 2022-15-2019 Fiber Sourcing Standard requiring that Program Participants Certified Organizations 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

Part 1: General

1.1 Scope

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

The SFI 2022 ~~15-2019~~ ~~Chain-of-Custody~~ 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~~ 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~~ Chain-of-Custody Standard Covers

The SFI 2022 ~~15-2019~~ ~~Chain-of-Custody~~ Chain-of-Custody Standard applies to any organization that sources, processes, manufactures, handles, trades, ~~converts~~ converts, or prints forest-based products.

A wood producer delivering roundwood or field chips direct from the forest to a manufacturing facility does not need to be certified to the SFI 2022 ~~Chain-of-Custody~~ Chain-of-Custody Standard.

A ~~certified organization~~ An SFI-certified organization (such as a warehouse or distribution center) that passes on SFI certified material/product does not need an SFI ~~chain-of-custody~~ 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~~ Chain-of-Custody on-product label.

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

The SFI 2022 ~~15-2019~~ ~~Chain-of-Custody~~ Chain-of-Custody Standard applies to any organization globally.

1.2 Additional Requirements

Primary producers must also conform to the SFI 2022 ~~15-2019~~ Fiber Sourcing Standard.

Primary and secondary producers with a valid SFI 2022 ~~Chain-of-Custody~~ Chain-of-Custody certificate can use their ~~chain-of-custody~~ Chain-of-Custody procedures to make SFI-c-Certified sSourcing claims or apply the SFI-c-Certified sSourcing label provided they satisfy the requirements of Part 3: Calculating the Certified Sourcing Claim in the SFI 2022 Certified Sourcing Standard.

Use of the *SFI On-Product Labels* ~~SFI on-product labels~~ and claims shall follow Section 65 — Rules for Use of *SFI On-Product Labels and Off-Product Marks* as well as ISO 14020:2000.

Commented [SFI 1]: Edit calling out the ability of primary or secondary producers with SFI CoC to use their CoC to apply Certified Sourcing claims or labels to product.

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 20~~21~~5-2019 Forest Management Standard*
- vi. Section 3 ~~—~~ *SFI 20~~21~~5-2019 Fiber Sourcing Standard*
- vii. Section 4 ~~—~~ *SFI 2022 Chain-of-CustodyChain-of-Custody Standard*
- viii. Section 5 ~~—~~ *SFI 2022 Certified Sourcing Standard*
- ixvii. Section ~~65~~ ~~—~~ Rules for Use of *SFI*-On-Product Labels and Off-Product Marks
- xviii. Section ~~87~~ ~~—~~ *SFI Policies*
- xi. Section ~~109~~ ~~—~~ Appendix 1: Audits of Multi-Site Organizations
- xj. Section ~~121~~ ~~—~~ Public Inquiries and Official Complaints
- xij. Section ~~143~~ ~~—~~ 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 ~~143~~).

Informative References

- i. ISO 9000:2005 Quality management systems ~~—~~ Fundamentals and vocabulary
- ii. ISO 9001:20~~15~~⁰⁸ Quality management systems ~~—~~ Requirements
- iii. ISO 14001:20~~15~~⁰⁴ Environmental Management Systems ~~—~~ Specification with guidance for use

- iv. PEFC ST 2002:2020~~13~~ ~~Chain-of-Custody~~Chain-of-Custody -of Forest-Based Products ~~—~~ - Requirements, ~~February~~May 24 2020~~13~~
- v. Section 76 ~~—~~ -Guidance to SFI 2022~~15~~ 2019 Standards
- vi. Section 109 ~~—~~ -SFI 2022~~15~~ 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 ~~SFI-certified organization~~ ~~certified 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 ~~SFI-certified organization~~ ~~certified 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 ~~SFI-certified organization~~ ~~n-certified organization who that~~ makes SFI claims or uses the SFI ~~on~~On-product ~~Product label~~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.

Commented [SFI 2]: Moved sections so all methods are under one section and claims and inputs under another section.

Commented [SFI 3]: Edit to restore the title “Physical Separation Method” to align with title in Part 3.

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*
- 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.

Commented [SFI 4]: Moved to new section after Part 2 Requirements for Chain-of-Custody Process.

2.2 Separation of the *Certified Content*

2.2.1 *Certified content* shall remain clearly identifiable throughout the entire sourcing production, trading and sales process. This shall be achieved by:

- a. — physical separation in terms of production and storage space or
- b. — physical separation in terms of time; or
- c. — permanent identification of the *certified content*.

2.2.2 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 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

- a. — organization's identification;
- b. — quantity of delivery;
- c. — date of delivery / delivery period / accounting period;
- d. — an official *SFI* claim;
 - i. — SFI X% Certified Forest Content
 - ii. — SFI X% Recycled Content
 - iii. — SFI X% Pre-Consumer Recycled
 - iv. — SFI X% Post-Consumer Recycled
 - v. — SFI X% Certified Sourcing
(Note: Percentages of any combination of the above are permissible.)
 - vi. — SFI at Least X% Certified Forest Content
- 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*).

Commented [SFI 5]: Moved to new section after Part 2. Requirements for Chain-of-Custody Process.

Part 3: Requirements for Chain-of-Custody Process – Mixing of Inputs – Average Percentage Method and Volume Credit Method (Mixed Inputs)

Commented [SFI 6]: Comments asking to adopt PEFC terminology for CoC Methods – Percentage and Credit Methods

3.1 General Requirements for Mixed Inputs

Commented [SFI7R6]: Subgroup decided that adopting PEFC terminology for Percentage Method and Credit Method were a positive change. Closer alignment with PEFC CoC.

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

mixed with non-certified forest inputs that cannot be clearly identified in the output products, ~~SFI-certified organizations~~ ~~certified organizations~~ shall use either the Average Percentage Method or the Volume Credit Method.

Commented [SFI 8]: Edit to make direct reference to the Avg. Percentage or Vol. Credit Methods.

3.2 Definition of the *Product Group*

3.2.1 The ~~certified organization~~ ~~SFI-certified organization~~ shall implement the requirements for the ~~chain-of-custody~~ Chain-of-Custody process of this standard for the specific *product group*.

3.2.2 The ~~SFI-certified organization~~ ~~certified organization~~ shall identify its *product group(s)* based on the following criteria:

- a. ~~raw~~ raw material included in the products covered by the *product group*;
- b. production site at which the products covered by the *product group* have been produced;
- c. time period over which the products covered by the *product group* have been produced, ~~or~~ sold ~~or~~ 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 ~~SFI-certified organization~~ ~~certified 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*. The *product group* may cover several sites.

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.

Commented [SFI 9]: Edit to make this text part of the main clause.

Commented [SFI10R9]: Group decided to retain the use of NOTE to align with PEFC and to provide context.

Applies to all references to NOTE below.

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

3.2.6 The ~~SFI-certified organization~~ ~~certified organization~~ shall identify all products included in the *product group* covered by the ~~chain-of-custody~~ 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. Associated documents 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 *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.~~

Commented [SFI 11]: Nearly duplicate language - Identification of the Origin section moved after Part 2 Requirements for COC Process.

3.3.4 Calculation of the Certified Percentage

- 3.3.4.1 The ~~certified organization~~ *SFI-certified organization* shall calculate the certification percentage separately for each *claim period* according to the following formula:

$$Pc = \frac{Vc}{Vc + Vo} \times 100$$

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

P_c Certification percentage
V_c *Certified content*
V_o Other raw material (*certified sourcing*)

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~~Chain-of-Custody tracking.

3.34.2 The ~~SFI-certified organization~~ *certified organization* shall calculate the certification percentage based on a single measurement unit used for all raw material covered by the calculation. The ~~Chain-of-Custody~~ *certified 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*.

3.34.3 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.

3.34.4 The ~~SFI-certified organization~~ *certified organization* shall calculate the certification percentage either as a simple or rolling *average* percentage. Refer to Appendix 1 of this document for the definitions of simple and rolling *average percentage* calculations.

3.34.5 The ~~SFI-certified organization~~ *certified organization* applying the simple certification percentage shall base the calculation of P_c (the certification percentage) for each *product group* on the figures for V_c (*certified content*) and V_o (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.

3.34.6 The ~~SFI-certified organization~~ *certified organization* applying the rolling *average certification* percentage shall base the calculation of P_c (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 period*.

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

3.45 Average Percentage Method

3.45.1 The ~~SFI-certified organization~~ *SFI-certified 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~~ *To* use the SFI label, the organization must meet a 70 ~~percent~~ *%* *certified content* threshold. ~~The following label may be used.~~ If *recycled content* is not used, then the label must just state, "Promoting Sustainable Forestry."



3.45.2 If a ~~an~~ *SFI-certified organization* ~~certified 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.~~

Commented [SFI 12]: Comments to align methods terminology with PEFC CoC terminology – Percentage Method

Commented [SFI13R12]: Subgroup decided that adopting PEFC terminology is a positive change.

Commented [SFI 14]: label use examples moved from this section. Only claims are listed. Labels are all included in Section 5.

3.56 Volume Credit Method

3.56.1 The ~~certified organization~~ *SFI-certified 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 shall only use one from the received claims (*SFI* or *PEFC* certified) for calculating the *volume* credits. The *volume* credits 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 ~~percent~~ *%* certified.

3.56.2 The ~~certified organization~~ *SFI-certified 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.

3.56.3 The ~~certified organization~~ *SFI-certified organization* shall calculate the *volume* credits using either:

Commented [SFI 15]: Edit to align with PEFC CoC terminology – Credit Method

- a. ~~_____~~certification percentage (clause 3.34) and volume of output products (clause 3.56.4) or
- b. ~~_____~~input material (*certified forest content / pre-consumer recycled / post-consumer recycled*) and input/output ratio (clause 3.56.5).

3.56.4 The ~~certified organization~~*SFI-certified 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.

3.56.5 The ~~certified organization~~*SFI-certified 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.

3.56.6 The labels used for the *Volume* Credit method are shown in Section 6. Rules for Use of SFI On-Product Labels and Off-Product Marks. ~~shall be as follows:~~

3.56.7 The ~~certified organization~~*SFI-certified 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*.

- a. 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~~ *24* months.

- b. ~~An certified organization~~*SFI-certified organization* that is using the Volume Credit method but has yet to complete its initial certification using the Volume Credit method can start counting all eligible credit after the completion of a successful internal audit of the chain-of-custodyChain-of-Custody system and completion of a management review of the chain-of-custodyChain-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-custodyChain-of-Custody certificate from their certification body.

Commented [SFI 16]: Alignment with PEFC.

Commented [SFI 17]: Edit made to clarify when the credit accumulation can begin.

Commented [SFI 18]: This was moved from guidance (Section 6 - 14.4) into the COC standard.

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 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: Identification of the *Origin*

42.1 ~~2.1~~ Identification at Delivery Level

The ~~certified organization~~ *SFI-certified 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. ~~100X% SFI X% 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 X% SFI Recycled Content*
 - iii. *SFI X% Pre-Consumer Recycled*
 - iv. *SFI X% Post-Consumer Recycled*
 - v. *SFI X% Certified Sourcing or SFI Certified Sourcing*
 - vi. *SFI Volume Credit or 100% as calculated under the volume credit method.*
 - vii. *SFI at Least X% Certified Forest Content*
 - viii. *SFI 100% from a Certified Forest*
 - ix. *SFI 100% Certified Forest Content - Raw material from a forest certified to an acceptable forest management standard constitutes a claim of 100-percent-% certified forest content*

Commented [SFI 19]: Moved into sales section below.

Commented [SFI20]: New separate section following Requirements for COC Process.

Commented [SFI 21]: Edit to align with 100% in claim text.

Commented [SFI22R21]: Edit accepted.

Commented [SFI 23]: Edit to align with 100% in claim text.

Commented [SFI24]: Group decided to allow both options: SFI Credit or 100 % as calculated under the Credit Method **OR** permit the use of Volume Credit as before.

This will be addressed in Section 6 – Rules for Labels Use – clarify that the two options are equivalent. Both are acceptable. Timeline for change over needs to account for Company process, etc.

Commented [SFI25]: New – non timber forest products claim

Commented [SFI26]: Directly from SFI Forest management certified organization.

Commented [SFI27]: Categories of origin arranged to align with list of SFI Claims.

e. ~~The supplier's SFI 2022 Forest Management Standard or SFI 2022 Chain of Custody~~~~Chain-of-Custody Standard certificate~~ chain of custody number, as if applicable.

Commented [SFI 28]: Edit to recognize that a FM supplier can supply 100% certified forest content.

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 ~~certified organization~~ SFI-certified 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 14).

Note 2: An ~~an -certified organization~~ SFI-certified 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.

42.2-2 Identification at Supplier Level

The ~~-certified organization~~ SFI-certified 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.

Commented [SFI 29]: Edit made – should be “certified content”.

Part 5: Sale of Certified Content Products

Commented [SFI30]: Moved from 2.4 under physical separation. Merged with 3.7 under mixed inputs.

5.1 At the point of sale or transfer of the certified products to another entity, the ~~-certified organization~~ SFI-certified 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 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.

5.2 The ~~-certified organization~~ SFI-certified organization shall ensure that documentation of the certified products clearly states at least the following information

- a. certified organization's identification,
- b. quantity of delivery,
- c. date of delivery / delivery period / accounting period,
- d. an official SFI claim,
 - i. SFI X% Certified Forest Content
 - ii. SFI X% Recycled Content
 - iii. SFI X% Pre-Consumer Recycled
 - iv. SFI X% Post-Consumer Recycled
 - v. SFI X% Certified Sourcing or SFI Certified Sourcing
(Note: Percentages of any combination of the above are permissible.)

Commented [SFI31]: Claim alignment. ‘SFI’ portion of claim not required.

- vi. SFI Volume Credit or 100% as calculated under the volume credit method.
- vii. SFI at Least X% Certified Forest Content
- viii. SFI 100% from a Certified Forest
- ix. SFI 100% Certified Forest Content
- e. the ~~certified organization~~ SFI-certified organization's chain-of-custody Chain-of-Custody number.

5.3 If the ~~certified organization~~ SFI-certified 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 6 in the *SFI 2022-2019 Standards and Rules*).

Commented [SFI32]: Group decided to allow both options: SFI Credit or 100 % as calculated under the Credit Method **OR** permit the use of Volume Credit as before.

This will be addressed in Section 6 – Rules for Labels Use – clarify that the two options are equivalent. Both are acceptable. Timeline for change over needs to account for Company process, etc.

Commented [SFI33R32]: SFI is aligning Section 6, Part 3, 3.1 SFI Chain-of-Custody Labels and Claims with task group recommendations to Section 4 on credit and methods and claims. Guidance will be developed to clarify expectations re. transition timeline for switching to use of Credit and dropping Volume Credit in claims / labels.

Commented [SFI34]: New – “non timber forest products” claim

Commented [SFI35]: Directly from SFI Forest management certified organization.

Commented [SFI36]: Moved from under physical separation because this applies to all input process types.

Part 6: Reporting Requirements

6.1 *Primary or secondary producers* outside the United States and Canada must submit to the *SFI Office of Label Use and Licensing*.

Specific examples of proposed *SFI* on-product label use and related promotional literature to the *Office of Label Use and Licensing*, in keeping with the Rules For Use of *SFI On-Product Labels* and *Off-Product Marks* (Section 6 in the *SFI Standards and Rules* document).

Commented [SFI37]: New section and requirement. Aligns with approach from Certified Sourcing Standard.

Part 24: Due Diligence System to Avoid Controversial Sources

24.1 Definition of Controversial Sources

- a. Forest activities which are not in compliance with applicable state, provincial, federal, or international laws.
- b. Forest activities ~~which~~ that are contributing to regional declines in habitat conservation and species protection (including biodiversity and special sites, Alliance for Zero Extinction sites and key Biodiversity Areas, threatened and endangered species).
- c. Conversion sources originating from regions experiencing forest area decline.
- d. Forest activities where the spirit of the International Labour Organization (ILO) Declaration on Fundamental Principles and Rights at work (1998) are not met.
- e. Forest activities where the spirit of the United Nations Declaration on the Rights of Indigenous Peoples (2007) are not met.
- f. Fiber sourced from areas without effective social laws
- g. Illegal Logging including trade in CITES (The Convention on International Trade in Endangered Species of Wild Fauna and Flora) listed species.

Commented [SFI38]: Aligns with new DDS for fiber sourcing and certified sourcing.

Commented [SFI 39]: Edit requesting addition of AZE and KBAs as examples of special sites requiring protection.

- h. Conflict Timber
- i. Genetically modified trees via forest tree biotechnology

Commented [SFI 40]: New definition of controversial sources – aligns with PEFC definition.

- a. ~~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 use rights~~
 - b. ~~Forest-based products from illegal logging~~
 - c. ~~Forest-based products from areas without effective social laws~~
- 74.2 Verification of Purchased Product(s)**
Access to Information
Access to Information

- ~~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.~~

Commented [SFI 41]: Replaces former 4.2 Verification of Purchased Products

74.2.1 ~~The -certified organization~~SFI-certified 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.

- a. Identification of tree species, or list of tree species potentially included, by their common name and or their scientific name where applicable.
- b. Country or region of harvest of the material.

74.2.2 The ~~-certified organization~~*SFI-certified organization* can consider forest based products low risk and exempt from further due diligence when:

- a. Procured from a supplier with a valid SFI Section 2 (*SFI Forest Management Standard*) certificate, or other *acceptable forest management standards*, that clearly indicates that the source is within the scope of the certification; or
- b. Procured from a supplier with a valid SFI Section 3 (*SFI Fiber Sourcing Standard*) certificate that clearly indicates that the source is within the scope of the certification *and/or the due diligence system*; or
- c. Procured from a supplier with a valid SFI Section 4 (*SFI ~~Chain-of-Custody~~Chain-of-Custody Standard*), or other *credible chain-of-custodyChain-of-Custody standard* certificate and/or the due diligence system;
- d. Procured from a supplier with a valid SFI Section 5 (*SFI Certified Sourcing Standard*) certificate *and/or the due diligence system*; or
- e. Sourced from recycled forest-based products.

Commented [SFI 42]: Clarifying edit in response to comment. See a. – e.

Commented [SFI143]: Avoidance of Controversial Sources Subgroup edit.

74.3 Conducting a Risk Assessment *Develop and Implement a Due Diligence System*

74.3.1 The ~~-certified organization~~*SFI-certified organization* shall develop and implement a Due Diligence System (DDS) to *assess and manage* the risk of sourcing forest-based products from *controversial sources* in accordance with the requirements of this standard.

Commented [SFI144]: Avoidance of Controversial Sources Subgroup edit.

Commented [SFI145]: Avoidance of Controversial Sources Subgroup edit.

74.3.2 The DDS risk assessment shall classify material into ~~"low-"~~ and ~~"high-"~~ risk categories

74.3.3 The risk assessment shall be carried out at the regional level unless risk is consistent at the national level.

74.3.4 The ~~-certified organization~~*SFI-certified organization* shall review, and if necessary, revise its risk ratings on at least an annual basis.

74.3.5 The ~~-certified organization~~*SFI-certified organization* shall conduct a risk assessment before the first time of delivery for each new region of supply.

~~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.~~

Commented [SFI 46]: Replaced with updated DDS to align with PEFC.

74.4 Substantiated Concerns Due to Organization’s Risk Assessment

~~Implementing 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.~~

Commented [SFI 47]: Replaced by new 7.5.

74.4.1 The ~~-certified organization~~*SFI-certified organization* shall have a *program* to assess any substantiated concern. A substantiated concern is information supported by proof or evidence, indicating that forest-based material originates in *controversial sources*. Substantiated concerns can be concerns by third parties, as well as concerns of the ~~-certified organization~~*SFI-certified organization* itself.

74.4.2 The ~~-certified organization~~*SFI-certified organization* shall update its risk assessment to reflect substantiated concerns associated with a region of origin identified through internal data or public data.

Commented [SFI 48]: New requirements to add substantiated concerns – alignment with the PEFC requirements.

74.5 Management of “High”-Risk Forest-Based Products

74.5.1 Where the risk assessment determines high risk, the ~~-certified organization~~*SFI-certified 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*.

74.5.2 For each supply source where the risk is high, the risk assessment shall also identify the specific verifiable controls that the ~~-certified organization~~*SFI-certified organization* has in place to substantially reduce the risk of sourcing forest-based products from *controversial sources*.

74.5.3 Where an ~~-certified organization~~*SFI-certified organization* receives forest-based products, and then learns these forest-based products ~~may be~~ *from controversial sources, if possible, these forest-based products shall be* segregated and prevented from entering the ~~chain-of-custody~~*Chain-of-Custody system. If avoidance is not achieved* If forest-based product has already entered the ~~chain-of-custody~~*Chain-of-Custody system and cannot be segregated* additional corrective measures shall ~~must be implemented~~ *to avoid future controversial sources. If subsequent verification demonstrates that the risk of this fiber originating from controversial sources is low, these forest-based products can re-enter the chain-of-custody* *Chain-of-Custody system.*

Commented [SFI49]: Avoidance of Controversial Sources Subgroup edit.

Commented [SFI50]: Avoidance of Controversial Sources Subgroup edit.

74.5.4 The ~~-certified organization~~*SFI-certified organization* shall identify the verifiable measures that the ~~-certified organization~~*SFI-certified organization* must implement across the full supply chain for each source of supply identified as high risk to ensure that the supply is not from *controversial sources*, which will include:

- Assessing the operating effectiveness of verifiable measures, through field-based verification.
- For direct sources, include field and document verification of *controversial sources* risk factors back to the forest units from which fiber is sourced.
- For indirect sources, include site and document verification of suppliers (such as lumber suppliers, chip suppliers and wood yards) to establish the absence of *controversial sources* risk factors in their inputs and sample-

based field verification of their supply sources back to the forest units from which they source fiber.

74.5.5 Where sampling is conducted as part of the verification program, the sampling program shall be risk based to draw valid conclusions across all fiber inputs.

74.6 Avoidance of Controversial Sources

74.6.1 Where the verifiable measures are not considered to be effective in reducing the risk of receiving fiber from *controversial sources* to low, fiber from these sources shall be avoided.

Part 85: Minimum Management System Requirements

85.1 General Requirements

The ~~certified organization~~SFI-certified organization~~organization~~ shall operate a management system in accordance with the following elements of the ~~SFI 2022-2019 Chain-of-Custody~~Chain-of-Custody Standard, which ensure correct implementation and maintenance of the ~~chain-of-custody~~Chain-of-Custody process. The management system shall be appropriate to the type, range and volume of work performed.

Note: An ~~n-certified organization~~SFI-certified organization's~~organization's~~ quality (ISO 9001:2015~~08~~) or environmental (ISO 14001:2015~~04~~) management system can be used to meet the minimum requirements for the management system defined in this standard.

85.2 Responsibilities and Authorities for ~~Chain-of-Custody~~Chain-of-Custody

85.2.1 The ~~certified organization~~SFI-certified organization's~~organization's~~ top management shall define and document its commitment to implement and maintain the ~~chain-of-custody~~Chain-of-Custody requirements, and make this available to its personnel, suppliers, customers, and other interested parties.

85.2.2 The ~~certified organization~~SFI-certified organization's~~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~~Chain-of-Custody.

85.2.3 The ~~certified organization~~SFI-certified organization's~~organization's~~ top management shall carry out a regular periodic review of the ~~chain-of custody~~Chain-of-Custody and its compliance with the requirements of this standard.

85.2.4 The ~~certified organization~~ *SFI-certified organization* shall demonstrate its commitment to comply with the social, health and safety requirements defined in this standard, including the spirit of ILO Declaration on Fundamental Principles and Rights at Work (1998).

Commented [SFI 51]: Added to align with PEFC CoC Standard requirement 4.10

85.2.54 The ~~certified organization~~ *SFI-certified organization* shall identify personnel performing work affecting the implementation and maintenance of the ~~chain-of-custody~~ *Chain-of-Custody*, and establish and set responsibilities and authorities relating to the ~~chain-of-custody~~ *Chain-of-Custody* process:

- raw material procurement and identification of the *origin*;
- product processing covering physical separation, ~~or percentage calculation, or volume credit~~ and transfer into output products;
- product sale and labeling;
- record keeping; and
- internal audits and nonconformity control.

Commented [SFI 52]: Edit made as per comment for improved clarity.

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

Commented [SFI 53]: Group decided this is redundant with the text above.

8.2.6 *SFI-certified organizations* ~~The certified organizations~~ shall have a system to comply with all applicable social laws at the federal, provincial, state, and local levels in the country in which the *SFI-certified organization* ~~SFI-Certified Organization~~ operates. This includes having a policy demonstrating compliance 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.

Commented [SFI 54]: This was an interpretation which is now incorporated into the Standard. (Interpretation #1, Part 3).

85.3 Documented Procedures

The ~~certified organization~~ *SFI-certified organization's* ~~organization's~~ procedures for the ~~chain-of-custody~~ *Chain-of-Custody* shall be documented, and include at least the following elements:

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

85.4 Record Keeping

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

- records of all suppliers of forest-based ~~raw~~ material, including information to confirm requirements at the supplier level are met;

Commented [SFI 55]: Edit to reflect that "inputs" are not just direct from the forest.

- 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 that~~ occurred and corrective actions taken; and
- f. records of top management's periodic review of compliance with ~~chain-of custody~~Chain-of-Custody requirements.

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

85.5 Resource Management

85.5.1 Human Resources/Personnel:

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

85.5.2 Technical Facilities:

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

85.6 Internal Audit and Management Review

- 8.6.1** The ~~certified organization~~ SFI-certified organization shall conduct internal audits at least annually, and prior to the initial certification audit, intervals of no more than 18 months covering all requirements of this standard and establish corrective and preventive measures if required, ~~provided they have discussed this approach with their certification body and received prior approval and it agrees.~~ The following requirements shall apply:
- a. ~~for a single site or facility, the internal audit shall be completed prior to the next third party audit.~~
 - b. ~~for a site or facility within the scope of a multi-site certificate, the internal audit shall be completed prior to the third party audit of the central office including the results of the management review of the internal audit of the multi-site certificate.~~
 - c. ~~the internal audit shall address the requirements of 8.6.2 — 8.6.4 and 9.1 — 9.56.~~

85.6.2 The ~~certified organization~~ SFI-certified organization ~~organization~~ shall conduct the internal audit in accordance with the following requirements:

Commented [SFI56]: Edited to align with PEFC approach to internal audit cycle. Also, aligns with ISO 19011 requirements.

- a. The internal audit shall be undertaken by personnel that have adequate knowledge of the *SFI 2022-2019 Chain-of-Custody* ~~Chain-of-Custody 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 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.

~~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:~~

- a. ~~determine the level of risk associated with the outsourced activities as determined by Part 6 Outsourcing Agreements.~~
- b. ~~include within the scope of the internal audit those outsourced activities assessed as high risk.~~

Commented [SFI 57]: Moved to Outsourcing.

~~8.5.6.37~~ The ~~SFI-certified organization-certified organization~~ organization shall have its rationale for remote audits and its sampling procedure audited by its third-party certifier.

~~8.5.6.48~~ The results of internal audits shall be reported to management for review during the annual management review.

~~8.7 The organization shall establish procedures for dealing with complaints from suppliers, customers, and other parties relating to its chain-of-custodyChain-of-Custody system.~~

Commented [SFI 58]: Subgroup edit. Aligns with PEFC COC requirement re complaints.

Part 96: Outsourcing Agreements

Commented [SFI 59]: 9.1 – 9.2 taken from PEFC ST 2002-2020 clause 4.9 Outsourcing (except Note 1) PEFC definition of outsourcing.

96.1 The ~~certified organization~~ *SFI-certified organization* may outsource activities covered by its ~~SFI chain-of-custody~~ *Chain-of-Custody* to another entity.

96.2 Through all stages of outsourcing the ~~certified organization~~ *SFI-certified organization* shall be responsible for ensuring that all outsourced activities meet the requirements of this standard, including management system requirements. The ~~certified organization~~ *SFI-certified organization* shall have a written agreement with all entities to whom activities have been outsourced, ensuring that:

- a. The material/products covered by the ~~certified organization~~ *SFI-certified organization's* ~~SFI chain-of-custody~~ *Chain-of-Custody* are clearly identified ~~physically separated~~ from other material or products.
- b. The ~~certified organization~~ *SFI-certified organization* has access to the entity's site(s) for internal and external auditing of outsourced activities for conformity with the requirements of this standard.
- c. ~~Internal audits of outsourced activities should be conducted at least annually and before the outsourced activity starts.~~
- d. ~~Records of inputs/outputs are available.~~

Commented [SFI 60]: Edit to recognized that fiber can be separated in other ways other than physical separation,

Commented [SFI 61]: Recommended edit to strengthen the requirement.

Commented [SFI62]: Subgroup edit.

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:~~

- a. ~~the organization has legal ownership of all input material to be included in outsourced processes;~~
- b. ~~the organization does not relinquish legal ownership of the materials during outsourced processing;~~
- c. ~~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 outsourcing contractor or operation;~~
- d. ~~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.~~

96.3 Where the ~~certified organization~~ *SFI-certified organization* has outsourced activities within the scope of its ~~chain-of-custody~~ *Chain-of-Custody*, the ~~certified organization~~ *SFI-certified organization* shall develop procedures for the audit of these contractors.

96.4 The internal audit of outsource contractors may be conducted remotely.

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

9.6.6 The internal audit of outsource contractors shall:

- ~~determine the level of risk associated with the outsourced activities as determined by Part 9 — Outsourcing Agreements.~~
- ~~include within the scope of the internal audit those outsourced activities assessed as high risk.~~

Commented [SFI 63]: Replaced with new Outsourcing Requirements to align with PEFC.

Commented [SFI 64]: This clause deleted as the outsource contractor no longer has a level of risk associated with it. This aligns with the PEFC approach to outsourcing.

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*. SFI 2022 ~~Chain-of-Custody~~ *Chain-of-Custody Standard* at Part 3.2 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 which 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.

Other examples are listed in Table 1.

Table 1: Example of ~~chain-of-custody~~ *Chain-of-Custody* product group

Output products	Input raw material	Chain-of-custody <i>Chain-of-Custody</i> 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 percentage* can be applied over the last 12 months.

Example of a Three-Month Rolling Percentage 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 *percentage average* calculation is longer than the time period the *chain-of-custody* has been in place, the calculation of the rolling *percentage 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 *percentage average* (month 1) is calculated only from volumes procured in month 1, the second rolling *percentage average* (month 2) is calculated only from volumes procured in months 1 and 2.

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

1	2	3	4	5	6
No. of the 1-month calculation 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 _c	V _o	V _c (3)	V _o (3)	P _c (3)
			$V_c(3) = \sum_{j=i}^{i-2} V_{Cj}$	$V_o(3) = \sum_{j=i}^{i-2} V_{Oj}$	$P_c = \frac{V_c(3)}{V_c(3) + V_o(3)}$
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.
 $Vc(3)_6 = Vc_6 + Vc_5 + Vc_4$; $Vc(3)_6 = 16 + 15 + 14 = \mathbf{45}$ [tons]
- [column 5] Volume of other raw material is calculated as sum of volumes of other raw material procured in the previous 3 months.
 $Vo(3)_6 = Vo_6 + Vo_5 + Vo_4$; $Vo(3)_6 = 90 + 90 + 90 = \mathbf{270}$ [tons]
- [column 6] The rolling-average percentage is calculated according to the formula of chapter 3.3.1: $Pc = Vc / [Vc + Vo]$
 $Pc_6 = 100 * Vc(3)_6 / [Vc(3)_6 + Vo(3)_6]$; $Pc_6 = 100 * 45 / [45 + 270] = \mathbf{14.29\%}$

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 3.54.2-4 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: $[3]_i \leq [4]_i$	$\sum_{i=1}^{i-1} [2]$	
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].
 $[3]_{14} - [5]_{14} + [2]_{15} = 141.50 - 5 + 16.38 = 152.88$ **[tons]**

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

152.88 > 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 ~~twelve~~12 months [column 2, month 4-15].
- $$\begin{aligned}
 [4] &= [2]_4 + [2]_5 + [2]_6 + [2]_7 + [2]_8 + [2]_9 + [2]_{10} + [2]_{11} + [2]_{12} + \\
 &+ [2]_{13} + [2]_{14} + [2]_{15} = \\
 &= \\
 &8.56+9.28+9.99+10.70+11.41+12.12+12.83+13.54+14.25+14.96+15.6 \\
 &8+16.38 = \\
 &= \mathbf{149.72 \text{ [tons]}}
 \end{aligned}$$

Use of the **Volume-Credit Account**

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) 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.

Commented [SFI 65]: Moved to Audit Procedures and Auditor Qualifications and Accreditation (Section 9) and provide guidance on FM and FS certificates.

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 (ANABSI 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 23: 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 which address scope, references and definitions.

Commented [SFI66]: This is covered by the term, "other credible Chain-of-Custody standards" defined in SFI Section 14 – Definitions.

2. — The standard defines minimum requirements for the management system, including:
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 International Organization of Standardization (ISO) or the International Accreditation Forum.
5. — The standard requires the use of *certification bodies* accredited by ANABSI, 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.



SFI 2022 Certified Sourcing Standard
(Section 5)
April 15, 2021

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Preface

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* 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~~Certified Organizations~~SFI-certified organizations~~, both *primary producers* and *secondary producers*, in the United States or Canada sourcing SFI Certified Sourcing inputs to make an SFI Certified Sourcing claim. ~~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 ~~Standard Appendix.~~

~~Certified Organizations~~SFI-certified organizations ~~with a valid SFI Chain-of-Custody Chain-of-Custody certificate may use their chain-of-custody Chain-of-Custody procedures to account for SFI Certified Sourcing content and apply the SFI Certified Sourcing label.~~

A secondary producer must meet all the requirements in the SFI Certified Sourcing Standard to use the SFI Certified Sourcing Label, provided they do not also hold a SFI Chain-of-Custody Certificates. This includes Part 7. Due Diligence System to Avoid Controversial Sources and Part 8. Minimum Management System.

Commented [SFI 1]: This was an interpretation which is now incorporated into the Standard. (Interpretation #3, Part 2).

1.2 Purpose

The purpose of this section is to describe the requirements ~~Program Participants~~Certified Organizations~~SFI-certified organizations~~ ~~and secondary producers~~ must meet in order to manufacture product with a SFI Certified Sourcing claim. ~~use the SFI on-product label.~~

Commented [SFI2]: Deleted because secondary producers are included in the definition of Certified Organizations.

1.3 Label

~~This following~~ label applies to this section.



Part 2: Normative and Informative References

2.1 Normative

The following normative ~~SFI Standards-standards~~ are referenced in this document and can be found on the *SFI Inc.* website at www.sfiprogram.org~~www.forests.org~~:

- i. ISO/IEC 17065:2012 — Conformity Assessment — Requirements for bodies certifying product, process and services
- ii. Sections 2 and 3 — ~~SFI 2022-15-2019~~ Standards and Rules
- iii. Section ~~65~~ — Rules for Use of *SFI On-Product Labels* and *Off-Product Marks*
- iv. Section ~~87~~ — *SFI Policies*
- v. Section ~~109~~ — Appendix 1: Audits of Multi-Site Organizations
- vi. Section ~~143~~ — *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.forests.org:www.sfi-program.org:

- i. Section 4 — ~~SFI 2022-15-2019~~ *Chain-of-Custody Chain-of-Custody Standard*
- ii. Section ~~76~~ — ~~Guidance to SFI 2022-15-2019 Standards~~
- iii. Section ~~109~~ — ~~SFI 2022-15-2019~~ *Audit Procedures and Auditor Qualifications and Accreditation*
- iv. ISO 9001:2015 ~~1508~~ Quality management systems — Requirements
- v. ISO 14001:2015 ~~1504~~ Environmental Management Systems — Specification with guidance for use

Part 3: ~~Calculating the Creating a Certified Sourcing Label Claim~~

Commented [SFI 3]: Edit for clarity of intent.

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~~ that are *SFI certified*, those lands must be third-party certified to the ~~SFI 2022-15-2019~~ *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-certified Sourcing-sourcing claim or label* and information in sales documentation is as follows:

Commented [SFI 4]: Edit for improved clarity.

3.3.1 *Primary producers* shall ~~demonstrate conformance with the requirements of 3.1 at all times~~ always demonstrate conformance with the requirements of 3.1, which means 100% ~~certified-certified sourcing-sourcing~~ for every *product group*.

a. 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.

b. A primary producer that sources more than 5% of their raw material from secondary sources (the remaining raw material is from primary sources that are certified to the SFI Fiber Sourcing Standard's requirements), is required to meet Part 3, Creating a Certified Sourcing Claim, Part 7, Due Diligence System to Avoid Controversial Sources and Part 8, Minimum Management System.

Commented [SFI 5]: This was an interpretation which is now incorporated into the Standard. (Interpretation #2, Part 3).

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:

a. 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.

b. 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 *claim or label* can be used in relation to a specific *product group* or time period.

Commented [SFI 6]: Edit for clarity

3.3.4 A *secondary producer* may use the *Certified-certified Sourcing-sourcing claim or 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.

Commented [SFI 7]: Edit for clarity

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

3.4 *SFI Certified Sourcing Claim:* Fiber that conforms with Objectives 1-103 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 ~~—SFI Fiber Sourcing Standard~~ certificate or Section 4 ~~—SFI Chain-of-Custody Chain-of-Custody Standard~~ certificate, a *secondary producer's SFI Chain-of-Custody Chain-of-Custody Standard* certificate or *SFI Certified Sourcing Standard* certificate or, -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~~ the *SFI Certified Sourcing Standard*.

4.2 A *primary producer* outside the United States and Canada must account for 100% ~~percent~~ 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*.

4.4 ~~An SFI-certified organization~~ utilizing 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 Certified Sourcing Standard* ~~—Part 7 Due Diligence System to Avoid Controversial Sources.~~

Commented [SFI 8]: Moved from Guidance, paragraph 14.4.

Part 5: Certified Sourcing Definition

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

5.1 Fiber that conforms with Objectives 1-113 of Section 3 ~~—SFI 2022-2019 Fiber Sourcing Standard's~~ requirements.

5.2 *Pre-Consumer Recycled Content:* Forest and tree-based material recovered from waste during a manufacturing process. Excluded is reutilization of materials such as rework, reground or scrap generated in a process and capable of being reclaimed within the same process that generated it. Excluded are by-products resulting from primary production processes, such as sawmilling by-products (sawdust, chips, bark, etc.) or forestry

~~residues (bark, chips from branches, roots, etc.) as they are not considered waste. 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.~~

Commented [SFI 9]: Alignment with PEFC definition.

Any claims about *pre-consumer recycled content* by ~~Program-Participants~~Certified OrganizationsSFI-certified organizations or *label users* shall be accurate and consistent with applicable law. ~~Program-Participants~~Certified OrganizationsSFI-certified organizations 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:* ~~Forest and tree-based 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. This includes returns of material from the distribution chain and material from salvage from demolition. 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.~~

Commented [SFI 10]: Alignment with PEFC definition.

Any claims about *post-consumer recycled content* by ~~Program-Participants~~Certified OrganizationsSFI-certified organizations and *label users* shall be accurate and consistent with applicable law. ~~Program-Participants~~Certified OrganizationsSFI-certified organizations 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 202215-2019~~ *Forest Management Standard's* Objectives 1-1~~65~~ requirements or other *acceptable forest management standards* (e.g., CAN/CSA-Z809 and American Tree Farm System).
- 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 ~~76~~ on due diligence system to avoid *controversial sources*.

Part 6: ____ Sale of Products

- 6.1** If requested to provide a *SFI-certified sourcing claim*, the *SFI-certified organization* ~~Certified Organization~~ can, at the point of sale or transfer of the certified products to the next entity in the supply chain, 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 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.
- 6.2** When claims are communicated, the *SFI-certified organization* ~~Certified Organization~~ shall ensure that documentation of the certified products clearly states at least the following information:
- SFI-certified organization* ~~Certified organization~~'s identification and *SFI Certified Sourcing Standard* or *SFI Chain-of-Custody* ~~Chain-of-Custody Standard~~ certificate number,
 - manufacturing facility(s) supplying the product(s) covered by the claim,
 - range of dates for manufacture of the product(s) covered by under the claim,
 - description of product(s) covered by the claim,
 - an official *SFI* claim statement:
 - SFI X% Certified Sourcing or SFI Certified Sourcing
- 6.3** If the *SFI-certified organization* ~~Certified Organization~~ uses the logo, both on-product and off-product usage shall be carried out according to the terms and conditions of the *SFI Office of Label Use and Licensing* and the Section 6 — Rules for Use of *SFI On-Product Labels* and *Off-Product Marks*, in the *SFI 2022 Standards and Rules* document.

Part 7: Due Diligence System to Avoid *Controversial Sources*

7.1 Definition of *controversial sources*:

- Forest activities ~~which~~that are not in compliance with applicable state, provincial, federal, or international laws.
- Forest activities ~~which~~that are contributing to regional declines in habitat conservation and species protection (including *biodiversity* and *special sites*, *Alliance for Zero Extinction sites* and *key Biodiversity Areas* ~~threatened and endangered species~~).
- Conversion sources* originating from regions experiencing forest area decline.
- Forest activities where the spirit of the *International Labour Organization (ILO) Declaration on Fundamental Principles and Rights at work (1998)* are not met.
- Forest activities where the spirit of the *United Nations Declaration on the Rights of Indigenous Peoples (2007)* are not met.
- Fiber sourced from areas without effective social laws.*
- Illegal Logging* including trade in CITES (The Convention on International Trade in Endangered Species of Wild Fauna and Flora) listed species.
- Conflict Timber*
- Genetically modified trees via *forest tree biotechnology*.

Commented [SFI11]: This sections aligns with the new DDS and controversial sources definition.

Commented [SFI 12]: Edit requesting addition of AZE and KBAs as examples of special sites requiring protection.

Commented [SFI13]: New definition of 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
 - ~~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

Commented [SFI 14]: Old definition of Controversial Sources

7.2 Access to Information

7.2.1 The ~~SFI-certified organization~~ *Certified 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*. This includes:

- a. Identification of tree species, or list of tree species potentially included, by their common name and or their scientific name where applicable.
- b. Country or region of harvest of the material.

7.2.2 The ~~SFI-certified organization~~ can consider forest-based products low risk and exempt from further due diligence when:

- a. Procured from a supplier with a valid SFI Section 2 (*SFI Forest Management Standard*) certificate, or other *acceptable forest management standards*, that clearly indicates that the source is within the scope of the certification; or
- b. Procured from a supplier with a valid SFI Section 3 (*SFI Fiber Sourcing Standard*) certificate that clearly indicates that the source is within the scope of the certification and/or the due diligence system; or
- c. Procured from a supplier with a valid SFI Section 4 (*SFI Chain-of-Custody Standard*), or other credible ~~chain-of-custody~~ Chain-of-Custody standard certificate and/or due diligence system; or
- d. Procured from a supplier with a valid SFI Section 5 (*SFI Certified Sourcing Standard*) certificate and/or due diligence system; or
- e. Sourced from recycled forest-based products.

Commented [SFI 15]: Same edit as in the CoC Standard. Clarifying edit. See a. – e.

Commented [SFI16]: Subgroup edit to include DDS in addition to the certificate.

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:~~

- 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.~~

7.3 Develop and Implement a Due Diligence System~~Conducting a Risk Assessment~~

7.3.1 ~~The SFI-certified organization~~ ~~Certified Organization~~ shall develop and implement a Due Diligence System (DDS) to **assess and** manage the risk of sourcing forest-based products from ~~controversial sources~~ in accordance with the requirements of this standard.

7.3.2 The DDS risk assessment shall classify material into "low" and "high" risk categories.

7.3.3 The risk assessment shall be carried out at the regional level unless risk is consistent at the national level.

7.3.4 The organization shall review, and if necessary, revise its risk ratings on at least an annual basis.

7.3.5 The organization shall conduct a risk assessment before the first time of delivery for each new region of supply.

~~6.3~~ Conducting a Risk Assessment

~~The intent is to carry out the risk assessment of all controversial sources at the national level and where risk is not consistent, at the appropriate regional level. This includes both forest-based products from illegal logging (SFI Certified Sourcing Standard Appendix 1 – Part 6.3.2) and forest-based products from areas without effective social laws (SFI Certified Sourcing Appendix 1 – Part 6.3.3). When forest-based products, excluding recycled content, are procured without a valid SFI Section 2 (SFI 2015-2019 Forest Management Standard), Section 3 (SFI~~

Commented [SFI 17]: Replaced with new 7.2 Access to Information

Commented [SFI18]: Avoidance of Controversial Sources Subgroup edit.

Commented [SFI19]: Avoidance of Controversial Sources Subgroup edit.

Commented [SFI 20]: Formerly Interpretation #4, Part 2, Appendix 1 – no longer needed as the requirement for a full DDS has addressed this item.

~~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 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.~~

- ~~**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:~~
- ~~a. workers' health and safety;~~
 - ~~b. fair labor practices;~~
 - ~~c. Indigenous Peoples' rights;~~
 - ~~d. antidiscrimination and anti-harassment measures;~~
 - ~~e. prevailing wages; and~~
 - ~~f. 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.~~

7.4 Substantiated Concerns Due to Organization's Risk Assessment

Commented [SFI 21]: Replaced with 7.3 Conducting a Risk Assessment.

Commented [SFI22]: New requirements to add substantiated concerns – alignment with the PEFC requirements.

7.4.1 The ~~SFI-certified organization~~ ~~Certified Organization~~ shall have a *program* to assess any substantiated concern. A substantiated concern is information supported by proof or evidence, indicating that forest-based material originates in *controversial sources*. Substantiated concerns can be concerns by third parties, as well as concerns of the organization itself.

7.4.2 The ~~SFI-certified organization~~ ~~Certified Organization~~ shall update its risk assessment to reflect substantiated concerns associated with a region of origin identified through internal data or public data.

7.5 Management of “High-” Risk Forest-Based Products

7.5.1 Where the risk assessment determines high risk, the ~~SFI-certified organization~~ ~~Certified 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*.

7.5.2 For each supply source where the risk is high, the risk assessment shall also identify the specific verifiable controls that the supplier has in place to substantially reduce the risk of sourcing forest-based products from *controversial sources*.

7.5.3 Where a ~~SFI-certified organization~~ ~~Certified Organization~~ receives forest-based products, and then learns these forest-based products ~~are may be~~ from *controversial sources*, if possible, these forest-based products shall ~~must be~~ segregated and prevented from entering the supply chain. ~~If avoidance is not achieved~~ If forest-based product has already entered the fiber supply system and cannot be segregated additional *corrective measures* shall ~~must be~~ implemented to avoid future controversial sources. If subsequent verification demonstrates that the risk of this fiber originating from *controversial sources* is low, these forest-based products can re-enter the supply chain.

7.5.4 The ~~SFI-certified organization~~ ~~Certified Organization~~ shall identify the verifiable measures it must implement across the full supply chain for each source of supply identified as high risk to ensure that the supply is not from *controversial sources* which will include:

- a. assessing the operating effectiveness of verifiable measures, through field-based verification.
- b. for direct sources, include field and document verification of *controversial sources* risk factors back to the forest units from which fiber is sourced.
- c. for indirect sources, include site and document verification of suppliers (such as lumber suppliers, chip suppliers and wood yards) to establish the absence of *controversial sources* risk factors in their inputs and sample-based field verification of their supply sources back to the forest units from which they source fiber.

Commented [SF123]: Avoidance of Controversial Sources Subgroup edit.

7.5.5 Where sampling is conducted as part of the verification program, the sampling program should be risk based to draw valid conclusions across all fiber inputs.

7.6 Avoidance of Controversial Sources

7.6.1 Where the verifiable measures are not considered to be effective in reducing the risk of receiving fiber from *controversial sources* to low, fiber from these sources shall be avoided.

Part 8: Minimum Management System Requirements

A *primary producer* certified to the *SFI 2022 Fiber Sourcing Standard* (Section 3, Objectives 1-11), meets the minimum management systems requirements specified in Part 8 of *SFI Certified Sourcing Standard*.

Commented [SFI 24]: Interpretation #1, Part 2, Appendix 1

8.1 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 9001:2015⁹⁸) or environmental (ISO 14001:2015⁹⁴) management system can be used to meet the minimum requirements for the management system defined in this standard.

8.2 Responsibilities and Authorities for *Certified Sourcing*

8.2.1 The ~~Program Participant's~~ *SFI-certified organization's* ~~Certified 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.

8.2.2 The ~~Program Participant's~~ *SFI-certified organization's* ~~Certified 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*.

8.2.3 The ~~Program Participant's~~ *SFI-certified organization's* ~~Certified organization's~~ ^{top} management shall carry out a regular periodic review of the *certified sourcing* and its compliance with the requirements of this standard.

8.2.4 The *SFI-certified organization* ~~Certified Organization~~ shall demonstrate its commitment to comply with the social, health and safety requirements defined in this standard, including the spirit of ILO Declaration on Fundamental Principles and Rights at Work (1998).

Commented [SFI 25]: Added to align with PEFC requirement 4.10

8.2.5 The ~~SFI-certified organization~~ ~~Certified Organization~~ ~~Program Participant~~ 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.~~

Commented [SFI26]: Text is redundant due to text immediately above.

8.2.6 The ~~certified organizations~~ ~~SFI-certified organization~~ shall have a system to comply with all applicable social laws at the federal, provincial, state, and local levels in the country in which the ~~SFI-certified organization~~ ~~SFI-Certified Organization~~ operates. This includes having a policy demonstrating compliance 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.

Commented [SFI 27]: This was an interpretation which is now incorporated into the Standard. (Interpretation #1, Part 3).

8.3 Documented Procedures

The ~~SFI-certified organization's~~ ~~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.

8.4 Record Keeping

8.4.1 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 which occurred and corrective actions taken; and
- e. records of top management's periodic review of compliance with *certified sourcing* requirements.

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

8.5 Resource Management

8.5.1 Human Resources/Personnel:

The ~~*SFI-certified organization*~~ *Certified OrganizationProgram Participant* shall ensure that all personnel performing work affecting the implementation and maintenance of the *certified sourcing* shall be competent ~~on the basis of~~ based on appropriate training, education, skills and experience.

8.5.2 Technical Facilities:

The ~~*SFI-certified organization*~~ *Certified OrganizationProgram Participant* shall identify, ~~provide~~ 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.

8.5.6 Internal Audit and Management Review

~~**8.5.6.1**~~ The ~~*SFI-certified organization*~~ *certified organization* shall conduct internal audits at least annually, and prior to the initial certification audit, intervals of no more than 18 months covering all requirements of this standard and establish corrective and preventive measures if required, ~~provided they have discussed this approach with their certification body and received prior approval~~, and it agrees. The following requirements shall apply:

- a. ~~for a single site or facility, the internal audit shall be completed prior to the next third party audit.~~
- b. ~~for a site or facility within the scope of a multi-site certificate, the internal audit shall be completed prior to the third party audit of the central office including the results of the management review of the internal audit of the multi-site certificate.~~
- c. ~~the internal audit shall address the requirements of 8.6.2 – 8.6.8.~~

Commented [SFI28]: Edited to align with PEFC approach to internal audit cycle. Also, aligns with ISO 19011 requirements.

8.5.6.2 The ~~*SFI-certified organization*~~ *Certified OrganizationProgram Participant* shall conduct the internal audit in accordance with the following requirements:

- a. The internal audit shall be undertaken by personnel that have adequate knowledge of the ~~*SFI 2022 15-2019 Fiber Sourcing Standard*~~ *Certified 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;

Commented [SFI29]: Alignment with SFI COC language edits.

- 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.

8.56.3 Where the ~~SFI-certified organization~~ *Certified Organization Program Participant* has outsourced activities within the scope of its *certified sourcing* the organization shall develop procedures for the audit of these contractors including a written agreement with all outsource contractors that states:

Commented [SFI 30]: From 2015-2019 Chain-of-Custody 6.1

a. ~~the SFI-certified organization~~ *certified organization* maintains legal ownership of all input material to be included in the outsourced processes;

Commented [SFI 31]: From 2015-2019 Chain-of-Custody 6.1

b. ~~the certified sourcing material from the certified organization is clearly identified physically segregated from other non-certified material and outsource contractor returns the material back to the certified organization after the outsourced work is completed; and~~

Commented [SFI 32]: Edit to recognize there are ways to ensure integrity of the process without having physical separation.

c. ~~the certified organization reserves the right for the SFI~~ *accredited certification body to audit the outsourcing contractor or operation.*

Commented [SFI 33]: From 2015-2019 Chain-of-Custody 6.2.

Commented [SFI 34]: From 2015-2019 Chain-of-Custody 6.1.

d. *records of inputs/outputs are available.*

Commented [SFI35]: Edit to strengthen the requirement.

8.56.4 The internal audit of outsource contractors may be conducted remotely.

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

~~8.6.6 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;~~

Commented [SFI 36]: Edit to removal of this clause – same comment made for Chain-of-Custody Standard.

8.6.7 The ~~SFI-certified organization~~ *Certified Organization Program Participant* shall have its rationale for remote audits and its sampling procedure audited by its third-party certifier.

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

8.6.9 The organization shall establish procedures for dealing with complaints from suppliers, customers, and other parties relating to its certified sourcing system.

Commented [SFI37]: Subgroup edit. Aligns with PEFC COC requirement re complaints.

Part 6 — Outsourcing Agreements

6.1 — Outsourcing Agreements

Commented [SFI 38]: As per Chain-of-Custody Task Group discussion – Current Chain-of-Custody Part 6 - Outsourcing section to be paired down to be more in alignment with PEFC requirements.

~~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:~~

- ~~a. the organization has legal ownership of all input material to be included in outsourced processes;~~
- ~~b. the organization does not relinquish legal ownership of the materials during outsourced processing;~~
- ~~c. 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 outsourcing contractor or operation;~~
- ~~d. the organization has a documented control system with explicit procedures for the outsourced process which are shared with the relevant contractor;~~

Commented [SFI 39]: Now in 8.6.3.

~~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.~~

Commented [SFI 40]: Now in 8.6.3.

~~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.~~

Part 9: Application Requirements

9.1 *Primary producers must annually submit to the SFI 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.

~~9.1.1~~ A copy of their annual *SFI 2022-15-2019 Forest Management Standard* and/or *SFI 2022-15-2019 Fiber Sourcing Standard* public audit summary report issued by an SFI certification body.

Commented [SFI41]: Removed as this is outdated and does not reflect actual workflow. New requirement at 9.1.1

~~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.

9.2 Primary or *secondary producers* outside the United States and Canada must ~~annually~~ submit to the SFI Office of Label Use and Licensing.

Commented [SFI42]: Removed as this is not standard practice. The Certification Body reports the certificate and the certified organization applies for label approval via the SFI Database.

~~9.2.1~~ Specific examples of proposed *SFI* on-product label use and related promotional literature to the SFI Office of Label Use and Licensing, in keeping with the *SFI* Section 6 — Rules For Use of *SFI On-Product Labels* and *Off-Product Marks*.

~~8.3.1~~ A copy of their *Certified Sourcing* certificate to Appendix 1 of the *SFI 2015-2019 Fiber Sourcing Standard* 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.

Commented [SFI43]: Removed. Not standard practice

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* a (Section 5 in the *SFI Standards and Rules* document), 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 the Rules For Use of *SFI* On Product Labels and Off Product Marks (Section 5 in the *SFI* Standards and Rules document).

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.

Commented [SF144]: Moved to the Label Use section.



**Rules for Use of *SFI On-Product Labels and*
*Off-Product Marks***
(Section [65](#))

April 15, 2021

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~~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 2022-15-2019 Forest Management Standard, SFI 2022-15-2019 Fiber Sourcing Standard, SFI 2022 Certified Sourcing Standard and SFI 2022-15-2019 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 an 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 202215-2019 Forest Management Standard, Section 3 — SFI 202215-2019 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:~~

- ~~a. the primary producer must be an SFI Program Participant;~~
- ~~b. the primary producer must be certified to all of the applicable objectives in Section 2 — SFI 202215-2019 Forest Management Standard and/or Section 3 — SFI 202215-2019 Fiber Sourcing Standard.~~
 - ~~• An organization which owns or manages forestlands must be certified to Section 2 — SFI 202215-2019 Forest Management Standard.~~
 - ~~• An organization which only sources direct from the forest and does not manage the forestlands must be certified to Section 3 — SFI 202215-2019 Fiber Sourcing Standard.~~
 - ~~• An organization which owns or manages forestlands and sources direct from the forest must be certified to Section 2 — SFI 202215-2019 Forest Management Standard and Section 3 — SFI 202215-2019 Fiber Sourcing Standard.~~
- ~~c. Primary or secondary producers of wood, wood pulp and/or pulp and paper products certified to the PEFC Chain of Custody standard can use the SFI Labels Recognizing Global Standards label as long as the following criteria are met:~~
 - ~~— The primary producer, if outside the United States and Canada, must have a valid PEFC Chain of Custody certificate for relevant manufacturing sites located outside the United States or Canada.~~
 - ~~— The secondary producer must have a valid PEFC Chain of Custody and/or Section 4 — SFI 2022 Chain of Custody Standard certificate for relevant manufacturing sites located outside the United States or Canada and manufacture products for Canadian and U.S. markets.~~
 - ~~• Note that at least one organization in the supply chain must meet User Requirements for SFI Label Recognizing Global Standards to use the label on finished products and all rules for use of the SFI Label must be followed.~~

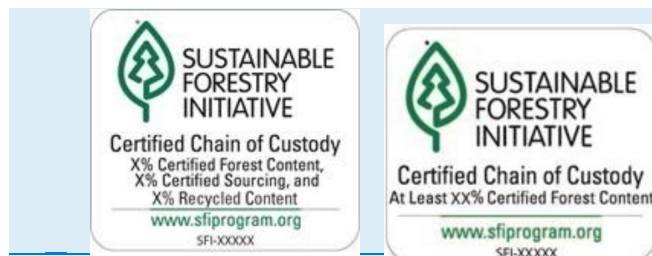
1.1 Chain of Custody Label for Volume Credit Method Label

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 chose 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 towards 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: Office of Label Use and Licensing

2.1 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 a (Section 6 in the SFI 2022 Standards and Rules document), and shall maintain oversight of use of all SFI on-product labels.

Commented [SFI 1]: 1.1 – 1.4 moved into a new section: SFI Labels and Claims. Not deleted.

Commented [SFI2]: All relevant rules for use of on-product labels for approval and process as part of the Office of Label Use and Licensing pulled into this new section.

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~~below green/black version, the PMS color is 347C. PMS 348 may also be used.



Commented [SFI3]: Updated to include new green color following updated SFI brand guidelines.

Commented [SFI 4]: Existing text (2.2) moved to this section. This rearrangement is to group like requirements in their relevant sections.

2.3 A label user ~~shall~~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*.

2.4 Approval for use of any SFI on-product labels will become effective upon authorization issued by the *Office of Label Use and Licensing*.

2.5 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.

2.6 Label Users 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 the Rules For Use of *SFI On-Product Labels* and *Off-Product Marks* (Section 6 in the SFI Standards and Rules document).

Commented [SFI5]: Requirements moved from Section 3, Appendix 1 Part 9. This rearrangement is to group like requirements in their relevant sections.

2.7~~2.1~~ 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.

Commented [SFI6]: Existing text moved to this section. This rearrangement is to group like requirements in their relevant sections.

2.8 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 6 - Rules For Use Of *SFI On-Product labels and Off-Product Marks*. ~~(see All interpretations will be posted at~~posted here). www.sfi-program.org/forests.org.

Commented [SFI7]: Requirements moved from Section 3, Appendix 1 Part 9. This rearrangement is to group like requirements in their relevant sections.

2.9~~2.2~~ The *SFI 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.

2.10 ~~2.3~~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.

Commented [SFI 8]: Existing language moved to this section. This rearrangement is to group like requirements in their relevant sections.

- 2.11** ~~24~~ Label users who observe misuse of any of these marks shall report this immediately to the *Office of Label Use and Licensing*.
- 2.12** ~~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*.
- 2.13** ~~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.
- 2.14** The *Office of Label Use and Licensing* will approve use of *SFI On-Product* ~~on-product~~ labels as a batch or group. These blanket approvals can include:
1. Template label use:
 - a. for different products with the same customer using the same *SFI* category of origin. The category of origin meets label use requirements, the label is always the same but is applied to different products or a group of products with the same customer/brand. Example: *SFI* label applied on 5 versions of Company X's product packaging (sizes XS/S/M/L/XL, or 6 pack/12 pack/24 pack or 4 flavor options).
 - b. for different customers using the same *SFI* category of origin. The category of origin meets label use requirements, the product group is the same, the label is the same, but the same product is printed for different customers. For example, Company Y produces a box for 17 customers where the label placement and category of origin is the same for all 17.

2. Repeat jobs by a company or facility for a customer using the same SFI category

of origin on a product. The category of origin is the same, the label is the same, but the product is updated. For example, a magazine with repeat issues (catalogs or books). For example, Company Z prints a quarterly magazine using the same paper with the same SFI category of origin with the same label for all ~~four~~ issues that year.

2.15 ~~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 vision and mission. ~~objective, which is to "ensure the SFI 2022:15-2019 Standards and Rules is strong, grounded in science, progressive and based on integrity and proven through conservation collaboration resulting in wide market acceptance."~~

2.167 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 SFI~~ label ID number would be on the product when searched in the ~~SFI SFI~~ on-line database, the supplier information will read "Contact SFI Inc. for More Information on this Product (Tel: 202-596-3450)." ~~SFI 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 SFI~~ label ID number for all other products they manufacture and label that do not have competitiveness concerns as described above.

In addition to private ~~SFI SFI~~ label ID number issuance to private branded products, the SFI promotional mark can be used with a private ~~SFI SFI~~ label ID number for retailers and other point of sales, as well as for educational or non-profit use.

A ~~Certified~~ ~~Organization~~ shall apply to the SFI Office of Label Use and Licensing for a private ~~SFI SFI~~ label ID number.

Commented [SFI 9]: Moved from general rules section. This rearrangement is to group like requirements in their relevant sections.

Commented [SFI10]: New language to reflect current process.

Part 3: SFI Claims and Labels

3.1 ~~SFI Chain-of-Custody~~ ~~SFI Chain-of-Custody~~ Label for Volume Credit Method Labels and Claims

The SFI-Certified Chain-of-Custody labels communicate the use of fiber from certified forests, *certified sourcing* or *recycled content*. These products do not contain *controversial sources* and the content is calculated using either ~~average~~ percentage or the ~~volume~~ credit method.

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%

Commented [SFI11]: New separate section to explain, align and document SFI claims and labels. This section also pulls in language from 1.1 – 1.4 in this standard. This rearrangement is to group like requirements in their relevant sections.

organization that uses the **volume** credit chain of custody method. If the chain of custody **certified organization** 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 **certified organizations** 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 **certified organization** 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 **certified organization** 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. There are two labels that may be used by any chain of custody **certified organization** that drops below a 70% threshold and uses the **average** percentage chain of custody method.

Commented [SFI12]: Moved from 1.1. This rearrangement is to group like requirements in their relevant sections.

Commented [SFI13]: Label examples included further down in the document.

Commented [SFI14]: Moved from 1.2

LABEL: SFI CHAIN-OF-CUSTODY SFI CHAIN-OF-CUSTODY - PROMOTING SUSTAINABLE FORESTRY



REQUIRED CERTIFICATION: **SFI CHAIN-OF-CUSTODY SFI CHAIN-OF-CUSTODY**

OFFICIAL SFI CLAIMS

From a supplier using the Percent Method

- **SFI 70% -100% Certified Forest Content**

From a supplier using the Credit Method

- **SFI Credit**
- **100% as calculated under the SFI credit method**

NOTES:

- Other acceptable credit claims include **SFI Volume Credit** and **SFI 100% as calculated under the volume credit method.**

LABELS: SFI CHAIN-OF-CUSTODY SFI CHAIN-OF-CUSTODY - PROMOTING SUSTAINABLE FORESTRY AND RECYCLED CONTENT



OFFICIAL SFI CLAIMS

From a supplier using the Percent Method

- **SFI 70% - 100% Certified Forest Content and recycled content**
- **SFI At Least 70% - 100% Certified Forest Content and recycled content**

MOBIUS LOOP OPTION

- **SFI X% recycled content (shown in mobius loop)**

From a supplier using the Credit Method:

- **SFI Credit**
- **100% as calculated under the SFI credit method**
- **MOBIUS LOOP OPTION**
- **SFI X% recycled content (shown in mobius loop)**



NOTES:

- Other acceptable volume credit claims include *SFI Volume Credit* and *SFI 100% as calculated under the volume credit method*.

**REQUIRED
CERTIFICATION:
SFI CHAIN-OF-
CUSTODY**

LABELS: SFI CHAIN-OF-CUSTODY SFI CHAIN-OF-CUSTODY - AT LEAST XX% CERTIFIED FOREST CONTENT



**REQUIRED
CERTIFICATION:**
**SFI CHAIN-OF-
CUSTODY SFI CHAIN-OF-
CUSTODY**

OFFICIAL SFI CLAIMS

From a supplier using the Percent Method

- *SFI At Least XX% Certified Forest Content*
- **MOBIUS LOOP OPTION**
- *SFI X% recycled content (shown in mobius loop)*

NOTES:

- 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.
- An ~~SFI chain-of-custody~~ SFI Chain-of-Custody certified organization 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.

Commented [SFI15]: Previously 2.13. moved here with the relevant label for improved context and clarity.

Commented [SFI16]: Previously 2.14. moved here with the relevant label for improved context and clarity.

LABEL: SFI CHAIN-OF-CUSTODY SFI CHAIN-OF-CUSTODY - 100% RECYCLED CONTENT



**REQUIRED
CERTIFICATION:**
**SFI CHAIN-OF-
CUSTODY SFI CHAIN-OF-
CUSTODY**

OFFICIAL SFI CLAIMS

From a supplier using the Percent Method

- *SFI 100% Recycled Content*

NOTES:

- Label users can substitute the term "Recycled Content on labels and replace it with pre-consumer recycled and/or post-consumer recycled.
- Facilities that utilize 100% recycled content can use the X% label with the percentage method. They cannot, however, use the X% Certified Forest Content tagline, and must exclude that tagline from the label.

Commented [SFI17]: Previously 2.16. moved here with the relevant label for improved context and clarity.

Commented [SFI18]: Previously 2.17. moved here with the relevant label for improved context and clarity.

LABELS: SFI CHAIN-OF-CUSTODY SFI CHAIN-OF-CUSTODY - X% CERTIFIED FOREST CONTENT, X% CERTIFIED SOURCING, AND X% RECYCLED CONTENT



**REQUIRED
CERTIFICATION:**
**SFI CHAIN-OF-
CUSTODY SFI CHAIN-OF-
CUSTODY**

OFFICIAL SFI CLAIMS

From a supplier using the Method

- *SFI X% Certified Forest Content*
- *SFI X% Certified Sourcing*
- *SFI 100% Recycled Content*

MOBIUS LOOP OPTION

- *SFI X% recycled content (shown in mobius loop)*

NOTES:

- The X% content label must equal all parts to 100%

Commented [SFI19]: Moved from 2.26 for use with the relevant label for improved context and clarity.



**REQUIRED
CERTIFICATION:
SFI CHAIN-OF-
CUSTODY**

- If a specific attribute does not apply (e.g., post-consumer recycled content), the company must exclude that tagline from the label.
- The 100% certified forest content claim can be made only when the physical separation method has been used throughout the chain of custody process.
- 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.
- If the content contains less than SFI 10% Certified Forest Content, and is not 100% Recycled content, this label cannot be used. The use of this label with the certified forest content claim is contingent on the production batch having at least 10% certified forest content, unless the product is 100% recycled content. An SFI chain-of-custody SFI Chain-of-Custody certified organization may make a claim of any percentage of recycled content, but use of the label is contingent on the production batch having at least 10% recycled content with the balance of the production batch qualifying for certified forest content and/or SFI certified sourcing.
- SFI Certified Sourcing can only be used in combination with SFI X% Certified Forest Content. It cannot be used alone in the SFI Chain of Custody label, nor in sole combination with SFI X% Recycled Content. If the label user wishes to make a 100% certified sourcing claim, the SFI certified sourcing label must be used.
- The SFI X% Recycled line can only be used on its own if it is at 100%. Pre and Post consumer recycled content can be included in the Recycled Content line. If the SFI X% Recycled Content is less than 100, it must be used with the SFI X% Certified Forest Content line and/or the SFI X% Certified Sourcing line. Both are applicable to the total claim breakdown.
- If a chain of custody certified organization uses recycled content, they can choose to incorporate a Mobius loop stating the percentage of recycled content in the product. The recycled mobius loop may only be used within the SFI label when the organization is certified to the SFI 2022 Chain-of-Custody Standard.
- If a chain of custody certified organization uses recycled content, they can choose to incorporate a Mobius loop stating the percentage of recycled content in the product.

Commented [SFI20]: Previously 2.26. moved here with the relevant label for context and clarity.

Commented [SFI21]: Previously 2.26. moved here with the relevant label for improved context and clarity.

Commented [SFI22]: Previously 2.15. moved here with the relevant label for improved context and clarity.

Commented [SFI23]: Moved from previous 2.14 for use with the label and improved context.

Commented [SFI24]: Updated language to clearly allow for recycled content tracked through average percentage systems without certified forest content and mixed with certified sourcing.

Commented [SFI25]: Previously 2.26. moved here with the relevant label for improved context and clarity.

Commented [SFI26]: Previously 2.16 and 2.17. moved here with the relevant label for improved context and clarity.

Commented [SFI27]: Updated language to clearly allow for recycled content tracked through average percent systems with certified forest content and certified sourcing content.

Commented [SFI28]: Previously 1.3. moved here with the relevant label for improved context and clarity.

Commented [SFI29]: Previous 2.4. moved here and updated for improved context.

Commented [SFI30]: Moved from 1.3. This rearrangement is to group like requirements in their relevant sections.

Commented [SFI31]: Included in matrix sequence.

1.3 Chain-of-Custody Labels with Mobius Loop
Label Options Who can use this label



Required certificate:
SFI Chain of Custody



Required certificate:
SFI Chain of Custody



Required certificate:
SFI Chain of Custody



Required certificate:
SFI Chain of Custody





Required certificate:
SFI Chain of Custody



Required certificate:
SFI Chain of Custody

~~If a chain of custody certified organization uses recycled content, they can choose to incorporate a Mobius loop stating the percentage of recycled content in the product.~~

Commented [SFI32]: Moved from 1.3

<u>Claim and/or category of origin included on relevant documentation</u>	<u>Label Options</u>	<u>Who can use this label</u>
<p>From a supplier using the Average Percent Method: <u>70%—100% Certified Forest Content and recycled content</u> <u>At Least 70%—100% Certified Forest Content and recycled content</u> <u>X% recycled content (shown in mobius loop)</u></p> <p>From a supplier using the Volume Credit Method: <u>Volume Credit or 100% as calculated under the volume credit method</u> <u>X% recycled content (shown in mobius loop)</u></p>		<p>Required Certificate: <u>SFI Chain of Custody¹</u></p>
<p>From a supplier using the Average Percentage method: <u>At Least X% Certified Forest Content^{2,3}</u> <u>X% recycled content (shown in mobius loop)</u></p>		<p>Required certificate: <u>SFI Chain of Custody</u></p>

1.4 — Certified Sourcing

Commented [SFI33]: See below. 1.4 language incorporated into following section on SFI Certified Sourcing Label & Claim.

3.2 SFI Certified Sourcing Label and Claim

The *SFI Certified Sourcing* label and claim do not make claims about certified forest content. They tell buyers and consumers that *certified organization* is certified to the *SFI 2022 15-2019 Fiber Sourcing Standard*, or comes from *recycled content*, or from a certified forest. All fiber must be from *non-controversial sources*.

Commented [SFI 34]: Edit to clarify that SFI certified content is not just certified forest content.

The *SFI Certified Sourcing* label can be used by any organization certified to Section 2 - *SFI 2022 15-2019 Forest Management Standard* and/or Section 3 — *SFI 2022 15-2019 Fiber Sourcing Standard*. The *SFI Certified Sourcing* label does not make claims about *certified forest content*. Eligible inputs that count towards the *Certified Sourcing* label includes fiber from Section 2 — *SFI 2022 15-2019 Forest Management Standard*, fiber from Section 3 — *SFI 2022 15-2019 Fiber Sourcing Standard*, fiber from *recycled*

Commented [SFI35]: New descriptive language from SFI collateral material.

¹ 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. (moved from previous 2.4)

² 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*. (moved from previous 2.14)

³ 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. (moved from previous 2.13)

content, or fiber from ~~certified forest content~~. Fiber shall never be sourced from a ~~controversial source~~.

Commented [SFI36]: Language previously included in 1.4.

Primary and Secondary producers with a valid ~~SFI Chain-of-Custody~~ *SFI Chain-of-Custody* certificate may use their chain of custody procedures to account for *SFI Certified Sourcing content* and applying the *SFI Certified Sourcing label*. These organizations must obtain documentation from their suppliers that the product is sold with a *SFI Certified Sourcing claim* and is approved for the *Certified Sourcing Label*.

Commented [SFI 37]: New language to align with scope of SFI Certified Sourcing Standard language revisions to clarify use of SFI CS label by SFI COC certified organizations.

Printers that are certified to the ~~SFI Chain-of-Custody~~ *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 *certified organizations* must obtain documentation from their suppliers that the product is approved for the *Certified Sourcing Label*.

Commented [SFI 38]: Moved from 2.18

LABEL: SFI CERTIFIED SOURCING

Commented [SFI39]: Updated matrix on Certified Sourcing label and claims for improved clarity.



- **OFFICIAL SFI CLAIMS** *SFI Certified Sourcing*
- *SFI 100% Certified Sourcing*

REQUIRED CERTIFICATION:
~~SFI CHAIN-OF-CUSTODY~~ *SFI*
~~CHAIN-OF-CUSTODY, CERTIFIED~~
~~SOURCING, AND/OR~~
~~SFI FIBER SOURCING~~

<u>Claim and/or category of origin included on relevant documentation</u>	<u>Label Options</u>	<u>Who can use this label</u>
<u><i>SFI Certified Sourcing or SFI 100% Certified Sourcing</i></u>		Organizations with a valid <u><i>SFI certificate to:</i></u> <ul style="list-style-type: none"> — <u><i>SFI Fiber Sourcing</i></u> — <u><i>SFI Certified Sourcing</i></u> — <u><i>SFI Chain-of-Custody</i></u>

3.3 Other SFI Label and Claim Options

Commented [SFI 40]: New section: Other SFI Label and Claims options. These are all existing labels and claims developed since the launch of the last standards.

3.3.1 Non-Timber Forest Products

Organizations with ~~*SFI Chain-of-Custody*~~ *SFI Chain-of-Custody* certification using physical separation for a Non-Timber Forest Product can use the ~~*SFI Chain-of-Custody*~~ *SFI Chain-of-Custody* label with a

claim of "100% from a SFI Certified Forest."

LABEL: NON-TIMBER FOREST PRODUCTS

Commented [SFI41]: Updated matrix on label and claims for improved clarity.




OFFICIAL SFI CLAIMS

From a supplier using Physical Separation Method

- SFI 100% from a Certified Forest

REQUIRED CERTIFICATION: **SFI CHAIN-OF-CUSTODY** **SFI CHAIN-OF-CUSTODY**

<u>Claim and/or category of origin included on relevant documentation</u>	<u>Label Options</u>	<u>Who can use this label</u>
<u>SFI 100% from a Certified Forest</u>		<u>Required certificate:</u> <u>SFI Chain-of-Custody</u>

3.3.2 SFI Forest Management Label

Organizations with SFI Forest Management certification without SFI Chain-of-Custody SFI Chain-of-Custody can apply the 100% Certified Forest Content label.


LABEL: SFI FOREST MANAGEMENT LABEL

Commented [SFI42]: Updated matrix on label and claims for improved clarity.



- **OFFICIAL SFI CLAIMS** 100% Certified Forest Content

REQUIRED CERTIFICATION: **SFI FOREST MANAGEMENT**

<u>Claim and/or category of origin included on relevant documentation</u>	<u>Label Options</u>	<u>Who can use this label</u>
<u>100% Certified Forest Content</u>	 <p>SUSTAINABLE FORESTRY INITIATIVE 100% Certified Forest Content www.sfiprogram.org SFI-00001</p>	<u>Required certificate:</u> <ul style="list-style-type: none"> • <u>SFI Forest Management</u>

3.4 Use of SFI On-Product Labels with *Other Credible Chain-of-Custody Standards*

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:

- a. the primary producer must be ~~an SFI Certified Organization~~ *Program Participant*.
- b. the primary producer must be certified to all of the applicable *objectives* in Section 2 - *SFI 2022 Forest Management Standard* and/or Section 3 - *SFI 2022 Fiber Sourcing Standard*.
 - An organization which owns or manages forestlands must be certified to Section 2 - *SFI 2022 Forest Management Standard*.
 - An organization which only sources direct from the forest and does not manage the forestlands must be certified to Section 3 - *SFI 2022 Fiber Sourcing Standard*.
 - An organization which owns or manages forestlands and sources direct from the forest must be certified to Section 2 - *SFI 2022 Forest Management Standard* and Section 3 - *SFI 2022 Fiber Sourcing Standard*.
- c. Primary or secondary producers of wood, wood pulp and/or pulp and paper products certified to the PEFC Chain of Custody standard can use the *SFI Labels Recognizing Global Standards* label as long as the following criteria are met:
 - The *primary producer*, if outside the United States and Canada, must have a valid PEFC Chain of Custody certificate for relevant manufacturing sites located outside the United States or Canada.
 - The *secondary producer* must have a valid PEFC Chain of Custody and/or Section 4 - *SFI 2022 Chain of Custody Standard* certificate for relevant manufacturing sites located outside the United States or Canada and manufacture products for Canadian and U.S. markets.
 - Note that at least one organization in the supply chain must meet User Requirements for *SFI Label Recognizing Global Standards* to use the label on finished products and all rules for use of the *SFI Label* must be followed.

3.3.33.4.1 *SFI Label Recognizing Global Standards*

Commented [SFI43]: Moved introductory language from first draft of Section 6 standard to a new separate section for added clarity

Commented [SFI44]: New section – SFI Label Recognizing Global Standards

The *SFI Label Recognizing Global Standards* is a label that enables non-U.S. and Canadian PEFC certified forest content to be counted under a ~~SFI Chain-of-Custody~~ *SFI Chain-of-Custody*.

This label is intended for use in the U.S. and Canada and *primary producers* ~~manufacturers~~ outside the U.S. and Canada must have valid PEFC Chain of ~~OCustody~~ *OCustody* certification.

The *SFI Label Recognizing Global Standards* is similar to other ~~SFI chain-of-custody~~ *SFI Chain-of-Custody* labels. The only difference is the added line that reads: "Recognizing Global Standards."

a. The following requirements must be met in order to use the *SFI Label Recognizing Global Standards*:

- i. The *Primary Producer*, if outside the United States and Canada, must have a valid PEFC Chain of ~~OCustody~~ *OCustody* certificate for relevant manufacturing sites located outside the United States or Canada.
- ii. The *Secondary Producer* must have a valid PEFC Chain of ~~OCustody~~ and/or ~~SFI Chain-of-OCustody~~ *SFI Chain-of-OCustody* certificate for relevant manufacturing sites located outside the United States or Canada and manufacture products for Canadian and U.S. markets.
- iii. The *SFI Label Recognizing Global Standards* ~~User~~ with central offices in the United States and Canada may use the *SFI Label Recognizing Global Standards* if they also hold relevant and valid SFI certification for their company type.
- iv. Other organizations in the supply chain must have either a PEFC Chain-of-~~OCustody~~ or ~~SFI Chain-of-OCustody~~ *SFI Chain-of-OCustody* certification.
- v. A PEFC claim must be passed on and follow all PEFC requirements for communicating PEFC claims, if the label user holds a valid ~~PEFC Chain-of-OCustody~~ *PEFC Chain-of-OCustody* certificate.
- vi. An SFI claim must be passed on and follow all SFI requirements for communicating SFI ~~claims, if~~ *claims* if the label user holds a valid SFI ~~202215-2019~~ *202215-2019* certificate.
- vii. All rules for use of the SFI ~~l~~ *l*-label must be followed. This includes SFI's rule that ~~volume~~ *volume*-credit claims must be communicated at 100%.
- viii. The *SFI Label Recognizing Global Standards* is intended for use on products sold in the U.S. and Canada and includes PEFC content sourced from non-U.S. and Canadian sources.
- ix. The *SFI Label Recognizing Global Standards* ~~User~~ must pay an annual licensing fee, complete and complete an SFI annual progress report survey and SFI Market Survey.
- x. The organization applying the label must seek approval through the *SFI Office of Label Use & Licensing*.
- xi. At least one organization in the supply chain must meet User Requirements for *SFI Label Recognizing Global Standards* to use the label on finished products.

- xii. ~~SFI Certified Organizations~~ certified to SFI 2022~~15-2019~~ Section 2 (Forest Management) and/or Section 3 (Fiber Sourcing) already paying ~~SFI Certified Organization Program Participant Fees~~ may use the SFI Label Recognizing Global Standards without paying the ~~SFI Label Recognizing Global Standards~~ ~~u~~User ~~f~~Fee as this is covered in their ~~SFI Certified Organization~~ dues to SFI.
- xiii. ~~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. Refer to SFI's Policy on Illegal Logging for more information.

b. User Requirements for SFI Label Recognizing Global Standards

Requirements for non-U.S. and non-Canadian as well as U.S. and Canadian based SFI Label Recognizing Global Standards ~~u~~Users depend on certification type and location.

Annual Requirements of Non-U.S. and Non-Canadian Label Users

- i. Have a valid PEFC Chain-of-Custody~~Custody~~ or SFI Chain-of-Custody~~Custody~~ certificate and provide a copy of the certificate, including a detail scope of certification if not already detailed on the PEFC Chain-of-Custody~~Custody~~ certificate to SFI Inc.
- ii. Be a *primary* or *secondary producer* as defined in SFI Standards and Rules and manufacture products for Canadian and U.S. markets.
- iii. Sign a licensing agreement for use of the SFI Label Recognizing Global Standards.
- iv. Document all label use through a tracking form to help understand the use of the SFI Label Recognizing Global Standards
- v. Complete an SFI annual progress report and market survey.
- vi. Complete an annual net sales form to determine fees for the use of the SFI Label Recognizing Global Standards.
- vii. Pay an annual label use fee to SFI.
- viii. Confirm the organization applying for use of the SFI Label Recognizing Global Standards is aware they cannot make claims about their forests being SFI certified to the SFI 2022~~15-2019~~ Forest Management Standard and/or they cannot make claims they are certified to the SFI 2022~~15-2019~~ SFI Fiber Sourcing Standard.
- ix. SFI Office of Label Use and Licensing and SFI Communications Department must approve any statements the user of the SFI Label Recognizing Global Standards plans to make publicly about their use of this label.

- x. Receive a unique ~~SFI~~ ~~SFI~~ Label ID number from ~~SFI's Office of Label Use & Licensing~~ after successful application for the ~~SFI Label Recognizing Global Standards~~.
- xi. Submit the completed PEFC Chain-of-Custody Auditor Checklist for ~~SFI Label Recognizing Global Standards~~ after a regularly scheduled audit.

Annual Requirements for U.S. and Canadian Label Users

- i. Hold a valid SFI Chain-of-Custody certificate.
- ii. Source from either:
 - a supplier who meets the Annual Requirements of Non-U.S. and Non-Canadian Users of the ~~SFI Label Recognizing Global Standards~~.
 - a supplier with manufacturing sites and/or facilities outside the U.S. and Canada exporting ~~&and~~ selling product with PEFC certified content claims to U.S. ~~&and~~ Canadian ~~SFI Label Recognizing Global Standards~~ Users.
- iii. If sourcing from a supplier who is not an ~~SFI Label Recognizing Global Standards~~ user, the ~~SFI Label Recognizing Global Standards~~ user must:
 - Sign a licensing agreement for use of the ~~SFI Label Recognizing Global Standards~~.
 - Document all label use through a tracking form to help understand the use of the ~~SFI Label Recognizing Global Standards~~.
 - Complete an SFI annual progress report and market survey
 - Complete an annual net sales form to determine fees for the use of the ~~SFI Label Recognizing Global Standards~~
 - Pay an annual label use fee to SFI (*Primary producers* with a certificate to SFI 202215-2019 Section 2 (Forest Management) or Section 3 (Fiber Sourcing) are exempt from the fee).
 - Confirm the organization applying for use of the ~~SFI Label Recognizing Global Standards~~ is aware they cannot make claims about their forests being ~~SFI~~ certified to the ~~SFI 202215-2019 Forest Management Standard~~ and/or they cannot make claims they are certified to the ~~SFI 202215-2019 SFI Fiber Sourcing Standard~~.
 - ~~SFI Office of Label Use and Licensing~~ and SFI Communications Department must approve any statements the user of the ~~SFI Label Recognizing Global Standards~~ plans to make publicly about their use of this label.
 - Receive a unique SFI Label ID number from ~~the SFI's Office of Label Use & Licensing~~ after successful application for the ~~SFI Label Recognizing Global Standards~~.

LABEL: SFI RECOGNIZING GLOBAL STANDARDS LABELS

Commented [SFI45]: Updated Matrix for improved label and claim clarity

In order to use the SFI Label Recognizing Global Standards, the supplier must communicate the category of origin according to SFI Chain-of-Custody and/or PEFC Chain-of-Custody requirements. Verification of involvement in or sourcing from an *SFI Label Recognizing Global Standards* member is also required.



REQUIRED CERTIFICATION:
SFI CHAIN-OF-CUSTODY
CHAIN-OF-CUSTODY,
AND/OR PEFC CHAIN OF
CUSTODY

OFFICIAL CLAIMS From a supplier using the Credit Method:

- *SFI Credit*
- *SFI 100% as calculated under the credit method*
- *SFI 100% Certified Forest Content*
- *100% PEFC Certified*

From a supplier using the Percent Method

- *70% -- 100% PEFC Certified*
- *SFI 70% -- 100% Certified Forest Content*

NOTES:

- Other acceptable volume credit claims include *SFI Volume Credit* and *SFI 100% as calculated under the volume credit method*.



REQUIRED CERTIFICATION:
SFI CHAIN-OF-CUSTODY
CHAIN-OF-CUSTODY,
AND/OR PEFC CHAIN OF
CUSTODY

OFFICIAL CLAIMS from a supplier using the Percent Method

- *XX% PEFC Certified*
- *SFI XX% Certified Forest Content*

OTHER CONSIDERATIONS:

- If the product contains less than 70% certified content the label user must transparently disclose the amount.
- The use of this label is contingent on the production batch having at least 10% Certified Forest Content.



REQUIRED CERTIFICATION:
SFI CHAIN-OF-CUSTODY
CHAIN-OF-CUSTODY,
AND/OR PEFC CHAIN OF
CUSTODY





OFFICIAL CLAIMS from a supplier using the Percent Method

- *XX% PEFC Certified*
- *SFI XX% Certified Forest Content*
- *XX% Recycled Content*

OTHER CONSIDERATIONS:

- If the product contains less than 70% certified content the label user must transparently disclose the amount.
- If the content contains less than SFI 10% Certified Forest Content, and is not 100% Recycled content, this label cannot be used. The use of this label is contingent on the production batch having at least 10% certified forest content, unless the product is 100% recycled content.

Claim and/or category of origin included on	Label Options	Who can use this label
---	---------------	------------------------

relevant documentation		
<p><u>In order to use the SFI Label Recognizing Global Standards, the supplier must communicate the category of origin according to SFI COC and/or PEFC COC requirements. Claims relevant to the SFI Label Recognizing Global Standards include:</u></p> <ul style="list-style-type: none"> • <u>Volume Credit:</u> 100% PEFC Certified or SFI 100% Certified Forest Content; SFI 100% as calculated under the volume credit method • <u>Average Percent:</u> X% PEFC Certified; SFI X% Certified Forest Content; X% Recycled Content 	<div>  <p>SUSTAINABLE FORESTRY INITIATIVE Certified Chain of Custody Promoting Sustainable Forestry Recognizing Global Standards www.sfiprogram.org SFI-XXXXX</p> </div> <div> <p>Volume Credit Method: Product must contain 100% certified content as calculated under the volume credit method</p> </div> <div>  <p>SUSTAINABLE FORESTRY INITIATIVE Certified Chain of Custody At Least XX% Certified Forest Content Recognizing Global Standards www.sfiprogram.org SFI-XXXXX</p> </div> <div> <p>Average Percentage Method: If the product contains less than 70% certified content the label user must transparently disclose the amount</p> </div>	<div>  <p>SUSTAINABLE FORESTRY INITIATIVE Certified Chain of Custody Promoting Sustainable Forestry Recognizing Global Standards www.sfiprogram.org SFI-XXXXX</p> </div> <div> <p>Average Percent Method: Product must contain at least 70% certified content</p> </div> <div>  <p>SUSTAINABLE FORESTRY INITIATIVE Certified Chain of Custody XX% Certified Forest Content XX% Recycled Content Recognizing Global Standards www.sfiprogram.org SFI-XXXXX</p> </div> <div> <p>Average Percentage Method: If the product contains less than 70% certified content the label user must transparently disclose the amount.</p> </div>
		<p>Organizations with a valid SFI certificate to:</p> <p>SFI Chain of Custody AND/OR PEFC Chain of Custody and</p> <p>Verification of involvement in or sourcing from SFI Label Recognizing Global Standards Program member</p>

Part 24: 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.

Commented [SFI46]: This list is current and accurate.

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 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:

- 24.1** 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.

24.2 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 348347C. PMS 348 may also be used.

Commented [SFI47]: Updated to include new green color following updated SFI brand guidelines.

24.3 The on-product label may be combined with the Program for the Endorsement of Forest Certification schemes (PEFC) 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 the Section 4 SFI 2015-2019 Chain of Custody Standard.~~

Commented [SFI 48]: Included in above matrix.

42.45 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.sfi-program.org/forests.org)*, and the ~~certified~~ *Certified organization's Organization's* SFI label ID number.

42.56 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*.

42.67 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 SFI* on-line database, the supplier information will read "Contact SFI Inc. for More Information on this Product (Tel: 202-596-3450)."; ~~SFI SFI~~ staff can confirm for the person making the enquiry that the label is legitimate based on information supplied. This second *SFI 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 SFI* label ID number for all other products they manufacture and label that do not have competitiveness concerns as described above.

4.7 For products where a supplier or other party in the supply chain prefers their own SFI SFI label ID number be used instead of the number associated with the SFI Certified Organization applying the label, the preferred SFI label ID number can be used. The SFI Certified Organization uses their own procedures and obtains SFI SFI label approval, as relevant.

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

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

24.1011 ~~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.

24.11 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-P-Product Label*").
- d. If all the products in a product line are not certified, the label must accurately state this (e.g., "this label only applies to the cover of this publication").

~~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*.

Commented [SFI 49]: Moved into Part I.

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

~~If an organization not required to obtain *SFI chain-of-custody* *SFI Chain-of-Custody* certification would like to pass on a claim or promote their participation in the *SFI program*, they are required to seek *SFI chain-of-custody* *SFI Chain-of-Custody* certification.~~

Commented [SFI 50]: This applies to non-physical possession.

~~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*.

Commented [SFI 51]: Moved to new Part for Communications

- 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.

24.13 **25** When selling product as *SFI* chain-of-custody *SFI Chain-of-Custody* certified, the *eCertified organization Organization* shall provide customers with written information confirming the supplier's certified status, an official *SFI SFI* claim statement and the organizations chain of custody number. This can be in the form of, but 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.

24.14 **427** The *eCertified organization Organization* approved to use the *SFI 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 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.

Part 35: Communicating Certification and Certified Product Rules

Commented [SFI 52]: Moved to Specific Office of Label Use & Licensing Section

Commented [SFI 53]: Included in claims & labels section & matrix guidance

Commented [SFI 54]: Moved into Part 1

Commented [SFI 55]: Moved into Part 1

Commented [SFI 56]: New section specific on communications and promoting products. This arrangement is to group like requirements into their relevant sections.

35.1 Any public communication by ~~Program Participants~~ *Certified Organizations* and ~~label users~~ shall be accurate and consistent with applicable laws and requirements for *SFI* logo use. ~~Certified Organizations~~ 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 Certified organization'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.

532.2 **39** The following taglines/statements can be used in combination with *SFI* ~~on~~ *On-* ~~product~~ *Product labels/Labels* and with promotional materials that may or may not include the *SFI* label. The *SFI website* ~~SFI website~~ (www.sfi-program.org/forests.org) can be added to any of these taglines.⁴

a. General Benefit Statements

- i. [Organization] believes healthy forests mean a healthy future for us all. That's why we use SFI certified products.
- ii. [Organization] values sustainably managed forests and the [clean water/wildlife habitat/climate solutions/pick your benefit] they provide.
- iii. Thank you for supporting...
 - healthy North American forests.
 - healthy American forests.
 - healthy Canadian forests.
- i-iv. We work to keep forests healthy and communities thriving.
- ii-v. By choosing SFI certification, we invest in conservation research, community engagement and environmental education.
- iii-vi. We choose SFI-certified products because a sustainable supply chain is a smart climate solution.

Commented [SFI 57]: SFI Communications Team provided additional and new statements about certification. Updated statements are more focused on topic and interest.

⁴ Some statements may be best suited for an *SFI chain-of-custody* content claim or promotional materials. Because all projects with the *SFI* label must be sent to the *SFI Office of Label Use and Licensing* prior to press, *SFI* may recommend an alternate statement based on fiber supply.

- ~~iv-vii.~~ SFI--certified forests play an important role in water conservation, healthy animal and plant populations, and climate solutions.
- ~~v-viii.~~ SFI--certified forests contribute to local, regional, and national conservation goals.
- ix. By choosing SFI, [Brand name] helps achieve multiple United Nations Sustainable Development Goals ... including:
 - Goal 4, Quality Education
 - Goal 6, Clean Water and Sanitation
 - Goal 12, Responsible Production and Consumption
 - Goal 13, Climate Action
 - Goal 15, Life on Land
 - Goal 17, Partnerships for the Goals
- x. Choosing SFI provides an assurance that our supply chain supports our environmental, social and governance commitments
- xi. SFI offers solutions to global sustainability challenges.
- xii. SFI offers a growing solution to global sustainability challenges.

b. Conservation--Focused Statements

Habitat/Plants and ~~a~~Animal-Focused Statements s

- i. [Organization] chooses SFI--certified products to help conserve habitat for at-risk plant and animal species.
- ii. SFI--certified lands provide a home for hundreds of plant and animal species.
- iii. SFI conservation initiatives and sustainable forestry management practices help ensure habitat for at-risk plant and animal species.
- iv. In SFI certified forests, specific actions are taken to conserve at-risk species.
- v. SFI promotes research to help determine how forest management can reverse the decline for North American bird populations.

Water-Focused Statements

- i. SFI certified forests help protect millions of acres of watersheds — —which means more clean water across [North America, America, Canada].
- ii. SFI helps protect water quality by ensuring practices that promote healthy forests and minimize erosion.

Climate-Focused Statements

- i. [Organization] chooses SFI certified products as part of our journey toward [Brand's climate/carbon goal].
- ii. SFI promotes climate-smart forestry practices.

- iii. SFI certification ensures that working forests and their products reduce the impacts of climate change.
- iv. SFI is leading research to better understand how sustainably managed forests help us combat climate change.

Research (general)-Focused Statements

- i. SFI promotes research to better understand the benefits that sustainably managed forests provide us all.
- ii. SFI supports sustainable forests and healthy communities through grant programs, carefully targeted research, and conservation partnerships.

c. Community--Focused Statements

- i. SFI respects Indigenous Peoples' rights and traditional knowledge and promotes forest-focused collaboration to support certification.
- ii. SFI grants support forest-focused collaborations and partnerships that help to grow a world that values and benefits from sustainably managed forests.
- iii. SFI proudly supports future forest and conservation leaders through environmental education and career development.
- iv. The SFI standard's training requirements ensure that SFI--certified forests are managed using leading on-the-ground sustainability practices.
- v. SFI creates experiential learning opportunities for youth through work placements, mentorship, and environmental education.

d. Education--Focused Statements

- i. SFI helps educators teach about climate change and sustainability (through its Project Learning Tree initiative).
- ii. SFI reaches 14,000 educators and 3.2 million students every year with environmental education activities.
- iii. SFI teaches students how to think, not what to think, about forests and the environment.
- iv. SFI helps the next generation to explore green jobs and prepare them to become environmental stewards.

532.3 ~~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."~~

Commented [SFI 58]: Moved to Part I

Part 63: 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 alignment with SFI's mission. *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:



Commented [SFI 59]: Both need label ID number/generic.

463.1 Off-product marks may only be used by *Program Participants Certified Organizations* in good standing whose operations have been certified by an *SFI certification body* to be in conformance with the *SFI 2022-15-2019 Forest Management*, *SFI 2022-15-2019 Fiber Sourcing Standards*, and/or the *SFI-2022-15-2019 Chain-of-Custody Standard* (for all or a portion of their operations. Any express or implied claim that a *Certified Organization Program Participant* is in conformance with the SFI ~~s~~Standard(s) must be substantiated by a current, valid certification by an SFI accredited *certification body*.

463.2 Off-product marks may be used as described in Part 85 under General Rules for *Program Participants Certified Organizations*.

463.3 The tagline mark "*Better Choices for the Planet® Good For You, Good For Our Forests®*" may be placed beneath the off-product mark.

463.434 The SFI label identification number must be added under the logo mark. The numbering system is as follows: SFI-00000. The *SFI Program Participants Certified Organization's* 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*.

463.545 *Program Participants Certified Organizations* must seek approval from the *SFI Office of Label Use and Licensing* for use of the *SFI Off-Product Marks*.

6.65 Any public communication by *Certified Organizations* shall be accurate and consistent with applicable laws and requirements for SFI logo use. *Certified Organizations* 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~~.

Commented [SFI60]: Moved from 5.1 in the September 1 2020 draft.

- a. Point of purchase (POP) materials should avoid environmental claims that can be tied to the product. Rather, they should explain the ~~SFI-Certified Organization'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.

Commented [SFI61]: Moved from communications section.

Part ~~754~~: 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[®]~~
- ~~BETTER CHOICES FOR THE PLANET[®]~~

Commented [SFI62]: SFI licensed tagline word mark is not used by many organizations and there may be additional options to consider. SFI Comms Team to provide input.

Commented [SFI63R62]: Registration of this licensed tagline mark expires in May2022. This line is rarely used.

Commented [SFI64]: SFI will be registering this phrase as a source identifier for SFI

547.1 Use of the word marks may only be used by ~~Program Participants~~*Certified Organizations* in good standing whose operations have been certified by an *SFI certification body* to be in conformance with the *SFI 2022 15-2019 SFI Forest Management Standard*, *SFI 202215-2019 Fiber Sourcing Standard*, ~~and/or~~ the *SFI 202215-2019 Chain-of-Custody Standard*, ~~and/or~~ the *SFI 2022 Certified Sourcing Standard* for all or a portion of their operations. Any express or implied claim that a *Certified Organization*~~Program Participant~~ is in conformance with the SFI ~~Standard~~*standard*(s) must be substantiated by a current, valid certification by an SFI accredited *certification body*.

547.2 The ® only needs to be included the first time “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 ® ~~(e.g., i.e., SFI®;).~~

547.3 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.

Commented [SFI65]: Recommendation from SFI Communications team for SFI language alignment.

547.4 The tagline mark ~~(Better Choices for the Planet® Good For You, Good For Our Forests®)~~ can be used in association with the word marks.

Commented [SFI66]: This tagline registration expires May 2022. SFI will register new tagline.

547.5 In addition to the uses described below in Part [85](#), General Rules for off-product marks the word marks may be used as follows, provided the advertisement or brochure refers to the [SFI website \(www.sfi-program.org/forests.org\)](#) or the ~~Program Participant’s Certified Organization’s~~ website with a ~~hot~~link to the SFI website:

- in advertisements which promote the ~~Program Participant’s Certified Organization’s~~ certification to the SFI ~~Standard~~standard(s); and
- in sales brochures and other similar product promotional items.

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

Part 658: General Rules — For Use of the SFI Off-Product Marks and Word Marks

658.1 The ~~Off-off~~-product and word marks may be used, subject to the rules in Parts 63 and 74, 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 which explain and/or promote the *Sustainable Forestry Initiative* program's services and a company's [use of participation in the SFI-standardsprogram](#), 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 website SFI Inc. website \(www.sfiprogram.orgforests.org\)](#).
- e. On generic business signs (e.g., vehicles, forest stands, office buildings, and mill sites that are owed 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-off~~-product.
- g. On a company website with a ~~hot~~link to the [SFI website SFI website \(www.sfiprogram.orgforests.org\)](#).

Commented [SFI67]: Recommendation from SFI Communications for SFI language alignment.

658.2 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-marks~~ are registered marks owned by [the Sustainable Forestry Initiative Inc.](#)"

658.3 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 an ~~an~~ off-product or word-mark is displayed.

658.4 Use of the ~~Marks-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-logo Marksmarks~~. If you choose to use green, the PMS is [347C. PMS 348](#) ~~may also be used~~.
- 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.

Commented [SFI68]: Updated to include new green color following updated SFI brand guidelines.

- 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 SFI tree shield portion of the off-product mark can be used without the wordmark in certain instances such as social media, watermarks on photographs, and on design materials for a cleaner feel. Variations of the logo are never to be used on product to communicate SFI certification status, or to alter the SFI on-product label and claim. The tree/leaf portion of the off-product mark may not be displayed by itself, but 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 Certified Organization's participant's SFI label ID number. The SFI label ID number shall be added under the mark.

Commented [SFI69]: This requirement language and intent updated to align with SFI comms direction and current SFI approach.

Commented [SFI70]: Work with SFI Comms team to adopt as needed in order to reflect current options.

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

568.6 Any public communication by ~~Program Participants~~ Certified Organizations or *label users* shall be accurate and consistent with applicable law and requirements for SFI off-product use. ~~Program Participants~~ Certified Organizations 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.

568.7 The *SFI 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 standard* is strong, grounded in science, progressive and based on integrity and proven through *conservation* collaboration resulting in wide market acceptance."

Commented [SFI71]: Updated with SFI's new mission and vision

568.8 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.












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






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

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

APPENDIX 1: SFI LABELS & CLAIMS MATRIX

Commented [SFI72]: New matrix – request of the SFI COC & Labels Task Group.

SUPPLIER CERTIFICATION & METHODS		SUPPLIER CLAIM	LABEL OPTION(S)	
CREDIT METHOD	SFI COC	SFI Credit		Recycled content included in credit
	SFI COC	SFI 100% as calculated under the credit method.		 
PERCENTAGE METHOD	SFI COC	SFI At Least X% Certified Forest Content	 	SFI At Least 70% - 100% Certified Forest Content and recycled  
			Any combination of the below X% are permissible, provided a minimum of SFI 10% Certified Forest Content or SFI 10% Recycled Content and the sum of all parts is 100%.	
	SFI COC	SFI X% Certified Forest Content		SFI 70% - 100% Certified Forest Content and recycled content
		SFI X% Recycled Content		100% Recycled Content
		SFI X% Pre-Consumer Recycled	 	

		SFI X% Certified Sourcing		100% Certified Sourcing 
CERTIFIED SOURCING	SFI COC and/or SFI CS	SFI X% Certified Sourcing SFI Certified Sourcing		
PHYSICAL SEPERATION	SFI COC	SFI 100% from a Certified Forest		
	SFI FM	SFI 100% Certified Forest Content		
SFI LABEL RECOGNIZING GLOBAL STANDARDS	SFI Chain-of-Custody and/or PEFC Chain-of-Custody COC AND Verification of involvement in or sourcing from an SFI Label Recognizing Global Standards member is also required.	From a supplier using the Credit Method: <ul style="list-style-type: none">SFI CreditSFI 100% as calculated under the credit methodSFI 100% Certified Forest Content100% PEFC Certified		
		From a supplier using the Percent Method <ul style="list-style-type: none">70% -100% PEFC CertifiedSFI 70% - 100% Certified Forest Content		
		supplier using the Percent Method <ul style="list-style-type: none">XX% PEFC CertifiedSFI XX% Certified Forest Content		
		from a supplier using the Percent Method <ul style="list-style-type: none">XX% PEFC CertifiedSFI XX% Certified Forest ContentXX% Recycled Content		

APPENDIX 2: SFI ON-PRODUCT LABELS

PRODUCT LABELING GUIDE VERTICAL LABEL ARTWORK OPTION #1

FOLDER:

SFI_Labels_Vertical

SUBFOLDER:

SFI_Labels_VC_VC_Vertical_Color



SUBFOLDER:

SFI_Labels_VBW_VBW_Vertical_Black & White



SUBFOLDER:

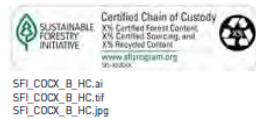
SFI_Labels_VR_VR_Vertical_Reversal



PRODUCT LABELING GUIDE HORIZONTAL LABEL ARTWORK OPTION #1

FOLDER:
SFI_Labels_Horizontal

SUB FOLDER:
SFI_Labels_HC (HC: Horizontal, Color)



SUB FOLDER:
SFI_Labels_HBW (HC: Horizontal, B & W)



SUB FOLDER:
SFI_Labels_HR (HC: Horizontal, Reversed)



PRODUCT LABELING GUIDE VERTICAL LABEL ARTWORK OPTION #2

FOLDER:
SF12_Labels_Vertical

SUB FOLDER:
SF12_Labels_VC (VC: Vertical, Color)



SUB FOLDER:
SF12_Labels_VBW (VBW: Vertical, Black & White)



SUB FOLDER:
SF12_Labels_VR (VR: Vertical, Reverse)



PRODUCT LABELLING GUIDE HORIZONTAL LABEL ARTWORK OPT #2

FOLDER: SF12_Labels_Horizontal

SUB FOLDER:
SF12_Labels_HC [HC: Horizontal, Color]



SF12_CS_A_HC.ai
SF12_CS_A_HC.tif
SF12_CS_A_HC.jpg



SF12_COC_A_HC.ai
SF12_COC_A_HC.tif
SF12_COC_A_HC.jpg



SF12_COC_REC_A_HC.ai
SF12_COC_REC_A_HC.tif
SF12_COC_REC_A_HC.jpg



SF12_COC_REC_B_HC.ai
SF12_COC_REC_B_HC.tif
SF12_COC_REC_B_HC.jpg



SF12_COCaX_A_HC.ai
SF12_COCaX_A_HC.tif
SF12_COCaX_A_HC.jpg



SF12_COCX_A_HC.ai
SF12_COCX_A_HC.tif
SF12_COCX_A_HC.jpg



SF12_COCX_B_HC.ai
SF12_COCX_B_HC.tif
SF12_COCX_B_HC.jpg

SUB FOLDER:
SF12_Labels_HBW [HC: Horizontal, B & W]



SF12_CS_A_HBW.ai
SF12_CS_A_HBW.tif
SF12_CS_A_HBW.jpg



SF12_COC_A_HBW.ai
SF12_COC_A_HBW.tif
SF12_COC_A_HBW.jpg



SF12_COC_REC_A_HBW.ai
SF12_COC_REC_A_HBW.tif
SF12_COC_REC_A_HBW.jpg



SF12_COC_REC_B_HBW.ai
SF12_COC_REC_B_HBW.tif
SF12_COC_REC_B_HBW.jpg



SF12_COCaX_A_HBW.ai
SF12_COCaX_A_HBW.tif
SF12_COCaX_A_HBW.jpg



SF12_COCX_A_HBW.ai
SF12_COCX_A_HBW.tif
SF12_COCX_A_HBW.jpg



SF12_COCX_B_HBW.ai
SF12_COCX_B_HBW.tif
SF12_COCX_B_HBW.jpg

SUB FOLDER:
SF12_Labels_HR [HC: Horizontal, Reversed]



SF12_CS_A_HR.ai
SF12_CS_A_HR.tif
SF12_CS_A_HR.jpg



SF12_COC_A_HR.ai
SF12_COC_A_HR.tif
SF12_COC_A_HR.jpg



SF12_COC_REC_A_HR.ai
SF12_COC_REC_A_HR.tif
SF12_COC_REC_A_HR.jpg



SF12_COC_REC_B_HR.ai
SF12_COC_REC_B_HR.tif
SF12_COC_REC_B_HR.jpg



SF12_COCaX_A_HR.ai
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SF12_COCX_B_HR.jpg



**Guidance to SFI 2022 Standards and Rules
(Section 7)
April 15, 2021**

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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 ~~fifth~~ public review, conducted in 2013-2014~~2020-2021~~, led to the ~~SFI 2015-2019~~2022 Standards and supporting documents.

This guidance document is intended to assist ~~SFI Program Participants~~Certified Organizations and *certification bodies* in interpreting and implementing new and existing provisions in the ~~SFI 2015-2019~~2022 Standards and Rules.

This document provides additional information that may help ~~Program Participants~~Certified Organizations make management decisions to meet ~~SFI 2015-2019~~2022 Standards and Rules requirements. *SFI Inc.* routinely researches ways to improve the functionality of ~~the SFI programs~~its work, thus this document may be updated over time. This guidance document is informative in nature and the information contained below should not be taken as normative.

Commented [SF11]: Edit to reaffirm that this Guidance is intended for informative purposes only for assistance with implementing SFI program requirements.

1. Guidance for the SFI 2022 Forest Management Standard

Application of the SFI 2022 Forest Management Standard, SFI 2022 Fiber Sourcing Standard and SFI 2022 Chain-of-Custody Standard

Scope of the SFI 2022 Forest Management and SFI 2022 Fiber Sourcing Standards

The ~~SFI 2015-2019~~2022 Forest Management Standard and ~~SFI 2015-2019~~2022 Fiber Sourcing Standards apply to management of and sourcing from forests throughout the United States and Canada 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~~2022 Forest Management Standard and ~~SFI 2015-2019~~2022 Fiber Sourcing Standard 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~~2022 Standards and Rules.

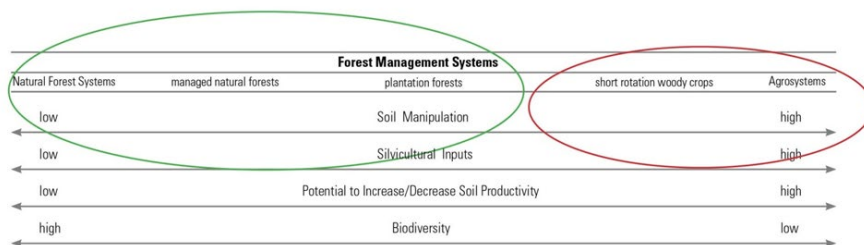


Figure 1. Spectrum of forest management systems (green circle) that qualify for certification to the SFI 2022 Standards (Adapted from Burger, 2002¹).

Objective 1. Forest Management Planning

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 *stand and landscape* scale” be factored into forest management planning decision-making. From these requirements it can be inferred that a *Certified Organization/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

~~AAn SFI~~ *Certified Organization/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 certification~~ 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~~ *Certified organization’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 *stand and 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.

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 *stand and landscape* level *biodiversity*, and confirming that any increases in planned harvest level(s) are consistent with the ~~SFI~~ *Certified Organization’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

Commented [SFI2]: Edit align with original text in Indicator 1.1.1. Retaining ‘stand’ in the Indicator implies an inventory is needed at the stand level which is not the intent of the requirement.

¹ 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.

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.

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 SFIa~~ *Certified OrganizationProgram Participant* must be able to assess the accuracy of past planning inputs and decisions made through appropriate document retention. It is expected that ~~an SFIa~~ *Certified OrganizationProgramParticipant* has the ability to look backwards over a sufficiently long time frame in order to inform its future forest management planning.

Social, Environmental, and Economic Effects of Forest Management Operations

Indicator 1.1.6 requires that a *Certified Organization* consider the local or regional social, environmental, and economic effects of forest management operations contained in their forest management plans. The “consideration” required in Indicator 1.1.6 does not necessarily require a formal “assessment”, but *Certified Organizations* should show evidence of having developed an understanding of the potential social, environmental, and economic effects of implementation of the forest management planning appropriate to the size and scale of the operation.

Commented [SF13]: Edit on TG call.

Commented [SF14]: Guidance to assist with implementing Indicator 1.1.6

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~~ *important* *native* forest types, or where *long-term* adverse impacts are expected on species, *habitats* or *special sites* already protected by the ~~SFI 2015-2019~~ *2022 Forest Management Standard*.

In situations where a ~~Certified OrganizationProgram Participant~~ intends to convert from one *forest cover type* to another *forest cover type*, the ~~Certified OrganizationProgram 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* *Certified Organizations* are able to structure the assessment in accordance with the scope and scale of their organization and scale of the intended conversion.

Certified Organizations are encouraged to consider ways in which to conduct the required assessments in the most efficient ways possible. For example, if a particular scenario of conversion and assessment repeats regularly in the area of management responsibility, a single assessment of that repeating scenario may suffice, and be applied to appropriate situations when they arise. Another potential means to achieve efficiency could be to collaborate with other *Certified Organizations*, or within *SFI Implementation Committees* that encounter similar circumstances throughout their areas of operation — in such cases, assessments could be conducted collaboratively and applied by participating *Certified Organizations* under appropriate circumstances. Such means may be employed as appropriate to obviate the need for a new assessment each time a *Certified Organization* encounters relatively common and similar circumstances.

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*). *To be consistent with the intent of Performance Measure 1.2, any proactive conversion of forest cover types intended to mitigate the future impacts of climate change, or to limit susceptibility to pathogens, insect infestations, etc. must first meet the two-filter test, and further be supported by best available scientific information.* Similarly, this Performance Measure 1.2 should not be construed to limit conversion of *forest cover types* in ways that fundamentally reflect (or effectively accelerate) the natural order of succession of *native forest cover types*, or which result in restoration of ecologically significant forest cover types or conditions.

1.4.2—In situations where a *Certified Organization* proposes a site for conversion from one forest cover type to another forest cover type, the *Certified Organization* is expected to demonstrate proficiency of assessments outlined in Indicator 1.2.2., and to further demonstrate that these conditions are fully met before further consideration is given to the potential for conversion at the site level.

If the conditions noted under Indicator 1.2.1 are met, then the *Certified Organization* must further meet the conditions and justifications noted under *Indicator 1.2.2., in order to move forward with conversion of forest types — so that these requirements are essentially hierarchical in application.*

Relative to application of Indicator 1.2.2, conversion objectives should include stand- and landscape-level outcomes generally consistent with the natural distribution of forest cover types and structural composition at the landscape scale. Supporting assessments and spatial analyses are consistent with the requirements under Objective 4.

There may be circumstances under which an ecologically important *native forest cover type* could be considered for conversion. A possible example could be limited conversion of a bottomland hardwood stand to loblolly pine — a species that is more economically justified for

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Commented [SF17]: Guidance regarding conversion of forest cover types and in the context of climate change or limiting impacts of disease, etc.

Commented [SF18R7]: Forest Conservation Subgroup accepted the edit.

the site. In this instance, bottomland hardwood may be considered an ecologically important ~~forest~~-native forest cover type, although it still occurs extensively across the landscape. Such conversion could be allowable under limited circumstances, if justified for economic reasons, provided that such conversion would not put native forest cover types, or Forests of Exceptional Conservation Value (FECV), at risk. An important determinant in this instance is the scale of the conversion — this should be fully explored in the required assessments to provide assurance that the scale of the proposed conversion does not generate undue risk to FECV, or to the perpetuation of the native forest cover type itself. The *SFI 2022 Forest Management Standard* is intended to safeguard such ecologically important natural communities, so that forest managers must carefully consider impacts prior to approval of any such conversion.

Indicator 1.2.2d notes the need for “appropriate consultation” with local communities, Indigenous Peoples, and other *stakeholders* who could be affected by such activities, including adjacent ownerships. Landowners must recognize the societal context of managed forests within landscapes, and consider *stakeholder* concerns, if any, when determining scale and impact of the proposed conversion. “Appropriate consultation” includes the possibility that circumstances of any particular conversion proposal may not merit any consultation (i.e., that consultation is not necessary, and therefore no consultation is “appropriate”). For example, if the project is sufficiently remote, it may occur beyond the range of impact to any local community or group. Therefore, with sufficient explanation and justification, the *Certified Organization* may determine to forego consultation.

Commented [SF19]: Edit to call our adjacent landowners when considering consultation.

In the event that “appropriate consultation” suggests the need for consultation, such consultation should help to gauge possible impacts of conversion on local values — recreation, aesthetics, cultural, etc. Such consultation becomes increasingly critical with the scale of the proposed conversion, but there is no specific prescription for a threshold of size of conversion that should trigger the consultation.

Conversion of Forest Land to Another Land Use

The intent of Performance Measure 1.3 is to ensure that forest land that is being converted to non-forest land uses is appropriately scoped out of *SFI* certificates. Two basic tenets establish the rationale for this *Performance Measure*. First, forest land that is being converted to non-forest land uses would not likely meet any of the *SFI 2015-2019 2022 Forest Management Standard* requirements (prompt *reforestation*, *biodiversity*, etc.) and therefore could not be certified under the *SFI 2015-2019 2022 Forest Management Standard*.

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

4.22.1 Scope of Certification

Notwithstanding the tenets listed in [the Control of Decision Making](#) sSection 2.2 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 Certified organization's SFI 2015-2019 2022 Forest Management Standard* certificate. There is no limit on the percentage of land that can be “scoped out” of an *SFI 2015-2019 2022 Forest Management Standard* certificate. However, it is important to ensure that forest land within the scope of the *Program*

~~Participant's~~Certified organization's ~~SFI 2022-2015-2019~~ Forest Management Standard certificate continues to be managed as forest land consistent with the ~~SFI 2015-2019-2022~~ Forest Management Standard. In some circumstances forest land designated for sale may not sell in the short term nor is there certainty that these forest lands will be converted to another land use by the purchaser. As such, the ~~Certified Organization~~Program Participant should continue to manage these forest lands in conformance with the ~~SFI 2015-2019-2022~~ Forest Management Standard until a sales contract has been executed. Once a sales contract is executed, the ~~Certified Organization~~Program Participant should scope out the lands that will be sold.

~~Program Participants~~Certified Organizations are not restricted in their decision making regarding the purchase of or sale of forest land or the movement of forest land (or the quantity) in or out of the scope of an ~~SFI 2015-2019-2022~~ Forest Management Standard certificate. *Certification bodies* must ensure that lands within the scope of an ~~SFI 2015-2019-2022~~ Forest Management Standard audit are being managed in conformance with the ~~SFI 2022-2015-2019~~ Forest Management Standard to protect the integrity of the ~~SFI 2015-2019-2022~~ Standards and Rules. Furthermore, *certification bodies* and ~~Program Participants~~Certified Organizations must ensure that there is absolute clarity on which forest lands – whether owned, managed or controlled (see Control of Decision Making 2.2.2 below) – are included in the scope of the ~~SFI 2022-2015-2019~~ Forest Management Standard certificate.

~~4.2.2.2~~Control of Decision Making

The issue of control of decision making by the ~~Certified Organization~~Program Participant is the central factor when determining which forest land should be scoped out of an ~~SFI 2015-2019-2022~~ Forest Management Standard certificate. When a ~~Certified Organization~~Program Participant knowingly intends to convert forest land to a non-forest land use and has control over the process, then the forest lands should be scoped out of the certificate when the decision is made to convert.

The example above where forest land 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 forest land 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 the forest land sale example, the decision whether to scope forest land in or out of an ~~SFI 2015-2019-2022~~ Forest Management Standard certificate still rests with the organization who has control over decisions related to management of the forest land in conformance with the ~~SFI 2015-2019-2022~~ Forest Management Standard. More specifically, if a ~~Certified Organization~~Program Participant has forest management authority over Objective 1 of the ~~SFI 2015-2019-2022~~ Forest Management Standard then such lands can remain within the scope of the ~~SFI 2015-2019-2022~~ 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 ~~Certified Organization~~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 2015-2019-2022~~ 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~~Certified Organizations 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 ~~Certified Organization~~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 2022~~2015-2019 Forest Management Standard may remain within the scope of an ~~SFI 2015-2019~~2022 Forest Management Standard certificate until such time as forest management control is relinquished.

~~4.22.3~~ **Accounting for Non-Certified Forest Content**

Despite efforts to scope out forest lands 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~~2022 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~~Certified Organizations 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., ~~1-5 percent~~ of the harvested volume).

Objective 2. Forest Health and Productivity

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; 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~~Certified Organizations. This last requirement is addressed by Indicators 2.2.~~54~~ and 2.2.~~65~~.

Indicator 2.2.~~54~~: 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 ~~Certified Organization~~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 ~~Certified Organization~~Program Participant believes a variance on the prohibition on the use of a WHO type 1A and 1B chemical is warranted, the ~~Certified Organization~~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. (WHO list of prohibited type 1A and 1B chemicals)

The WHO type 1A and 1B list of prohibited chemicals is at:
https://apps.who.int/iris/bitstream/handle/10665/44271/9789241547963_eng.pdf?sequence=1&isAllowed=y

Indicator 2.2.6: Use of pesticides banned under the Stockholm Convention on Persistent Organic Pollutants (2001) shall be prohibited.

It is the responsibility of the ~~Certified Organization~~*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). ([List of chemicals banned under the Stockholm Convention on Persistent Organic Pollutants](#))

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>

Soil Health

Performance Measure 2.3 now includes requirements to implement *practices* which *protect* and *maintain forest soil health*, in addition to soil *productivity*. This guidance is intended to suggest some potential *practices* that could be considered by *Certified Organizations*, which can serve to maintain those values.

The way in which forests are managed can improve or degrade the quality or health of forest soils, which represent a complex ecosystem which includes living microorganisms, minerals, and organic matter. Together, this dynamic medium serves to regulate water, air, and nutrients, and thus interplays directly with health of the forest ecosystem. Healthy soils provide many functions that support plant growth, including nutrient cycling, biological control of plant pests, and regulation of water and air supply. These functions are influenced by the interrelated physical, chemical, and biological properties of soil, many of which are sensitive to soil management practices (primary source: [PennState Extension—Managing Soil Health: Concepts and Practices](https://extension.psu.edu/managing-soil-health-concepts-and-practices)). <https://extension.psu.edu/managing-soil-health-concepts-and-practices>.

Soil health is essential to forest *productivity*, and ecosystem function. Managing for *soil health* (improved soil function) is mostly a matter of maintaining suitable *habitat* for the diversity of organisms that depend on it. This can be accomplished by minimizing soil disturbance, ensuring plant diversity, maintaining vegetative cover, and avoiding serious alterations to soil chemistry.

~~Soil disturbance, which can impact soil health, can result from forest operations ranging from road construction and skid trails to log landings and erosion. Such physical soil disturbance can result in bare and/or compacted soil that is destructive and disruptive to soil microbes, and creates a hostile environment for them to live, diminishing the soil food web (primary source:)~~

Practices which limit soil disturbance, exposure and/or chemical alteration will be key to maintaining *soil health*. In many cases, such *practices* are likely to be consistent with *best management practices* for water quality (Performance Measure 3.1), *practices* which maintain water quantity (Performance Measure 3.2), or *practices* relative to appropriate use of chemicals

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and pesticides (Performance measure 2.2). However, additional practices to maintain *soil health* may also be considered by forest managers during potentially impactful activities such as road or skid trail construction, harvesting or yarding activities, herbicide, or pesticide application, etc. To meet the intent of this indicator, managers should be able to offer some evidence of having considered whether additional measures may have been appropriate to meet the particular circumstances of site conditions and activities, in order to minimize adverse impacts to *soil health*. As a practical matter, *Certified Organizations* will have to weigh *soil health* measures in the context of overall forest management objectives, recognizing that such measures need to be balanced with related objectives ranging from water quality, to productive capacity of the site and maintaining a diversity of species on the managed area.

Objective 3. Protection and Maintenance of Water Resources

Water Quantity

The intent of Performance Measure 3.2.2 is to have a *program* to address management and protection of water quantity during all phases of management. Protecting and maintaining water quantity benefits a range of water-related ecosystem services provided by forests, including flood regulation, *aquatic habitat*, water filtration and storage, and ensuring a good supply of healthy drinking water. Water quantity and quality are closely linked and *practices* already in place to *protect* and maintain water quality are important for protecting and maintaining water quantity. Developing, documenting, and implementing a water quantity *program* will help reinforce the important role *Certified Organizations* can play in positively or adversely affecting water quantity.

Water quantity is the timing and total yield of water from a watershed. It is affected by the hydrologic regime (e.g., precipitation amount, intensity, and type (rain or snow), watershed characteristics (e.g., geology and soils, aspect and slope, and vegetation), climate (e.g., evaporation), *forest health* (impacts of wildfire, disease, pests) and forest management activities (e.g., road building, harvest and stand management, *reforestation*) and varies naturally within and between years.

Managing for water quantity requires an understanding of the natural and man-made features and activities that may contribute to success. For example, considering other land use activities as laid out in state or provincial watershed management plans or recognizing the important role of *riparian areas* and *wetlands* toward protecting water quantity and quality can guide forest management activities to manage effects to water quantity. This includes activities such as the timing of road/trail construction or harvesting activities, design of *wetland* crossings.

The intent of including water quantity in the Forest Management Standard Objective 3 is to increase the awareness of watershed features and forest management activities that may influence water quantity and to promote implementation of *practices*, appropriate to the size and scale of the *Certified Organization*, that help to maintain a natural range of variation while avoiding or minimizing negative effects.

Forest Management Impacts on Water Quantity

Forest management including road/trail development, forest harvest, and *reforestation* activities can influence water quantity. The potential effects of these activities on water quantity are influenced by regional characteristics such as the amount of annual precipitation, slope, soils, and vegetation, and can vary locally depending on factors such as the proportion of a watershed harvested. For example, forest harvest in a watershed that has steep slopes with high annual precipitation has a greater potential for water yield impacts, as compared to a watershed with flat terrain and low annual precipitation.

Road/skid trail location and density also can alter stream flow characteristics, resulting in higher peak flows from reduced water infiltration, blocked subsurface flow, and faster water delivery to streams via roadside ditches. Additionally, roads with water, *wetland*, and *riparian area* crossings can block surface flow if they are not designed and built to accommodate the natural flow characteristics.

Forest harvests can contribute to increased run-off. In general, runoff and stream flow, increase in proportion to the amount of land harvested in a watershed.

Water quantity is also influenced by position of harvest within the watershed, silvicultural system, and harvesting *practices* used. Harvesting operations that maximize the retention of forest floor vegetation and non-merchantable timber within the harvest area and that minimize soil rutting and compaction help reduce surface runoff and potential for increased stream flow following harvest. Prompt *reforestation* can minimize or mitigate the effects of forest harvest on water quantity.

~~Where state, provincial, or other relevant watershed plans exist, *Certified Organizations* should be aware of these plans and how their forest management plans and activities, can support relevant plan objectives at a level appropriate to the size and scale of the *Certified Organization's* operations.~~

~~*Certified Organizations* can reference state, provincial, or other relevant watershed plans and indicate how their forest management plans and activities may support relevant plan objectives at a level appropriate to the size and scale of the *Certified Organization's* operations.~~

~~On public lands, *Certified Organizations* should ensure can indicate how their forest management plans and activities are consistent established government agency requirements and guidelines, rate of harvest criteria, and other relevant watershed plans. *Certified Organizations*, at a level appropriate to the size and scale of their operations, should develop, document, and implement a *program* that demonstrates an understanding of the importance of managing for water quantity and describes *practices* that contribute to the *protection* of water quantity during relevant phases of management.~~

Components to be considered in a *program* could include mapping and identifying watershed features that contribute to water quantity (e.g., lakes, streams, *riparian areas*, *wetlands*, *vernal pools*, beaver ponds), *practices* that maintain natural drainage patterns and minimize adverse effects of roads and skid trails on water yield, harvesting *practices* that minimize ground disturbance and retain non-merchantable timber or other vegetative cover, *practices* that *protect* and maintain soil *productivity* and *soil health*, and prompt *reforestation* where

Commented [SF112]: Edits to reduce the prescriptive tone of the guidance.

consistent with other *SFI 2022 Forest Management Standard Objectives*. The *program* can also include meeting or exceeding applicable *best management practices* for protecting and maintaining water quality in ways that contribute to protecting and maintaining water quantity.

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Objective 4. Conservation of Biological Diversity

Conservation of Biological Diversity

The intent of Performance Measure 4.1 is to ensure that *SFI-Certified Organizations* utilize the best available scientific information to inform action at multiple scales, for purposes of *biodiversity conservation*. The individual Indicators specify the means by which this should be executed.

Several indicators suggest the use of *best scientific information*. This is intended to drive the utilization of credible sources to determine *landscape* level priorities, to facilitate assessments and ultimately to maximize the potential of the managed area to contribute to *landscape* level *biodiversity*, within the context of management objectives. Credible sources of science information could include (but are not limited to) The Nature Conservancy ecoregional plans, NatureServe biodiversity metrics, or other credible sources.

Assessments conducted under Performance Measure 4.1, or any assessments consulted to meet the requirements of Performance Measure 4.1, should inform efforts to maintain or advance *biodiversity conservation* at multiple scales, including *landscape* scale. Indicator 4.1.3 ~~references suggests the need for~~ documentation of *biodiversity* at *landscape* and ownership levels, and incorporation of such documentation "to ensure the contribution of the managed area to the diversity of conditions that promote *biodiversity*." Such documentation is increasingly available through remote sensing sources, NatureServe biodiversity metrics (a project of SFI), The Nature Conservancy, Forest Inventory and Analysis (U.S.) and/or Canadian Forest Service ~~(Canada)~~. It also may be possible for a *Certified Organization* to develop its own documentation of diversity at this scale, though credibility is likely to be enhanced by participating in a broader collaborative process.

Commented [SF114]: Edit made to clarify that CO is not responsible for developing documentation referenced in Indicator 4.1.3. Documentation from other sources/agencies can be referenced.

To achieve the intended goal of contributing to *biodiversity conservation* at *landscape* scale, managers will need to evaluate the required "documentation of *biodiversity* at *landscape* and ownership/tenure levels" in the context of their own management strategies and objectives, to determine if there may be opportunities to fill gaps in *biodiversity* outcomes, or to provide certain forest composition, age-classes or conditions that may be lacking on the *landscape*. The "planning and priority-setting efforts" cited in Indicator 4.1.4 are intended to be informative to this effort, by helping managers understand *conservation* priorities that have been independently and scientifically established, and "incorporating results" into their own planning. The list of credible sources for such analyses provided in Indicator 4.1.4 is intended to aid in that process — these sources often intersect or dovetail with the *landscape biodiversity* assessments noted above.

Another credible prioritization effort at large scale is the "Forests for the Birds" project, collaboratively developed by SFI, the American Bird Conservancy, and multiple *Certified Organizations*. Incorporation of the results of this project should be considered appropriate to

[meet the intent of Indicator 4.1.4 by informing management strategies for conservation of wide-ranging bird species.](#)

[Certain commonly understood forest metrics, such as stand age, and size-class distribution, can be valuable elements of credible analyses to better understand the contributions of a given managed area to *biodiversity conservation*. Certain imperiled species, such as Red Cockaded Woodpecker \(in the U.S. South\), may have life cycle requirements related to tree size and distribution — in this case, larger diameter trees. Analysis and “incorporation” therefore could include assessment of range maps or habitat prediction models of species that may be dependent on such conditions. In this way, managers can develop strategies to enhance habitat for species with known requirements, and potentially elevate the contribution of their managed area toward landscape goals, within the context of overall management objectives, using well-established metrics beyond just the *forest cover type*.](#)

[An advantage of using credible planning and priority-setting frameworks, such as those noted above, is that multiple elements and scales of *biodiversity* analysis are already inherent to these constructs. For example, the NatureServe *biodiversity* metrics approach \(a project in collaboration with SFI and multiple *Certified Organizations*\) includes metrics relative to “*landscape condition*” and “*species assemblages*,” effectively addressing “*connectivity*” and “*natural communities*” respectively. The metric of “*Landscape Spatial Pattern*” effectively speaks to both “*fragmentation*” and “*connectivity*” as inherent attributes of *biodiversity* at multiple scales.](#)

[Analyses of *landscape* conditions and opportunities may be conducted collaboratively by multiple *Certified Organizations*, or in partnership with *SFI Implementation Committees* that operate across multiple certified ownerships. Such assessments may facilitate the ability of forest managers to address *landscape scale conservation* or *biodiversity* assessments more efficiently, facilitating the ability of managers to implement strategies that improve such outcomes, while remaining true to the diverse management objectives of individual *Certified Organizations*.](#)

Commented [SF15]: Collaboratively addressing landscape scale conservation or biodiversity assessments.

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Forests with Exceptional Conservation Value

Objective 4 of the *SFI 2015-2019-2022 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 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 [and/or collaboratively and](#) may include [Certified Organization](#)~~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 Certified Organizations](https://www.natureserve.org/biodiversity-science/publications/natureserve-conservation-status-assessments-methodology-assigning) can use the NatureServe database to identify species and communities for *protection*. Learn more about [NatureServe Conservation Status Assessments](https://www.natureserve.org/biodiversity-science/publications/natureserve-conservation-status-assessments-methodology-assigning). [NatureServe Conservation Status Assessments at https://www.natureserve.org/biodiversity-science/publications/natureserve-conservation-status-assessments-methodology-assigning](https://www.natureserve.org/biodiversity-science/publications/natureserve-conservation-status-assessments-methodology-assigning)

NatureServe Resources for Global and Occurrence Ranks

Identification and *protection* of *critically imperiled* and *imperiled species* and communities is a stepwise 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 2022 Forest Management Standard~~ ~~SFI Standard~~ requires that ~~Program Participants Certified Organizations~~ have a ~~"Program to address conservation of ecologically important species and natural communities, including those that are locally rare."~~ ~~"plans to locate and protect known sites associated with viable occurrences of critically imperiled and imperiled species and communities."~~

Under the *SFI ~~2022~~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 Certified Organization's* discretion.

Element occurrences with poor estimated viability (D) would not be protected under the *SFI ~~2015-2015~~2022 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~~2022 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 Certified Organizations* are encouraged to seek *additional information on occurrence ranking* ~~additional information on occurrence ranking~~ from NatureServe (www.natureserve.org/prodServices/codraft/5.pdf) ~~https://www.natureserve.org/conservation-tools/standards-methods/element-occurrence-data-standard~~ <https://www.natureserve.org/conservation-tools/standards-methods/element-occurrence-data-standard> and/or 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 species-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 2022 Forest Management Standard*

In the *SFI-2015-2019 2022 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 Certified Organizations* 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 2022 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 Value*, ~~(FECV)~~, provide the foundation for *landscape* scale mapping and planning that incorporates ecosystems into sustainable forest management for *Program-Participants Certified Organizations*. ~~These organizations~~ *Program-Participants Certified Organizations* 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, ~~j, and k~~, *Performance Measure 3.2-2, 3.2-3, Indicators 4.1.6, 4.2.2, 4.2.3*) as part of their forest planning processes. *Program-Participants Certified Organizations* also are required to integrate biotic and abiotic elements in forest conversion decisions (Indicator 1.2.2b), forest regeneration (Performance Measure 2.13), 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 Measures 4.2 and 4.4).

Commented [SF17]: Original indicator 1.1.1 retained and i.1.1 j. and k. deleted.

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 Certified Organizations* have criteria for the desired forest composition (Performance Measure 2.1), tree stocking (Indicator 2.1.2), size distributions (Indicator 1.1.1a, Indicator 1.1.1h), retention of *habitat* elements (Indicator 4.1.2), and *protection* of *ecologically important sites* ~~special sites~~ (Indicators 4.1.5, 4.1.6, Performance Measure 4.3), *special sites* (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~~ (Performance Measure 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 *wetlands and 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~~ *2022 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 *wetlands and 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* *Certified Organizations* 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~~ *2022 Forest Management Standard* explicitly recognizes numerous important 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, Ecologically Important Significant Species of Concern and Invasive Species Exotic Plants and Animals*

Objective 4 in the ~~SFI 2015-2019~~ *2022 Forest Management Standard* includes *performance measures* and *indicators* for *conservation* of *biological diversity*. Additional information is provided here for *wildlife habitat* diversity and *invasive species*.

Wildlife Habitat Diversity

Performance Measure 4.1 in the *SFI 2022 Forest Management Standard* includes programs to incorporate *conservation* of *biological diversity* and 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—~~Ecologically Important~~ Significant Species of Concern

Indicator 4.1.5 requires a *program* to address *conservation of ecologically important species and natural communities*, ~~known sites with viable occurrences of significant species of concern including those that are locally rare. Such ecologically important species or communities could include those that are locally rare in the area of operation, at the discretion of the Certified Organization.~~ "Locally rare" is a term intended to give managers flexibility in interpretation, though managers are encouraged to consult objective sources (such as NatureServe G and S-Rank systems) to achieve consistent application of the concept. Specifically, "locally rare" could include species with a high "S-Rank," indicating relative rarity within that jurisdictional area (e.g., state or province), or it could mean species that are at the fringes of their range, and thus relatively uncommon to that locality.

Commented [SF118]: Guidance revised to reflect the edit in Indicator 4.1.5.

Commented [SF119]: Elaboration on the concept of "locally rare".

Commented [SF120R19]: Forest Conservation Subgroup accepted the edit.

The intent of indicator 4.1.5 is for ~~Program Participants~~ *Certified Organizations* to; (1) evaluate *conservation opportunities relative of to* species or communities that are not *officially designated for protection by* state, provincially or federally ~~law, threatened or endangered or~~ ranked G1 or G2 ~~(and thus addressed through Forests with Exceptional Conservation Value);~~ (2) *identify ecologically important select appropriate* species ~~for management attention of concern that are significant;~~ and (3) incorporate *conservation* actions for the selected species into management.

The term "*ecologically important species*," replaces the former term "*viable occurrences of significant species of concern*." *Ecologically important* is a defined term, which can be applied to either species or *natural communities* (which is also now a defined term).

Commented [SF121]: Moved below

The intent is for *conservation* to occur on *Certified Organization* lands. *Although Certified Organizations* are not required to survey to determine known *occurrences, they should refer to available sources to identify the presence of ecologically important species or natural communities sites*. *Certified Organizations* should look to the definition of *ecologically important* to help determine which species or *natural communities* should be considered under this indicator, in addition to considering rarity, regional importance, and sensitivity to, or reliance upon, forest management activities. Resources for determining rarity may include Nature Serve 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. Information regarding known occurrences (i.e., presence) can be drawn from Nature Serve, State/Provincial Natural Resource Agencies, Conservation Data Centers, or other regional mapping efforts or assessments. Occurrence information can be drawn from Nature Serve, State/Provincial Natural Resource Agencies, Conservation Data Centre and other ~~eco-regional mapping efforts~~.

It should be noted that *non-forested wetlands*, bogs, fens, marshes, and *vernal pools* (cited for identification and *protection* in Indicator 4.1.6) are characterized by distinct *natural communities* and can thus be identified using the methods and sources noted above.

Ecologically important species or *natural communities* could include species that are ranked G3 or S1-S3 by NatureServe, at the discretion of the forest manager, and based on potential opportunities for the managed area to aid in recovery or perpetuation of that species (note that G1-G2 species are already afforded *protection* by definition and related requirements under *Forest with Exceptional Conservation Value*). For example, the Gopher Tortoise (*Gopherus polyphemus*), ranked G3, is considered an *ecologically important* species ~~of concern~~ across much of its range. Many forest managers in the range of Gopher tortoise in the US South include specific attention to the needs of that species in management planning.

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 should require management or *protection* under this indicator – rather such lists should serve as a resource for identification of *ecologically important species* or *natural communities*.

The concept of ensuring *programs to address ecologically important species and natural communities provides forest managers with opportunities to address vulnerable, and locally rare, species in multiple ways. Certified Organizations are encouraged to work closely with non-governmental organizations, state, provincial and federal agencies, to advance conservation efforts collaboratively, and to mitigate the need for formal listing and regulatory protections under the Endangered Species Act (US), or the Species at Risk Act (Canada).*

Invasive Species

-Indicator 4.1.7 addresses *invasive species*~~and animals~~.

According to the U.S. Department of Agriculture Animal and Plant Health Inspection Service, *invasive species*~~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 Organizations* should become knowledgeable about *invasive species*~~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 species*~~exotic plants and animals~~. Indicator 4.1.7~~6~~ does not require ~~an SFI Certified Organization~~*Program Participant* to eliminate *invasive species*~~exotic plants and animals~~ on their land. In some places, *invasive species*~~exotic plants and animals~~ are well established and eradication by the ~~SFI Program Participants~~*Certified Organizations* is unrealistic.

Experts in this area believe the most effective means of addressing *invasive species*~~exotic plants and animals~~ include:

- awareness building,

- monitoring,
- preventing new introductions, and
- eliminating new occurrences.

~~SFI~~ *Certified Organizations* should emphasize these as priorities in their programs. Forest practices that reduce the abundance of *invasive species* are preferred if they can be addressed within the context of the ~~SFI~~ *Certified organization's* overall management objectives.

Application of Research to Forest Management Decisions

The intent of Performance Measure 4.4 is to ensure that the substantial investment of ~~SFI~~ *Certified Organizations* toward research is resulting in advancements in application of practices toward *biodiversity conservation*. *Certified Organizations* can participate in advancing this knowledge in multiple ways. Performance Measure 4.4 suggests the need for acquiring biodiversity-related data through inventory processes, mapping, interaction with natural heritage programs, data centers, or NatureServe. The implication is that *Certified Organizations* can both utilize such data, and also participate in the advancement of general understanding by contributing data to be widely shared, where feasible and appropriate – this could include, for example, sharing element occurrence data with NatureServe data centers to augment understanding of species' distribution. Participation could further include direct engagement in collaborative projects with non-governmental organization, academic partners, and other *Certified Organizations*, in a variety of projects that serve to increase understanding and advance common practice. Modes of implementation could include (but are not limited to):

- collaborative research participation, and sharing results, through *SFI Implementation Committee* engagement
- participation in research projects with external partners, through direct engagement, *SFI* Conservation Grant projects, multilateral partnerships, etc.
- sharing of proprietary research results, as appropriate, to support elevation of forest practices across the sector

Objective 8. Recognize and Respect Indigenous Peoples' Rights

Aboriginal-Indigenous Title

SFI 2022 Forest Management Standard Performance Measure 8.1 requires that *Certified Organizations* recognize and respect *Indigenous Peoples'* rights. Additionally, Objective 10 requires *Certified Organizations* to comply with all applicable federal, provincial/state laws and regulations. This includes applicable laws and regulations pertaining to engagement, communication and/or consultation with Indigenous Peoples, as they exist within the *Certified Organization's* province(s) or state(s) of operation and apply to the *Certified Organization's* private forest lands or public tenures.

Further to legal compliance under Objective 10, *Certified Organizations* should take additional measures to demonstrate recognition and respect for Indigenous Peoples rights and *traditional forest-related knowledge*. Such measures are intended to help build a strong foundation for meaningful relationship building and collaboration between *Certified Organizations* and

Indigenous Peoples whose rights may be affected by the *Certified Organization's* forest management activities.

Demonstrating an understanding and recognition of established frameworks of legal, customary, and traditional rights is one such measure that can further support relationship building processes. Within their Objective 8 *program* (Indicator 8.1.1), *Certified Organizations* should include actions that demonstrate efforts to understand and recognize established frameworks of legal, customary and traditional rights as they pertain to their private forest lands or public tenures which may be of importance to Indigenous Peoples whose rights may be affected by the *Certified Organization's* forest management activities.

Reference to resources such as (i) the UN Declaration on the Rights of Indigenous Peoples, (ii) federal, provincial, and state laws and regulations, and (iii) relevant treaties, agreements, or other constructive arrangement among governments and Indigenous Peoples can be used to demonstrate efforts to recognize such frameworks. [In all cases *Certified Organizations* shall respect the processes, laws, and direction received from relevant government agencies derived through nation-to-nation relationships where the certification takes place.](#)

Certified Organizations are encouraged to investigate opportunities to implement aspects of such frameworks that fall outside of those required under Objective 10 and are identified as being of importance to affected Indigenous Peoples, as a means of further supporting meaningful relationship building processes.

SFI 2022 Forest Management Standard Performance Measure 8.1 requires that *Program Participants* *Certified Organizations* recognize and respect *Indigenous Peoples'* rights. Additionally, Objective 109 requires *Program Participants* *Certified Organizations* 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 km² of *Tsilhqot'in* territory establishing what is a new form of land tenure in Canada. This decision will have implications for Canadian *Program Participants* *Certified Organizations* as First Nations legally establish "Aboriginal title" on territories that are currently non-treaty lands.

With this legal precedent in place, *Program Participants* *Certified Organizations* 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* *Certified Organizations* 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.

Communications with Indigenous Communities

The *2022 Forest Management Standard* Indicator 8.2.1 d. requires a ~~€~~*Certified* ~~e~~*Organization* with public forest tenures to communicate with *Indigenous Peoples* whose rights may be affected by forest management *practices* through processes that respect their representative institutions and cultural preferences. At a minimum, ~~€~~*Certified* ~~e~~*Organizations* with forest

Commented [SFI22]: Edit following RC discussion re. removal of 'and/or' in Indicator 8.1.1. Edit in guidance clarifies intent in 8.1.1. in FM Standard.

management responsibilities on public lands must fulfill their legal requirements arising from relevant federal, state, or provincial regulations. Many jurisdictions have existing legislation or regulations that guide communications with *Indigenous Peoples* in the context of sustainable forest management. Areas of consideration and levels of prescriptiveness vary by jurisdiction but may include:

- i. timing of communications;
- ii. subject matter of communications;
- iii. delivery method(s) of communications;
- iv. timelines for responses to communications;
- v. necessary recipients of communications; and,
- vi. ability to modify prescribed communication procedures to accommodate local preferences.

Early, often, and ongoing communication with *Indigenous Peoples* can enhance relationship building efforts, promote trust and collaboration, and enable all parties to proactively address potentially contentious issues before they become sources of disruptive conflict. As such, ~~e~~Certified ~~e~~Organizations are encouraged to implement communications programs that build on regulated requirements and are aimed at supporting open, respectful, and locally relevant communication with affected *Indigenous Peoples*.

~~Certified e~~Organizations are encouraged to identify communications protocols that have been previously developed and endorsed by affected Indigenous communities and integrate them into their broader communications programs. These protocols can often be obtained by: ~~i~~ checking a nation, tribal or community's website; ~~ii~~ calling the nation, tribe or community's administrative office; or, ~~iii~~ contacting relevant federal, provincial, or state authorities who have responsibilities to communicate with Indigenous Peoples. Many Indigenous communities will ~~have someone who leads~~ appoints an individual or department to lead external communication, consultation and engagement activities who can advise ~~e~~Certified ~~e~~Organizations on appropriate protocols.

Commented [SF123]: Indigenous Subgroup accepted the edits.

Where community-endorsed communications protocol does not already exist and/or where regulated requirements or existing communications protocols do not contain specific provisions related to performance measures or indicators contained in Objective 8, ~~e~~Certified ~~e~~Organizations are encouraged to co-develop customized communications protocols with affected Indigenous communities. Such protocols should seek to build upon relevant legal or regulatory requirements, while considering the unique interests, needs, preferences and capacity of each party. In addition to considering items i through vi above, customized communications protocols could contain agreed-upon provisions pertaining to:

- adequate communications timelines that permit thorough review of documents and meaningful participation in decision-making processes by all parties;
- opportunities to participate in information sharing events such as company hosted field tours or third-party audits (interviews and/or field audit);

Commented [SF124]: Edit result from Sept 22 Indigenous Subgroup call pointing to participation in information sharing events.

- presentation of relevant documents in an accessible, non-technical format that can be easily understood by individuals from a non-forestry background;
- documentation, storage, application, and dissemination of (a) *Indigenous Peoples' traditional forest-related knowledge*, (b) information pertaining to sites of spiritual, historical, or cultural importance, (c) use of *non-timber forest products* of value, and (d) other forms of *Indigenous Peoples'* intellectual property as deemed important to the affected Indigenous community; and,
- resolution of disagreements with respect to forest management decision-making.

Prior to the establishment of a customized communications protocol that identifies necessary recipients of and delivery methods for communications, ~~Certified~~ ~~Organizations~~ should attempt to establish genuine, good faith communications with affected Indigenous communities by employing a variety of delivery methods (e.g., mail, electronic, telephone, in-person), as required, directed to appropriate contact persons or departments identified through the use of available resources and information. ~~Certified~~ ~~Organizations~~ are encouraged to document all communications with affected Indigenous communities pertaining to the fulfillment of Objective 8 requirements.

Communications protocols should be periodically reviewed and updated to ensure they remain relevant and meaningful to all parties, considering evolving local circumstances and forest management priorities. ~~Appropriate training should be provided to personnel and contractors so that they are competent to fulfill both their legal responsibilities with respect to communications with *Indigenous Peoples* as well as responsibilities arising from co-developed communications protocols.~~

Commented [SFI25]: Guidance addressing options for implementing a process(es) for appropriate communications with Indigenous Peoples.

Commented [SFI26R25]: Indigenous Subgroup accepted the edit.

Objective 9: *Climate Smart Forestry*

Atmospheric carbon continues to influence the effects of climate change on forest ecosystems and global climate cycles. Carbon sequestered in and released from forests has been identified as having a significant effect on atmospheric carbon levels. As such, understanding the benefits of carbon sequestration and storage in managed forests is an important element of sustainable forest management.

Natural disturbances such as fire and insect outbreaks have occurred throughout history in North American forests. However, recent evidence suggests that these events are becoming more frequent and severe due to climate change. These unprecedented increases in extent and severity of disturbance have shifted large areas of forests to become significant sources of emissions to atmospheric carbon pools, compounding the climate change effects of anthropogenic carbon emissions.

Forest management decisions need to take into consideration a suite of objectives which are appropriately responsive to the unprecedented changes to our forests, resulting from climate change. These include managing for wildfire risk, maintaining landscape diversity for wildlife and recreation, maintaining growing forests that remove carbon from the atmosphere, and

providing a sustainable resource for rural communities that rely on forest-based economies. We know that when we actively manage our forested landscapes for wood products, we can maintain forests as a carbon sink^{2,3}. Understanding carbon dynamics in managed forests allows ~~€Certified €Organizations~~ to make informed decisions relative to objectives, strategies, and practices applied, which are both responsive and responsible with respect to climate change impacts.

In 2019, the Michigan State University Forest Carbon and Climate Program (FCCP) undertook a preliminary study which included a qualitative analysis of SFI ~~programmatic~~ documents, interviews with key experts, and observations of SFI training activities. This analysis found that while the *SFI -Forest Management Standard* did not explicitly require performance relative to carbon or climate mitigation, nonetheless ~~“climate -smart forestry”~~⁴ concepts, management practices, and other best practices with benefits were prevalent throughout the standards, training materials, and ~~Certified Organization program participant~~ interviews. Beyond those valued practices, which remain as important elements of the *SFI Forest Management Standard*, the Climate Smart Forestry Objective is the next logical step in providing the assurance that such practices are undertaken, audited, and tracked as a proof point of forest sustainability.

The Climate Smart Forestry objective ensures that ~~€Certified €Organizations~~ are aware of the effects of their management on forest carbon dynamics as they relate to climate, and that such considerations are taken into account in business and forest management planning. However, the Climate Smart Forestry Objective is not a carbon quantification protocol, nor does it require ~~€Certified €Organizations~~ to additionally sequester carbon in managed forests. Further, the requirement of the Climate Smart Forestry objective do not extend to the quantification and verification of carbon pools as might be required by voluntary carbon markets or offset programs such as the Carbonzero program, the Verified Carbon Standard (VCS), or Carbonfund.org, but may be a useful framework to do so.

The requirements of the Climate Smart Forestry Objective and the programs and management activities designed to meet its ~~performance measures criteria and indicators~~ should to the extent possible be based the *best scientific information*. SFI recognizes that there is uncertainty in all science, and climate change is a uniquely challenging phenomenon. Even with the *best scientific information* the outcomes of climate change on forests may not be 100% predictable; nonetheless we strive to have the best preparation possible, and to help reduce uncertainty, rather than avoid it.

It is important to note that the scope and scale at which ~~€Certified €Organizations~~ may address ~~some of these objectives~~ will depend on their capacity to conduct analysis and their purposes vis-vis the needs of their customers-size and complexity of their operations. For example, larger Organizations certified to the *SFI 2022 Forest Management Standard* forest land owners and managers may choose have the greater capability and therefore wish to conduct a more complex and area specific inventory of greenhouse gas emissions and harvest removals or consult than smaller ~~certified organizations who may choose to rely on~~ whereas it is reasonable

² Kurz W.A., Smyth, C. and Lemprière, T. (2016) Climate change mitigation through forest sector activities: principles, potential and priorities. *Unasylva* 246 (67), 61-67.

³ Smyth, C.E., Stinson, G., Neilson, E., Lemprière, T.C., Rampley, G.J. and Kurz, W.A. (2014). Quantifying the biophysical climate change mitigation potential of Canada's forest sector. *Biogeosciences* 11, 3515-3529.

⁴ See FAO 2019 for more information on Climate-smart Forestry

to expect that smaller land owners and managers can make use of regional averages for greenhouse gas emissions and harvest removal estimates for purposes of developing an adaptation strategy and mitigation plans.

Commented [SF127]: Edits from the Sept 16 call.

Due to the overarching regionalized effects of climate change, it may be useful and feasible for ~~e~~Certified ~~e~~Organizations to coordinate efforts at addressing climate change risks to forests (Performance Measure 9.1) or to identify and address opportunities to mitigate climate change with their state or regional SFI Implementation Committees. While not a requirement, such coordinated efforts may be an effective means of assuring consistency for practice and information availability.

Commented [SF128]: Guidance calling out potential for collaborative efforts for addressing climate change risks.

The intent of the Climate Smart Forestry Objective is to require Certified Organizations to consider as many managed forests greenhouse gas and carbon sources and sinks as is reasonably practicable possible, recognizing that some of them may be acknowledged to be outside of their influence. SFI also acknowledges ~~e~~Certified ~~e~~Organizations will continuously improve their forest management activities to address climate change adaptation and mitigation measures over time as more data and information become available. The following guidance is intended to provide options that ~~e~~Certified ~~e~~Organizations may use to meet Objective 9 in the SFI 2022 Forest Management Standard and is not normative.

Commented [SF129R28]: Climate Smart Forestry Subgroup accepted the edit.

Performance Measure 9.1 — Identifying Climate Change Risks and Vulnerabilities

Risks and vulnerabilities that result from climate change impacts on managed forests and the values within them will vary from region to region and across forest stand types and ages. This variation may include differences in effects on tree mortality, forest infestation, wildfire, and species distributions⁵. Identifying risks and vulnerabilities based on best scientific and economic information is important to test the relevance or efficacy of a ~~e~~Certified ~~e~~Organization's existing risk management strategies under climate change or to help identify whether new or additional strategies may be warranted. Standard risk identification and assessment approaches exist that can be directly used in a forest management context (Edwards et al 2015⁶Edwards et al 2015⁶) or can be adapted from similar approaches (CoastAdapt 2020⁷).

Commented [SF130]: Edits from CSF Sept 16 and Oct 1 Subgroup Call

Indicator 9.1.1 — Prioritization of Risks and Vulnerabilities

Risk or vulnerability assessment is the process of assessing the probabilities and consequences of potential risk events. Indicator 9.1.1 requires ~~e~~Certified ~~e~~Organizations to conduct an assessment to prioritize identified climate change risks. Management efforts can then be better allocated to reduce risks to forests and the values within them, as per Objectives 2 (Forest Health and Productivity), 3 (Protection and Maintenance of Water Resources), 4 (Conservation of Biological Diversity), 5 (Management of Visual Quality and Recreation Benefits) and 6 (Protection of Special Sites).

⁵ Romero-Lankao et al 2014, Impacts, Adaptation, and Vulnerability. Part B: Regional Aspects. Contribution of Working Group II to the Fifth Assessment Report of the Intergovernmental Panel on Climate Change.

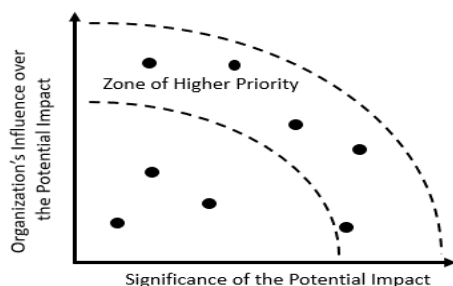
⁶ Climate change and sustainable forest management in Canada: a guidebook for assessing vulnerability and mainstreaming adaptation into decision making / J.E. Edwards, C. Pearce, A.E. Ogden, and T.B. Williamson.

⁷ Plunket, J., Stanzel, K., Weber, R. and S. Lerberg. 2015. Climate Change Vulnerability Assessment Tool for Coastal Habitats: Guidance Documentation. Available: <http://www.ccvatch.com>

Determining the climate-related material risks to a *€Certified €Organization* may involve identifying, refining, and assessing numerous potential environmental, social, and economic climate-related risks and vulnerabilities that could affect the organization or its stakeholders. These could then be distilled into a short-list of topics that inform forest management strategies, targets, operations, and reporting⁸. Determining which risks and vulnerabilities are the highest priority may involve considering the nature of the impacts, including whether they are positive or negative, actual or potential, direct or indirect, short-term or long-term, or intended or unintended. A further consideration may be given to the significance of the potential impact on the organization, its operations, or stakeholders, and the level to which the impact can be influenced (Figure 1), and the risks over the long-term planning horizon for the forest being assessed.

Commented [SF131]: Edit from CSF Oct 1 call.

Figure 1: Prioritization of climate-related risks to a *€Certified €Organization* based on the significance of the potential impact and the organization's ability to influence the risks.



Indicators 9.1.2 and 9.1.3 — Identifying Adaptation Strategies

Indicator 9.1.2 requires a *€Certified €Organization* to develop an *adaptation* plan to address priority climate change risks, and in so doing help identify and address opportunities to enhance ecosystem resilience for the forests they own or manage (Indicator 9.2.2). Indicator 9.1.3 then addresses how these *adaptation* plans should be reviewed in the context of Regional Climate Change Adaptation Strategies (RCCAS), where they exist. RCCAS are useful tools that help governments and organizations conduct operations that are aligned with overall *adaptation* efforts that are sensitive to regionally specific climate change risks. RCCAS have been developed for several jurisdictions and municipalities and are readily available for downloading, such as those found in Table 1. *Adaptation* strategies may involve consideration of potential adjustments to account for altered timing of spring thaw, shorter winters, assisted tree migration through selective planting, and consideration of planting the right tree species in the right place, at the right time, to name a few. *Certified Organizations* may further wish to assess the impact of climate risk across the range of potentially impacted *programs* they develop under the *SFI 2022 Forest Management Standard*, including those related to *wildlife and biodiversity*, and *special sites*, through monitoring and data collection. For example, climate change may

Commented [SF132]: CSF Subgroup accepted the edit.

⁸ KPMG 2014, Sustainable Insight: The essentials of materiality assessment.

result in shifts in *suitable habitat* for *threatened and endangered* species or increase the potential for catastrophic wildfire or insect infestation on *special sites*. It may be useful to identify how these *programs* might need to evolve to address identified climate risks.

Commented [SFI33]: Edits from Sept 16 and Oct 1 CSF Subgroup call

Table 1: A non-exhaustive list of [Regional Adaptation Tools and Strategies](#) by relevant jurisdiction, with title and source URLs for locating the documents (accessed April 26, 2020).

Jurisdiction	Title	Source
California	California Adaptation Planning Guide: planning for adaptive communities	https://resources.ca.gov/CNRALegacyFiles/docs/climate/01APG-Planning-for-Adaptive-Communities.pdf
New Hampshire	Climate Change Resilience Plan: resilience and preparedness in state government project	https://www.des.nh.gov/organization/divisions/water/dwgb/documents/wd-14-02.pdf
U.S. Southeast	UE EPA Region 4 Adaptation Implementation Plan	https://www3.epa.gov/climatechange/Dowloads/Region4-climate-change-adaptation-plan.pdf
British Columbia	Strategic Climate Risk Assessment Framework for British Columbia	https://www2.gov.bc.ca/assets/gov/environment/climate-change/adaptation/climate-risk-assessment-framework.pdf
Ontario	Climate Ready: Ontario's adaptation strategy and action plan	http://www.climateontario.ca/doc/publications/ClimateReady-OntariosAdaptationStrategy.pdf
Canada	Adapting Sustainable Forest Management to Climate Change: preparing for the future	https://www.ccfm.org/pdf/Edwards-Preparing-ForFuture-FinalEng.pdf
U.S.	Climate Hubs — U.S. Department of Agriculture	https://www.climatehubs.usda.gov/
U.S.	USFS Climate Change Resource Center	https://www.fs.usda.gov/cere/
Canada	Forestry Adaptation Community of Practice (FACoP)	https://ccadaptation.ca/en/facop
U.S.	Climate Change and Forestry Handbook (Manomet)	https://secureservercdn.net/198.71.233.150/0xq.226.myftpupload.com/wp-content/uploads/2018/05/CSLN-handbook-Compiled-052918-web.pdf
U.S.	Forest Adaptation Resources: Climate Change Tools and Approaches for Land Managers, 2nd edition (USDA)	https://www.fs.fed.us/nrs/pubs/gtr/gtr_nrs87-2.pdf
Jurisdiction	Title	
California	California Adaptation Planning Guide: planning for adaptive communities	
New Hampshire	Climate Change Resilience Plan: resilience and preparedness in state government project	
U.S. Southeast	UE EPA Region 4 Adaptation Implementation Plan	

Commented [SFI 34]: Additional tools identified.

British Columbia	Strategic Climate Risk Assessment Framework for British Columbia
Ontario	Climate Ready: Ontario's adaptation strategy and action plan
Canada	Adapting Sustainable Forest Management to Climate Change: preparing for the future
U.S.	Climate Hubs – U.S. Department of Agriculture
U.S.	USFS Climate Change Resource Center
Canada	Forestry Adaptation Community of Practice (FACoP)
U.S.	Climate Change and Forestry Handbook (Manomet)
U.S.	Forest Adaptation Resources: Climate Change Tools and Approaches for Land Managers, 2nd edition (USDA)

Indicator 9.2.1 – Identifying options for addressing stored carbon and greenhouse gas emissions

Adapting forest practices to address potential risks (identified in 9.1) involves understanding the potential range of variability in future climate scenarios and adapting management and silvicultural practices to those conditions in order to sustain a thriving forest with all of its inherent values. Larger forest land owners and managers may choose to have the greater capability to and therefore wish to conduct a more wholistic adaptation plan and incorporate a broader range of options or than, whereas it is reasonable to expect that smaller land owners and managers who may choose have to examine a narrower range of feasible options for purposes of developing an adaptation strategy, depending on their capacity or market purposes.

Commented [SFI35]: Subgroup accepted the edit.

Indicator 9.2.1 – Identifying options for addressing stored carbon and greenhouse gas emissions

Resulting activities may range from assessing the impact of the forest management plan on overall carbon balance, to assessing the impact of different silvicultural and operational practices on live tree carbon to support the maintenance of forest benefits, potentially including target-setting for reduced net emissions or increased sequestration. Some examples may include:

- Consideration of equipment age, operability and maintenance (Scope 1 emissions);
- Selecting the correct equipment size (most efficient machine for the job);
- Finding alternative uses for logging waste to manage for fuel abatement and minimizing open burning; and/or
- Modifications to site preparation techniques.

Commented [SFI36]: Edit resulting from discussion on Dec 8 BoD call regarding wildfire PM and its linkage to Ind. 9.2.1.

Indicator 9.2.32 – Quantifying GHG emissions in forest management operations

Understanding the overall impact of forest operations on forest carbon balance can encompass analysis of carbon pools and fluxes or the identification and management of the most significant fluxes over which ~~€Certified €Organizations~~ have an influence. ~~Large~~ Forest land-owners and managers may choose to have the greater capability and wish to conduct a full more comprehensive inventory of greenhouse gas emissions, or ~~whereas it is reasonable to expect that than smaller land owners and managers who may choose can make use to rely on of regional averages for estimating greenhouse gas emissions – estimates for purposes of quantifying GHG emissions and informing forest management operations, depending on their capacity or market purposes.~~

Commented [SFI37]: Subgroup accepted the edit.

Sources of models and tools to quantify local, regional, and national level forest carbon storage that may assist in addressing carbon storage or emission calculations are available from a variety of sources. The USDA Forest Service website maintains a list of tools for carbon inventory, management and reporting here. Some freely available data sources include the USFS Forest Inventory and Analysis (FIA) National Program, as well as resources available from Natural Resource Canada's (NRCan) Carbon Accounting Program, such as the CBM-CFS3 model (available here). ~~Other more regionally-specific resources are available from industry-specific vendors (e.g., NCASI, Silviaterra), or through available tools such as FORECAST or FORCARB.~~ Selection of tools and approaches may consider resolution, accuracy, and scalability. Irrespective of the source, accounting tools should be characterized by sensitivity to forest types and employ the appropriate scale and climate modelling analysis suitable to the forest management area in question.

Resources to develop programs (Indicator 9.2.2) are related to the tools and methods developed to address carbon and greenhouse gas emissions (Indicator 9.2.1), combined with approaches to prioritize the most significant emission sources for management. Tools and models developed to quantify emissions are listed in Table 2.

Table 2 — Forest carbon emission and storage estimation models and tools, with references to geographic applicability. Note this is not an exhaustive list of possible tools.

Tool	Country, State/Province	Description	Source
CBM-CFS3	Canada (all)	The operational-scale Carbon Budget Model of the Canadian Forest Sector (CBM-CFS3) is an aspatial, stand- and landscape-level modeling framework that simulates the dynamics of all forest carbon stocks required under the Kyoto Protocol (aboveground biomass, belowground biomass, litter, dead wood and soil organic carbon). It complies with the carbon estimation methods outlined by the Intergovernmental Panel on Climate Change (IPCC)	Link
Generic Carbon Budget	Canada (all)	The GCBM is the next generation, fully spatial version of the CBM-CFS3 that the federal	Contact Contact

Model (GCBM)		government is currently using for various internal research and collaborative projects.	
FORECAST model	Canada (BC, AB, SK, S. ON, NS)	FORECAST is an ecosystem-based, stand-level, forest growth simulator. The model was designed to accommodate a wide variety of harvesting and silvicultural systems in order to compare and contrast their effect upon forest productivity, stand dynamics, and various biophysical indicators of non-timber values. Forest carbon is one of the outputs that can be modeled.	Link
FORCARB model	Canada (ON)	FORCARB is a U.S. developed model that the government of Ontario has modified for provincial use. The Ontario model is referred to as FORCARB-ON. The model can be used to project carbon storage in harvested wood products.	Link
i-Tree Harvest Carbon Calculator	U.S.	The i-Tree Harvest Carbon Calculator (originally known as the PRESTO Wood Calculator) allows land managers and landowners to estimate the amount of carbon stored in harvested wood products. Carbon estimates are based on harvest volume, geographic region, and wood type.	Link
Methods for calculating ecosystem and harvested carbon	U.S.	A publication with guidelines and default tables for estimating forest ecosystem carbon pools in the US and storage of harvested wood products in use and in landfills	Link
FORCARB2	U.S. and Ontario	FORCARB2 produces estimates of carbon stocks and stock changes for forest ecosystems and forest products at 5-year intervals; it includes a new methodology for carbon in harvested wood products, updated initial inventory data, a revised algorithm for dead wood, and now includes public forest land, reserved forest land, and forest land of low productivity.	Link
US Forest Carbon Calculation Tool	U.S.	The Carbon Calculation Tool 4.0, CCTv40.exe, is a computer application that reads publicly available forest inventory data collected by the U.S. Forest Service's Forest Inventory and Analysis Program (FIA) and generates state-level annualized estimates of carbon stocks on forest land based on FORCARB2 estimators.	Link
EVALIDator	U.S.	Generates user-specified reports on forest inventory estimates, including forest carbon stocks and	Link

		changes in dry biomass over time, using US Forest Inventory and Analysis (FIA) data.	
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DEFINITIONS

~~*Adaptation*—Climate change adaptation refers to actions that reduce the negative impact of climate change, while taking advantage of potential new opportunities. It involves adjusting policies and actions because of observed or expected changes in climate.~~

~~Richardson, G.R.A., 2010. Adapting to Climate Change: An Introduction for Canadian Municipalities. Ottawa, Ontario. Natural Resources Canada, 40 p.~~

~~*Mitigation*—Climate change mitigation consists of actions to limit the magnitude or rate of global warming and its related effects. This generally involves reductions in human emissions of greenhouse gases.~~

~~IPCC AR4 WG3 (2007), Metz, B.; Davidson, O.R.; Bosch, P.R.; Dave, R.; Meyer, L.A. (eds.), Climate Change 2007: Mitigation of Climate Change, Contribution of Working Group III (WG3) to the Fourth Assessment Report of the Intergovernmental Panel on Climate Change (IPCC), Cambridge University Press, Cambridge, United Kingdom and New York, NY, USA., 851 pp.~~

Commented [SFI38]: Deleted here as these definitions are in Section 14.

Objective 10. Fire Resilience and Awareness

The intent of Objective 10 — Fire Resilience and Awareness ~~Smart Forestry~~ is for *Certified Organizations* to limit the susceptibility of forests to undesirable impacts of wildfire and to raise community awareness of wildfire benefits, risks, and minimization measures.

Undesirable impacts of wildfire are those that threaten public safety, human health, property, carbon emissions, water quality and quantity, air quality, and species *habitat*, or have the capacity to destroy forests on a scale that significantly impacts the inherent values of these forests.

The link between wildfires and climate is well-documented. The planet is warming, and higher temperatures lead to drier conditions, with many regions experiencing severe drought resulting in more dead trees and debris that significantly increase the risk of undesirable impacts of wildfire. Indicator 1.1.4 already requires *Certified Organizations*, where applicable, to model the negative impacts of climate change (i.e., prolonged drought, increased incidence of disease or pests) in their *long-term* sustainable harvest levels.

However, sustainable forest management can also reduce risk of these undesirable impacts of wildfire. Appropriate management must be done within the context of fire ecology, especially *fire regime*. Doing so increases overall forest ~~resiliency~~*health*, including reducing fuel loads and limiting invasive species, all of which can decrease the likelihood of damage from catastrophic fire.

Commented [SFI39]: New Objective in the 2022 Forest Management Standard – Fire Resilience and Awareness. Guidance reviewed on Jan 12 and 21, 2022 Task Group calls.

The Objective has two Performance Measures. Performance Measure 10.1 has requirements for practices on lands *Certified Organizations* own or manage. Performance Measure 10.2 has requirements for raising public awareness of the benefits, risk, and minimization regarding fire.

Performance Measure 10.1 requires that on the forests they own or manage, *Certified Organizations* shall limit susceptibility to undesirable impacts of wildfire, promote healthy and resilient forest conditions through management techniques, actions and/or policies, and support restoration of forests following wildfire damage. The development of a *program* to evaluate risk of undesirable impacts of wildfire can occur individually and/or through cooperative efforts involving government agencies, *SFI Implementation Committees*, or other partners. The *program* can also take into consideration the scope and scale of the *Certified Organization's* forests.

Examples of risk assessment resources include:

- [Canada — Canadian Wildland Fire Information System](#)
- [US — USFS Operational Risk Management Guide](#)
- [US South — Southern Wildfire Risk: Wildfire Risk Assessment Portal](#)
- ~~[Canada — Canadian Wildland Fire Information System;](#)~~
- ~~[US — USFS Operational Risk Management Guide; and](#)~~
- ~~[US South — Southern Wildfire Risk — Wildfire Risk Assessment Portal](#)~~

When considering management techniques, actions, or policies it is understood that these must be assessed in the context of economic viability. It is also acknowledged that management techniques will vary according to regions and forest type. Examples are illustrative and may not be suited to all regions.

Examples of management techniques for limiting the undesirable impacts of wildfire can include prescribed burning for wildlife or cultural purposes (e.g., traditional foods), *stand* thinning, or other treatments to reduce levels of hazardous fuels.

Examples of *landscape* level management practices for limiting the susceptibility of forests to undesirable impacts of wildfire include prescribed burning, and commercial and non-commercial restorative thinning treatments ~~or planting of deciduous species.~~

~~An~~ Examples of cooperative efforts at the *landscape* level include:

- [The multi-partner Manastash Taneum Resilient Landscapes – Restoration Project in Washington state involving *Certified Organizations*, Tribes, state, and federal agencies.](#)
- ~~[The Gulf Coastal Plain Ecosystem Partnership, is the multi-partner 'Manastash Taneum Resilient Landscapes — Restoration Project' in Washington state involving *Certified Organizations*, Tribes, state, and federal agencies.](#)~~
- ~~[the 'Gulf Coastal Plain Ecosystem Partnership', formed to conserve and restore the dwindling longleaf pine ecosystem and the unique aquatic resources of northwest Florida and southern Alabama.](#)~~

Forest landowners and managers who use prescribed fire as a management tool can access additional resources at the following sites:

- [US — The Longleaf Alliance prescribed fire webpage](#)

- ~~US — Coalition of Prescribed Fire Councils~~
- ~~US — The Longleaf Alliance prescribed fire webpage~~
- ~~US — Coalition of Prescribed Fire Councils~~

Additional wildfire information for *Certified Organizations* can be found at:

- Southeast US — [Wildland Fire in the Southeast](#)
- US West — [Wildfire in the West](#)
- US Appalachian Region (Alabama to Pennsylvania) — [Consortium of Appalachian Fire Managers and Scientists](#)
- US Northeast — [Northeast Region Cohesive Wildland Fire Management Strategy](#)
- US — link to all [US fire science consortiums](#)

In some jurisdictions, post-fire forest restoration on public forest lands is the responsibility of government agencies. These state/provincial or federal agencies have mandated wildfire management and restoration programs and/or regulations, whose purpose it is to mitigate the negative impacts of wildfire to water quality and quantity, *soil health* and to promote restoration and forest resilience. This ensures forests are promptly restored, preserving the critical values inherent in forests. *Certified Organizations* are expected to work individually or cooperatively in support of these government agencies. Additionally, *Certified Organizations* where applicable should operate in accordance with fire management regulations including reduction of hazardous fuels from logging slash and preventative measures to control the spread of fire resulting from forestry operations.

Certified Organizations can refer to the following when implementing plans for forest restoration.

- ~~US — 'Emergency Watershed Protection Program'~~
- ~~US — 'Burned Area Emergency Response'~~
- ~~US — 'After the Flames' (Coalitions and Collaboratives, Inc.)~~
- ~~Canada — 'Wildfire Recovery' (British Columbia)~~

Examples of practices for addressing salvage logging and restoration following damaging fire include: salvage logging, installation of water or erosion control devices, planting or seeding for erosion control or slope stability, installation of appropriate-sized drainage features on roads or trails, protection of threatened and endangered habitat, or monitoring for detection and rapid response to minimize the spread of invasive species.

Performance Measure 10.2 requires that *Certified Organizations* individually or through cooperative efforts involving government agencies, SFI Implementation Committees, Project Learning Tree, or other partners, engage in efforts to raise awareness of and take action towards benefits of fire management and minimization of undesirable impacts of wildfire.

Indicator 10.2.1 requires participation in, or support of, local, state, Indigenous, provincial, or federal fire management and prevention programs. When developing these programs, *Certified Organizations* can consult the following tools:

- ~~U.S. — 'Bureau of Indian Affairs Wildfire Prevention Handbook'~~
- ~~Canada — 'Ontario Wildland Fire Management Strategy (Ontario)'~~

Indicator 10.2.2 requires *Certified Organizations* participate in, or support, programs to promote benefits of fire management, and raise awareness about the environmental, economic, and social risks of undesirable impacts of wildfire to values such as carbon emissions, water quality and quantity, air quality, and species *habitat*, public safety, and human health.

Examples of ~~national existing state/provincial or federal agency~~ wildfire awareness programs or community awareness programs include: FIREWISE USA, FireSmartTM Canada (FireSmartTM and associated Marks are trademarks of Partners in Protection), Smokey Bear ~~or~~ and

Project Learning Tree's Living with Fire or The Nature of Fire. Example state or provincial community wildfire awareness resources include: Alberta's FireSmart Guidebook for Community Protection or the Washington Department of Natural Resources How to Prepare for a Wildfire.

'Living with Fire' or 'Focus on Fire'. Example state or provincial community wildfire awareness resources are Alberta's 'FireSmart Guidebook for Community Protection' or the Washington Department of Natural Resources 'How to Prepare for a Wildfire'.

Objective 119. Legal and Regulatory Compliance (and Objective 4 of SFI Fiber Sourcing Standard)

12. ~~Illegal Logging~~

~~The SFI program~~ has strong existing measures in the ~~SFI 2015-2019~~2022 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~~

~~SFI 2022~~2015-2019 Forest Management Standard Objective 119 and ~~SFI 2015-2019~~2022 Fiber Sourcing Standard Objective 4 requires legal and regulatory compliance with applicable federal, provincial, state, and local laws and regulations.

~~SFI 2022~~2015-2019 Forest Management Standard Performance Measure 119.1 and ~~SFI 2022~~2015-2019 Fiber Sourcing Standard Performance Measure 4.1.

Certified Organizations 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*.

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~~2022 Forest Management Standard Objective 119 and ~~SFI 2015-2019~~2022 Fiber Sourcing Standard Objective 4, ~~Program Participants~~*Certified Organizations* are required to comply with applicable federal, provincial, state and local laws and regulations.

13. ~~International Labour Organization (ILO) ILO~~ Core Conventions

Commented [SFI 40]: This objective to be removed to be replaced by a new Objective 11 with a full Due Diligence System.

Commented [SFI 41]: Indicator 4.1.4 has been removed replaced by a full DDS in Objective 10 of the Fiber Sourcing Standard.

SFI ~~2015-2019~~2022 Forest Management Standard Performance Measure 119.2 and *SFI ~~2015-2019~~2022 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 119.2 and 4.2 for independent contractors and for *Program-Participants*Certified Organizations.

Application of *SFI ~~2015-2019~~2022 Forest Management Standard* Performance Measure 119.2 and *SFI ~~2015-2019~~2022 Fiber Sourcing Standard* Performance Measure 4.2 for independent contractors operating on lands owned or controlled by *Program-Participants*Certified Organizations:

- *Certification bodies* at the time of the audit will collect and review information the *Certified Organization**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 Organization**Program-Participant*, *SFI Inc.* and the *SFI ILO* Task Force. Information received will be reviewed every ~~6-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.
- *Forest Management Standard* Indicators 119.2 and *Fiber Sourcing Standard Indicator* 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, 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 *SFI ~~2015-2019~~2022 Forest Management Standard* Performance Measure 119.2 for *Program-Participants*Certified Organizations with respect to their employees operating on lands owned or controlled by *Program-Participants*Certified Organizations:

- *Certification bodies* at the time of the audit will collect and review information the *Certified Organization**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 119.2.2 through the inconsistent *practices* and procedures outlined in the SFI Public Inquiries and Official Complaints (Section 12+) requirements, item 3.
- All information collected through the inconsistent practices process will be reviewed every ~~6-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 [119.2.2](#) 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 "~~legacied grandfathered~~ in" as meeting the requirements in indicator [119.2.2](#) but must still participate in the information gathering process with their *certification bodies* (for independent contractors) and the inconsistent practices process in item [38.4](#) of the SFI Public Inquiries and Official Complaints (Section [121](#)) requirements to aid in resolution of any issues that may be identified.

Objective ~~131~~. SFI 2022 Forest Management Standard and Objective 6. SFI 2022 Fiber Sourcing Standard)

Use of Qualified Logging Professionals, Qualified Resources Professionals and Certified Logging Companies

Objective ~~12~~. Training and Education (and Objective ~~6~~ in SFI 2022 Fiber Sourcing Standard)

~~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 ~~SFI's work~~ *the SFI program* since its inception. The ~~SFI 2015-2019~~ *2022 Forest Management Standard* strengthens requirements for logger training with revisions to *Indicators*, ~~131.1.5~~, ~~131.2.1~~ and ~~131.2.2~~ and the ~~SFI 2015-2019~~ *2022 Fiber Sourcing Standard* does the same with *Indicators* ~~3.1.1~~, ~~3.2.1~~, ~~3.2.2~~, ~~6.1.5~~, ~~6.2.1~~ and ~~6.2.2~~.

~~"SFI 2022 2015-2019 Fiber Sourcing Standard indicator 3.1.1. Program to promote the use of qualified logging professionals, certified logging companies professionals (where available) and qualified resource professionals."~~

Commented [SFI 42]: If edit to move Ind. 6.1.5 is accepted, then it is removed from here.

"~~SFI 2022~~2015-2019 Forest Management Standard indicator 121.1.5 and ~~SFI 2015-2019~~ 2022 Fiber Sourcing Standard indicator 6.1.5—~~Program Participants~~~~Certified Organizations~~ shall have written agreements for the use of ~~qualified logging professionals~~ and/or ~~certified logging companies~~~~professionals~~ (where available) and/or ~~wood producers~~ that have completed training programs and are recognized as ~~qualified logging professionals~~."

"~~SFI 2015-2019~~2022 Forest Management Standard indicator 121.2.1 and ~~SFI 2022~~2015-219 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~~ core training courses 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;~~
- ~~exotic plants and animals, forest resource conservation, aesthetics and special sites;~~
- ed. ~~awareness of responsibilities under the U.S. Endangered Species Act, the Canadian Species at Risk Act, Forests with Exceptional Conservation Value (critically imperiled and imperiled species and ecological communities), 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.;~~
- df. ~~logging safety;~~
- eg. ~~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~~

"~~SFI 2022~~ Forest Management Standard indicator 12.2.2 and ~~SFI 2022~~ Fiber Sourcing Standard indicator 6.2.2—

Participation in or support of ~~SFI Implementation Committees~~ to establish criteria and identify delivery mechanisms for ~~wood-producer~~ continuing education training courses at least once every two years that address one or more of the following topics:

- a. ~~reforestation, invasive species, forest resource conservation, aesthetics and special sites;~~
- b. ~~awareness of rare forested *natural communities* as identified by provincial or state agencies, or by credible organizations such as NatureServe and The Nature Conservancy;~~
- c. ~~transportation issues;~~
- d. ~~business management;~~
- e. ~~public policy and outreach;~~
- f. ~~awareness of emerging technologies;~~
- g. ~~logging safety;~~
- h. ~~trends related to the effectiveness of the *SFI Implementation Committee* approved *wood-producer* training programs.~~

~~Program~~ is defined in the ~~SFI 2022~~2015-2019 Standards and Rules as an organized system, process or set of activities to achieve an *objective* or *performance measure*.

Commented [SFI 43]: This text moved below.

SFI ~~20215-2019~~ Forest Management Standard Indicator ~~13~~1.1.5 and ~~SFI-2015-2019~~2022 Fiber Sourcing Standard Indicator ~~3.1.1~~ requires ~~Program-Participants~~Certified ~~Organizations~~ to develop a *program* for the purchase of their raw material from logging professionals who have completed training *programs*. The SFI ~~20215-2019~~ Fiber Sourcing Standard ~~Performance Measure~~ indicator ~~63~~21.5 says that ~~Program-Participants~~Certified ~~Organizations~~ through their relationships with wood producers and landowners, shall maximize the ~~deliveries~~ purchases of their raw materials ~~deliveries~~ from ~~qualified logging professionals~~, and shall encourage the use of ~~qualified resource professionals~~. ~~SFI Fiber Sourcing Standard Indicator 6.1.6 states that Certified Organizations shall. They should strive to achieve 100 percent of their raw material deliveries from qualified logging professionals, or certified logging companies who:~~

- a. ~~has completed the SFI Implementation Committee approved wood producer training program;~~
- b. ~~is an owner of, employee of, or contracted by the wood producer;~~
- c. ~~has direct responsibility and is on-site regularly to consistently carry out the roles and responsibilities of the qualified logging professional or certified logging companies under the SFI 2022 Forest Management or Fiber Sourcing Standards.~~

Commented [SFI 44]: Recommendation that this text be removed from Guidance – considered to be redundant.

Commented [SFI45]: Edit to show this requirement is now addressed with PM 3.2 and that CLC is not a defined term.

Commented [SFI46R45]: Logger Training Subgroup accepted the edits.

In working to “maximize deliveries”, ~~Certified Organizations~~ should strive for 100% ~~percent of~~ their raw material deliveries from ~~qualified logging professionals~~ or ~~Where the Certified Organization cannot contract with qualified logging professionals or certified logging companies or they should endeavor strive to contract with~~ loggers in the process of completing a ~~SIC approved~~ logger training *program approved by an SFI Implementation Committee*. It is ~~recognized that ,with allowances may have to be made for small-scale or -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), for when and availability of qualified logging professionals and certified logging companies locally. The possibility for This cap on deliveries by untrained loggers 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, or for turnover in the logging workforce. The goal is to demonstrate continual and incremental improvement towards this goal.~~ Where the ~~Certified Organization~~~~Program Participant~~ identifies a region where the availability of *qualified logging professionals* is not sufficient to meet the expectations of SFI ~~2015-2019~~2022 Forest Management Standard indicator ~~13~~1.1.5 and SFI ~~2015-2019~~2022 Fiber Sourcing Standard indicator ~~36~~21.21.5, the ~~Certified Organization~~~~Program Participant~~ will develop a *program*, individually or collaboratively, to address this shortage.

Commented [SFI47]: Logger Training Subgroup accepted the edits.

~~Program~~ is defined in the ~~SFI 2022~~ Standards and Rules as an organized system, process or set of activities to achieve an *objective* or *performance measure*.

Commented [SFI 48]: Text moved from above.

~~11.2~~ *Certified Logging Companies* Professionals

The *SFI 2022 Forest Management Standard* at Performance Measure 12.3 and the *SFI 2022 Fiber Sourcing Standard* Performance Measure 6.3 detail the requirements for a *certified logging company*.

~~Performance Measure 12.3 / 6.3.~~ *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* specific to *certified logging professionals* where they exist.

1. 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 of key personnel;~~
 - 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 including Forest with Exceptional Conservation Value (critically imperiled and imperiled species and ecological communities);~~
 - d. ~~use of best management practices to protect water quality;~~
 - e. ~~adherence to a logging safety program;~~
 - 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;~~
 - i. ~~independent verification that each crew includes an individual who:~~
 - i. ~~has completed the *SFI Implementation Committee* approved wood producer training program;~~
 - ii. ~~is an owner of, employee of, or contracted by the wood producer; and~~
 - iii. ~~has direct responsibility and is on-site regularly to consistently carry out the roles and responsibilities of the wood producer;~~

SFI recognizes that there are logger training programs in some jurisdictions that require more than the level of training as required in Forest Management Standard Performance Measures 12.1. and 12.2 (and Fiber Sourcing Standard Performance Measures 6.1 and 6.2). These programs also offer training that their proponents believe is the equivalent of the *certified logging company* requirements in Performance Measure 12.3 (and Fiber Sourcing Standard Performance Measure 6.3). SFI also recognizes that these programs may wish to apply to the *SFI Implementation Committees* in their State or Region for recognition as *certified logging companies*, those companies that have successfully completed these training programs. To facilitate this application process, *SFI Implementation Committees* shall review the candidate programs and assess them impartially. To be credible, the *SFI Implementation Committee's* recognition process must be publicly available citing all the requirements to be met by a candidate program and all requirements must be consistent with the SFI Standards Principles and Objectives.

At a minimum, the *SFI Implementation Committee* must assess and confirm the candidate program's requirements meet the requirements at *SFI Forest Management Standard Performance Measure 12.1* and *Performance Measure 12.2* (and *Fiber Sourcing Standard Performance Measure 6.1* and *6.2*), and demonstrate equivalence with the requirement at *Forest Management Standard Performance Measure 12.3* (and *Fiber Sourcing Performance Measure 6.3*). Additionally, the *SFI Implementation Committee* must determine the program's requirements do not include practices that appear inconsistent with the *SFI Standards Principles and Objectives*.

SFI understands that a *certified logging company* program may wish to appeal an unsuccessful application to an *SFI Implementation Committee*. In the event the *certified logging company* program wishes to appeal the *SFI Implementation Committee* decision, the *certified logging company* shall send a written notice of appeal to SFI Inc. Upon receipt, SFI Inc. will pass the notice of appeal to the External Review Panel which will impartially assess the *SFI Implementation Committee's* review of the application and its decision. Upon the completion of its review the ERP will inform the appellant of its decision in writing. The decision of the External Review Panel shall be final. An applicant who is unsuccessful in the *SFI Implementation Committee* application or the appeal can make changes to their programs as determined by the written appeals decision and reapply for recognition by the *SFI Implementation Committee*. If directed by the External Review Panel appeals decision, the *SFI Implementation Committee* shall make whatever changes are necessary to ensure a fair, impartial review process for recognition of certified logging programs.

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.*

Expectations for On-site Supervision by Qualified Logging Professional or Certified Logging Company

The definition of a *Qualified Logging Professional* *SFI 2022 Forest Management Standard Indicator 12.3.1 i.* and *SFI 2022 Fiber Sourcing Standard Indicator 6.1.6 c.* and *6.3.1 i.* requires that a logging crew is supervised by an individual who "has direct responsibility and is on-site regularly to consistently carry out the roles and responsibilities of the wood producer." It is a best practice to have a *qualified logging professional* on site, however it is understood a logging crew will not be under the supervision of a *qualified logging professional or certified logging company* at all times given the additional responsibilities that can be placed on the supervisor such as dealing with equipment failures, etc. Also, it is understood that the safety, environmental and/or legal risks inherent with a logging site can vary. When determining

Commented [SFI49]: Recommendation to remove this entire section in light of the edits to Fiber Sourcing Standard Objectives 3 & 6.

Certified logging companies are addressed below.

Commented [SFI50R49]: Logger Training Subgroup accepted the edits.

Commented [SFI 51]: New definition.
crew: An organized group of forest workers under the leadership of a designated person at a single site. A crew might contain a single person or dozens depending on the task and operation involved.

~~assessing whether a logging site needs a trained supervisor “onsite regularly” it is the knowledge of such risks that need to be evaluated~~~~assessed~~ and taken into account. For a site with high biodiversity or water quality values, or a complicated harvest unit boundary, it is reasonable to expect regular onsite supervision of the *crew*. The principal of the logging company or his representative should be sufficiently knowledgeable about the harvest unit and its harvest plan to do this risk ~~determination~~~~assessment~~. Using this ~~determination~~~~assessment~~, the forester, ~~the contractor principal or his representative can determine the level of onsite supervision required to consistently carry out the roles and responsibilities of the wood producer or if additional trained supervisors are required on the harvest site.~~

Commented [SF152]: Edit made on Oct 14th FS TG call.

Commented [SF153]: Logger Training Subgroup accepted the edits.

Certified Logging Companies

SFI Inc. recognizes the potential and value in promoting the use of *certified logging companies*. *Certified logging companies* are entities that hold a ~~independant~~~~independent~~~~third party~~, in-the-forest verification of conformance with a logger certification ~~program~~~~s standards~~.

Recognizing the value of certified logging companies, *Certified Organizations* may be able to demonstrate conformance to some indicators in the SFI Standards by ~~can choose to using the services of certified logging companies to deliver raw materials. It is up to the Certified Organization to provide evidence to their certification body on which indicators may be met, and how, via the use of a certified logging company. foster improvement in wood producers, provided the certified logging company’s key personnel are required to complete applicable SFI Implementation Committee qualified logging professional/logger training program(s) and the logger certification program requires its members to:~~
~~comply 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 including Forest with Exceptional Conservation Value (critically imperiled and imperiled species and ecological communities);~~
~~use best management practices to protect water quality;~~
~~adhere to a logging safety program;~~
~~comply with acceptable silviculture and utilization standards;~~
~~use aesthetic management techniques where applicable; and~~
~~adhere to a management or harvest plan that is site specific and agreed to by the forest landowner.~~

Commented [SF154]: Edit made after discussion regarding CLC during the Sept 29 Logger Training call.

2. SFI 2022 Fiber Sourcing Standard

Objective 1. Biodiversity in Fiber Sourcing

Performance Measure 1.2 is intended to promote *conservation of Forests with Exceptional Conservation Value* or forest areas that harbor or consist of *imperiled* or *critically imperiled species* or *natural communities* through the course of Fiber Sourcing activities. This promotion takes place through three means: 1) an assessment of *Forests with Exceptional Conservation Value* within the *wood and fiber supply area*, that is then made available to *wood producers*; 2) *programs* to address outreach and training, and; 3) incorporation of the results of the assessment toward promoting *Forests with Exceptional Conservation Value conservation on*

areas of *purchased stumpage*. Considered together, these elements should effectively promote the intended *conservation of Forests with Exceptional Conservation Value*.

The required *Forests with Exceptional Conservation Value* assessment can be conducted at the scale of the *wood and fiber supply area*, and may even be conducted collaboratively through one or more *SFI Implementation Committees*, or through multi-lateral engagement of *Certified Organizations* operating within the same affected geography, to achieve efficiencies of cost and scale. Such an assessment could be qualitative (i.e., describing the forest conditions and composition that would define *Forests with Exceptional Conservation Value* in that location) or geographic (i.e., mapping of known *Forests with Exceptional Conservation Value* through some credible method, such as remote sensing, use of USFS Forest Inventory and Analysis (FIA) data to achieve a meaningful scale for this purpose, sampling and ground-truthing, or other means). *Forests with Exceptional Conservation Value* assessments may be conducted most efficiently using the widest array of available information, including NatureServe or heritage database information, remote sensing, *habitat* prediction models and other means.

Although it is intended to inform activities at a meaningful level, that is to help promote *conservation of Forests with Exceptional Conservation Value* which could be affected through harvest activities, it does not necessarily require *stand-level* analysis. The elements of Performance Measure 1.2 should be considered together, meaning that the results of the assessment generate information that could be transferred to landowners and loggers through outreach and training programs, etc., facilitating the use of that information at the level of individual harvest. Utilization of assessment results at the scale of *purchased stumpage* is the most specific level of application since *Certified Organizations* are in fact responsible for understanding details of sourcing at this scale and ensuring conservation of *Forests with Exceptional Conservation Value* at that scale.

Commented [SF155]: Guidance expanding on the requirement to implement an assessment for FECV for *purchased stumpage*.

Commented [SF156R55]: FECV Assessment Subgroup accepted these edits.

Objective 2. Adherence to *Best Management Practices*

Best Management Practices

Objective 2 of the *SFI 2015-2019-2022 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 2015-2019-2022 Fiber Sourcing Standard* with requirements for on-the-ground management, monitoring, training, and research. The *SFI 2015-2019-2022 Fiber Sourcing Standard* strengthened requirements for *best management practices* application with a new indicator:

"2.1.1.2 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/Certified Organizations'* 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.

3. SFI 2022 Chain-of-Custody Standard – Transition to ‘Credit’ Methodology and Claim Terminology

The *SFI 2022 Chain-of-Custody Standard* has adopted the terminology ‘Percentage’ and ‘Credit’ methods, replacing ‘Average Percentage’ and ‘Volume Credit’. The updated terminology is reflected in content claims used in supplier and delivery level identification in the *SFI 2022 Chain-of-Custody Standard*.

SFI-Certified Organizations can update relevant documentation to align with new standard language on release of the revised 2022 Standards. However, SFI recognizes that changes to processes may require additional work at many levels of operations. *SFI-Certified Organizations* may update relevant documentation with revised claim language according to internal procedures and timelines with the expectation that the transition will be completed within a reasonable time period.

Commented [SFI57]: Edit requested by the CoC and Label Use Task Group on Oct 13th addressing transition to use of ‘Credit’ claim.

43. SFI 2022 Fiber Sourcing Standard, SFI 2022 Chain-of-Custody Standard and SFI 2022 Certified Sourcing Standard — SFI Due Diligence System for Assessment Risk of Sourcing from Controversial Sources

The SFI due diligence system provides the framework for assessing the risk of sourcing from *controversial sources* whether in the United States, Canada or offshore. Below are resources a *Certified Organization* can use to assist in addressing the elements of the *controversial sources* definition.

- Forest activities ~~which~~that are not in compliance with applicable state, provincial, federal, or international laws — The United States and Canada have a strong legal framework which *Certified Organizations* must abide by. *Certified Organizations* can refer to the latest Transparency International (TI) Corruption Perception Index (CPI). A score higher than 50 is considered low risk.
- Forest activities which are contributing to regional declines in *habitat conservation* and species *protection* (including *biodiversity* and *special sites, threatened and endangered species*) — ~~The SFI program~~ has strong existing measures in the *SFI 2020 Forest Management Standard* and the *SFI 2020 Fiber Sourcing Standard* regarding *conservation of biodiversity*. The United States and Canada also have strong legal frameworks which *Certified Organizations* must abide by. *Certified Organizations* can refer to the latest *Environmental Performance Index (EPI) Score of Biodiversity and Habitat* ~~Environmental Performance Index (EPI) score of “Biodiversity & Habitat”~~ of the country. A score higher than 50 is considered low risk.

— Conversion sources originating from regions experiencing forest area decline —

- Regions with a net loss of forest area <1% over the most recent ten years of available data are considered low risk. *Certified organizations* can refer to public data such as FAO, FIA ecoregional data, and Statistics Canada, Canadian Forest Service, ~~S~~state, ~~P~~rovincial or ~~F~~federal "State of the Forest" reports.

- Forest activities where the spirit of the ILO Declaration on Fundamental Principles and Rights at work (1998) are not met — The U.S. and Canada are both members of ILO, by virtue of that membership, they commit to promote and realize the principles set forth in the ILO Declaration on Fundamental Principles and Rights at work (1998) through laws and regulations which include support of the basic principles of freedom of association and the right to collective bargaining; elimination of child labor and forced labor; and elimination of discrimination.

— Forest activities where the spirit of the United Nations Declaration on the Rights of Indigenous Peoples (2007) are not met - United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP) seeks to enhance harmonious and cooperative relations between the States and *Indigenous Peoples* in the spirit of partnership and mutual respect. The U.S. can refer to this study by Cornell Law School, and Canada can refer to the Canadian Constitution Act. Fiber from countries without the following regulatory frameworks will require a risk assessment.

- Domestic legal regime that considers regional particularities pertaining to Indigenous Peoples' rights, including (a) historical and cultural backgrounds of *Indigenous Peoples* and, (b) treaties, agreements and other constructive arrangements between *Indigenous Peoples* and the ~~S~~state;
 - Political or legal mechanisms for *Indigenous People* to pursue their unique interests and seek just and fair redress based on the principles of justice, democracy, respect for human rights, non-discrimination and good faith; and
 - Right or ability of *Indigenous Peoples* to organize and advocate through self-determined representative institutions.
- 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. *Certified organizations* can refer to the latest Transparency International (TI) Corruption Perception Index (CPI). A score higher than 50 is considered low risk.
 - workers' health and safety;
 - fair labor practices;
 - *Indigenous Peoples'* rights;
 - anti-discrimination and anti-harassment measures;
 - prevailing wages and

o [workers' right to organize.](#)

- [Illegal Logging including trade in CITES \(The Convention on International Trade in Endangered Species of Wild Fauna and Flora\) listed species](#) — [Harvesting and trading of wood fiber in violation of applicable laws and regulations in the country of harvest. The United States and Canada have a strong legal framework. *Certified organizations* can refer to the latest Transparency International \(TI\) Corruption Perception Index \(CPI\). A score higher than 50 is considered low risk. Refer to SFI's policy on Illegal Logging in SFI Section 8 - Policies for more information.](#)
- [Conflict Timber](#) — [The country/region has a been identified as having high intensity violent conflicts according to the Heidelberg conflict barometer.](#)
- [Genetically modified trees via *forest tree biotechnology*](#) — [The SFI program has strong existing measures in the *SFI 2020 Forest Management Standard* and the *SFI 2020 Fiber Sourcing Standard* regarding research on genetically modified trees via forest tree biotechnology. SFI also has a SFI Policy on genetically modified trees via *on Forest Tree Biotechnology* located in SFI Section 87 Policies.](#)

[Because genetically modified forest trees are not approved for commercial plantings in the United States and Canada, and the SFI Forest Management Standard 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 modified trees, the use of fiber from genetically modified trees via *forest tree biotechnology* is not approved for use in SFI-labeled products.](#)

[SFI realizes that much research is still being conducted to study the ecological cost benefits of genetically modified trees and regulations concerning *forest tree biotechnology* continue to evolve. As such research and regulations develop, SFI Inc. will review to understand the impacts of genetically modified trees from an ecological perspective and SFI will proactively review and update the SFI this policy as necessary.](#)

54. SFI Audit Procedures

Certifying Multiple Forest Management Units or Fiber Procurement Operations

[SFI recognizes we understand](#) that an organization might manage multiple forest management units/tenures and operate multiple manufacturing facilities. As such, an organization can choose which forest management units/tenures obtain SFI Forest Management certification. Isolated small forest management units [for in](#) which the primary purpose is to buffer a manufacturing facility are not required to be certified to [the SFI 2022+5-2019 Forest Management Standard](#). These forest management buffer areas may include wood production as an additional goal but not the primary goal and activities in these buffer areas should reflect the commitment to SFI

and be in compliance with the requirements of the *SFI 2022 Fiber Sourcing Standard*. Furthermore, only those manufacturing facilities that are sourcing from the *wood and fiber supply area* of the land units/tenures that are certified to the *SFI 2022 Forest Management Standard* are required to obtain *SFI 2022 Fiber Sourcing Standard* certification. Organizations with multiple forest management units/tenures and multiple manufacturing facilities have 2-two years to ensure certification to the respective SFI ~~Standards~~standards.

Commented [SFI 58]: From SFI January 2016 Interpretation #1, Part 6

Primary Producers with SFI Chain-of-Custody and SFI Fiber Sourcing Certification

1.2 —Additional Requirements in the *SFI 2022 Chain-of-Custody Standard*, requires *primary producers* to conform to the *SFI 2022 Fiber Sourcing Standard* if they choose to get certified to the *SFI 2022 Chain-of-Custody Standard*.

However, we understand the work requirements needed to obtain a certification to the *SFI 2022 Fiber Sourcing Standard*, and given this work requirement, *primary producers* have 2-two years to ensure certification to the *SFI 2022 Fiber Sourcing Standard*. This two-year time frame will allow the primary producer to meet immediate market demands, while working towards fiber sourcing certification.

Commented [SFI 59]: From SFI August 2016 Interpretation #3, Part 6

Exemption from Chain-of-Custody Surveillance Audits

An SFI chain-of-custody *certified organization* 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 *certified organization* 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 *certified organization* 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.

14.6—Scoping Suppliers into a Chain of Custody

A *Certified Organization Program Participant* that sources from *primary producers* can include these organizations in the scope of their *SFI 2015-2019/2022 Chain-of-Custody Standard* certificate. The *Certified Organization Program Participant* will be responsible for all *chain of custody requirements/objectives and performance measures* of ~~those-the~~ organizations they scope into their own *chain-of-custody* procedures. ~~These-The~~ *scoped-in* organizations are subject to sample audits. *Certification bodies* shall follow guidelines in Section 109 *SFI 2022 Audit Procedures and Auditor Qualifications and Accreditation* — Appendix 1, for “multi-site organizations.” If the *Certified Organization* scopes in *primary producers*, the *Certified Organization* is also responsible for all *SFI Implementation Committee* related activity for that company.

Guidance for the Use of Remote Auditing Techniques for SFI Audits

Commented [SFI60]: Guidance for the use of remote audit techniques. Developed by the Technology and Auditing group in Oct '20 and Jan '21 with input from SFI CBs.

Advances in technology coupled with improved *certification body* and *eCertified Organization* processes provide the means to improve on the effectiveness of traditional audit methodologies. This guidance discusses how *Certified Organization* and *certification bodies* can conduct audits of the *SFI 2022 Forest Management Standard*, *SFI 2022 Fiber Sourcing Standard*, *SFI 2022 Chain-of-Custody*, *SFI 2022 Certified Sourcing Standard* or SFI Modules using remote audit techniques to complement traditional audit techniques.

Remote audits using information and communications technology⁹ (ICT) provide *certification bodies* the means to conduct rigorous and credible audits of *eCertified Organization's* processes and their conformance with SFI standards requirements. Remote audits also allow *certification bodies* to optimize audit effectiveness and efficiency, while supporting and maintaining integrity of the audit process.

Objective for Remote Auditing

The objective of a remote audit is to determine the required level of confidence in some, or all, of a *certified organization's* processes by direct observations using ICT. Audits using ICT provide the opportunity for increased efficiency, increased safety, inclusion of *certified organization* personnel that may not be easily interviewed, and avoidance of travel restrictions.

Preconditions for Remote Audits

The use of ICT for remote audits by *certification bodies* should be by mutual agreement with the *eCertified Organization*.

Examples of the use of ICT during audits may include:

- i. meetings via teleconference, including audio, video, and data sharing,
- ii. verification of evidence by means of remote access, either synchronously (in real time) or asynchronously (when applicable),
- iii. recording of information and evidence by electronic means; and
- iv. providing audio/visual access to remote locations or personnel or potentially hazardous locations (e.g., drones, cameras, etc.).

The *certification body* should identify and document all risks associated with ICT that may impact audit effectiveness, including the selection of the technologies, and how they are used. This review should ensure that the *certified organization* has the necessary infrastructure to support the use of ICT and is a viable candidate for remote audit.

Where a *Certified Organization* demonstrates a history of conformance at the system implementation level (or for the locations being assessed), audits using ICT may be considered for use when one of more of the following applies:

- i. travel to a *certified organization's* location(s) is not possible (i.e., for safety reasons, travel restrictions, etc.).
- ii. the *certification body* determines a low level of risk when conducting the audit

⁹ Information and Communications Technology (ICT) is the use of technology for gathering, storing, retrieving, processing, analyzing, and transmitting information. It includes software and hardware such as smartphones, handheld devices, laptop computers, desktop computers, drones, video cameras, wearable technology, artificial intelligence, and others. The use of ICT may be appropriate for auditing both locally and remotely. (IAF MD 4:2018 – IAF MD for the Use of ICT for Auditing/Assessment Purposes)

- remotely.
- iii. the number of sites to be assessed is difficult for the *certification body* to completely fulfill within the required timeline.
- iv. the *certified organization* has a centrally controlled management system where evidence (records, data, etc.) can be accessed remotely.
- v. the situation requires the audit team to conduct a follow up audit otherwise not achievable within a short timeline.
- vi. for *certified organizations* with a *SFI Forest Management Standard* or a *SFI Fiber Sourcing* certificate the surveillance audit can be conducted remotely using ICT where:
 - a. the *certification body* can justify that the audit techniques used deliver sufficient confidence in the *certified organization's* compliance with the standard(s) requirements; and
 - b. no nonconformity was raised during the previous initial, surveillance or recertification audit or the corrective action for the nonconformity can be clearly verified by other audit techniques.

Similarly, for *SFI Chain-of-Custody Standard* or *SFI Certified Sourcing Standard* audits, ICT may be considered for use if the *Certified Organization's* supply chain does not include high risk sources of fiber.

Planning and Scheduling ~~of~~ Remote Audits

The *certification body* should define criteria for determining when it is appropriate to perform part, or all, of an audit remotely. Criteria to consider include identification of the standard requirements appropriate for remote audit using ICT, and the eligibility of the *certified organization* for remote assessment e.g., availability of records in electronic format, suitable internet connectivity, teleconferencing platforms, etc.

When planning an audit using ICT the *certified organization* and the *certification body* should:

- i. define the scope of the audit.
- ii. identify the records and documentation to be available during the audit.
- iii. identify the activities, sites/facilities, information, and personnel to be audited;
and
- iv. identify dates / times for conducting the audit.
- v. test the ICT to be used for the remote audit including the adequacy of internet or ~~wi-~~
#WiFi connections.

Where the planning process identifies audit risks or opportunities, the audit plan should define how and to what extent ICT can be used for remote audit purposes to optimize audit effectiveness and efficiency while maintaining the integrity of the audit process. When ICT is used, it contributes to the total audit time as additional planning may be necessary which may impact audit duration.

For ~~e~~*Certified eOrganizations* with a *SFI Forest Management Standard* or a *SFI Fiber Sourcing Standard* certificate, the surveillance audit remote audits using ICT techniques may be

considered, where:

- i. the *certification body* can justify that the audit techniques used deliver sufficient confidence in the *certified organization's* conformance with the standard(s) requirements; and
- ii. no nonconformity was raised during the previous initial, surveillance or recertification audit or the corrective action for the nonconformity can be clearly verified by other audit techniques.

Certified Organizations with a *SFI Chain-of-Custody Standard* and/or a *SFI Certified Sourcing Standard* certificate who can demonstrate they have not sold any materials with an *SFI* claim since their last audit can ask to have the surveillance audit waived.

Conducting Remote Audits

Conduct of the remote audit should follow normal audit plans and processes. Audits should include a summary of the day(s)'s events, issues of concern, clarification of issues, nonconformances and expectations.

Post Audit Activities — Remote Audits

Findings (nonconformances, corrective actions, opportunities for improvement, etc.) need to be drafted by the audit team members and shared with the *certified organization* in a timely manner for acknowledgement, prior to closure of nonconformances.

The processing of nonconformances, and the continuing approval of certification, should follow the same processes that are utilized for on-site audits. Audit reports and related records should indicate the extent to which ICT has been used in carrying out audit and the effectiveness of ICT in achieving the audit objectives.

65. SFI Implementation Committees

SFI Program Participants *Certified Organizations* established state *SFI Implementation Committees* in 1995 and the first provincial *SFI Implementation Committee* in 2001. *SFI Implementation Committees* provide a strong foundation for *SFI the SFI program* and make important contributions in assuring *SFI Standard-standard* conformance and *SFI 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 *SFI the SFI program* and its goal to promote responsible *forestry* across all forest ownerships.

The definition of *SFI Implementation Committee (SIG)* in Section 143 of the *SFI 2022-2015-2019: Standard and Rules* is: "A state, provincial, or regional committee organized by *SFI Program Participants* *Certified Organizations* to facilitate or manage the *programs* and alliances that support the growth of *SFI the SFI program*, including sustainable forest management."

The *SFI Implementation Committee* governance document for reviewed for *current* relevance to *SFI the current SFI program*, and to ensure consistency with the *SFI 2015-2019-2022 Standard*
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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 to SFI's work.

Some key elements from the governance document and how they relate to the *SFI 2022-2019 Standards* are included here.

Vision Statement

SFI Implementation Committees (SICs) are an integral part of ~~the SFI~~ *SFI-program* and play a vital role in promoting training and landowner outreach, maintaining integrity of ~~SFI the SFI~~ *program* and supporting and promoting responsible *forestry* and ~~SFI the SFI-program~~ at local levels.

Mission Statement

The Memorandum of Understanding (MOU) defines the ~~SFI committee's mission~~ *SIC Mission*, ensuring ~~SFI committee~~ *SIC* goals and priorities are based on recommendations from the ~~SFI Implementation Committee~~ *SIC* Governance Review Ad-hoc Committee. The MOU clarifies both the ~~SIC committee's~~ mission and supports obligations for ~~SFI Program Participants~~ *Certified Organizations* as follows:

- I. Overall ~~SFI Implementation Committee~~ *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 ~~SFI the SFI~~ *program*.
- II. Core ~~SFI Implementation Committee~~ *SIC* Mission — Priorities for all ~~SICs~~ *committees*:
 - a. Training ~~& and~~ 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."¹⁰ ~~Establish criteria for recognition of certified logging companies professional programs, where they exist.~~¹¹
 - b. Inconsistent Practices — Establish protocols for addressing, investigating, and responding to ~~SFI Standard-standard~~ nonconformity allegations and inconsistent practices, and allegations regarding non-~~Certified Organization-Program Participant~~ forest management practices.¹²
 - c. Landowner Outreach — Focus landowner outreach efforts on education and technical assistance.¹³
 - d. Informational Resources — Focus informational resource efforts on increasing ~~SFI-SFI-program~~ recognition, awareness, and support with

Commented [SFI61]: SIC will not be responsible for establishing criteria for CLPs.

Commented [SFI62R61]: Logger Training Subgroup accepted the edit.

¹⁰ *SFI 2022-2019 Standard* Indicator 12.1.2.1 & 12.2.2 (FM) and 6.2.1 & 6.2.2 (FS).

¹¹ *SFI 2022-2019 Standard* Indicator 12.1.2.1 (FM) and 6.2.1 (FS).

¹² *SFI 2022-2019 Standard* Performance Measure 13.2.3 (FM) and 7.3 (FS).

¹³ *SFI 2022-2019 Standard* Indicators 13.1.2.1 and 13.2.2.1 (FM) and 7.1.1 and 7.1.2 (FS).

groups, such as local opinion leaders and *forestry* resource professionals.¹⁴

- e. Annual Reporting — Submit the SFI Implementation Committee SIC Annual Progress Report to *SFI Inc.*
 - f. ~~SFI Program~~ SFI Integrity¹⁵ — Protect the integrity of ~~SFI the SFI program~~ by:
 - a) ensuring proper SFI Implementation Committee 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 Participants Certified Organizations~~; and
 - d) avoiding appearance of *third-party certification* by non-certified ~~SFI Program Participants Certified Organizations~~.
- III. Secondary SFI Implementation Committee SIC Mission — Below are priorities ~~which that~~ may be determined by each committee SIC; however, individual participants may choose not to participate or support these *objectives*.
- a. Training & Education — Provide delivery mechanisms for *qualified logging professional*, and *qualified resource professional*, and *wood producer* training to address ~~SFI 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 Organizations~~; encourage family forest owners to participate in *American Tree Farm System* or similar *programs* recognized by ~~SFI 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 Certified organization's~~ *sustainable forestry programs*.¹⁶
 - e. Research — Promote *forestry* research, science, and technology, upon which sustainable forest management decisions are based.¹⁷

SFI Implementation Committee SIC Organization

SICs

SFI Implementation Committees are semi-autonomous committees reflecting significant geographic and organizational diversity. This flexible, grassroots infrastructure is a fundamental strength of ~~SFI the SFI program~~ and our goal to promote *sustainable forestry* across all ownerships.

SFI Implementation Committee SIC Participation

¹⁴ *SFI 2021-2025 Standard Performance Measure 132.2 (FM) and 7.2 (FS).*

¹⁵ *SFI 2021-2025 Standard Indicators 132.3.1 and 132.3.2 (FM) and 7.3.1 and 7.3.2 (FS).*

¹⁶ *SFI 2021-2025 Standard Performance Measure. 110.2 (FM) and 8.1 (FS).*

¹⁷ *SFI 2021-2025 Standard Objective 110 (FM) and Objective 5 (FS).*

All ~~SFI program participants~~ Certified Organizations 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~~ Certified Organizations are required to participate in the ~~SIC-committee~~ where significant operations exist ~~(, i.e., majority of forestland owned and/or fiber procured)~~. The expectation is that ~~Program-Participants~~ Certified Organizations with facilities within the scope of an ~~SFI 2015-2019~~ 2022 Fiber Sourcing Standard certificate will support all the ~~SFI Implementation Committees~~ SICs in the regions, states or provinces where they procure fiber. However, there may be regions, states, or provinces where a ~~Certified Organization~~ Program Participant sources a de minimis amount of fiber for a given facility. In these situations, it is possible for a ~~Certified Organization~~ Program Participant to meet the requirements of Performance Measure 6.2 of the ~~SFI 2015-2019~~ 2022 Fiber Sourcing Standard in the regions where the majority of the ~~Program Participant's~~ Certified organization's procurement occurs.

76. Transition to the SFI 2022 Standards and Rules

Changes adopted by the *SFI Inc.* Board of Directors to the ~~SFI Standards~~ standards must be incorporated into a ~~Certified organization's~~ Organization'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~~ Certified organization's responsibility to work with the *certification body* to establish a surveillance audit schedule that meets the requirements outlined in the Section ~~109~~ SFI 2015-2019 Audit Procedures and *Auditor* Qualifications and Accreditation. Additional guidance regarding the transition is included below:

- The ~~SFI 2015-2019~~ 2022: *Standard and Rules* replace the ~~SFI 2010-2014~~ 2015-2019 *Standard*, which is the current standard implemented by organizations within their forest operations in United States and Canada.
- *SFI Inc.* developed the ~~SFI 2015-2019~~ 2022: *Standard and Rules* ~~but~~ does not conduct auditing and certification. All certification, recertification, and surveillance audits to the ~~SFI 2015-2019~~ 2022 *Standards and Rules* shall be conducted by *certification bodies* accredited by the ANSI-ASQ National Accreditation Board (ANAB), ~~American National Standards Institute~~ or the Standards Council of Canada (SCC) to conduct *certification to SFI 2015-2019 2022 *Standards and Rules*.*
- Accredited *certification bodies* are required to maintain audit processes consistent with the requirements of International Organization for Standardization (ISO) 17021:2015 ~~51~~ 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 19011:2018 ~~62~~ Guidelines for Quality and/or Environmental Management Systems Auditing.

- ANAB, ~~ANSI~~ and SCC-accredited certification to *the SFI ~~2015-2019~~2022 Standards and Rules* shall not be granted until they are published as standards.
- ~~SFI Program Participants~~*Certified Organizations* have one year from the time the *SFI ~~2015-2019~~2022 Standards and Rules* take effect on January 1, ~~2015~~2022, to implement all new and revised requirements, and ~~Program Participants~~*Certified Organizations* 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~~2022 must be conducted against the *SFI ~~2015-2019~~2022 Standards and Rules*.
- After March 31, ~~2015~~2022, all re-certifications must be conducted against the *SFI ~~2015-2019~~2022 Standards and Rules*. For re-certifications against the *SFI ~~2015-2019~~2022 Standards and Rules* *nonconformities* against changes made in the revised *SFI ~~2015-2019~~2022 Standards and Rules* shall be reported but will not adversely affect re-certification until after December 31, ~~2015~~2022.
- Surveillance audits through December 31, ~~2022~~2015 may be conducted against either the *SFI ~~2015-2019~~ ~~2010-2014~~ Forest Management Standard, the SFI ~~2015-2019~~ Fiber Sourcing Standard and/or the ~~2010-2014~~ SFI ~~2015-2019~~ Chain-of-Custody Standard* or the *SFI ~~2015-2019~~ Standards and Rules* at the ~~Program Participants~~*Certified Organization's* choice. For surveillance audits after March 31, ~~2015~~2022, *nonconformities* against changes made in the *SFI ~~2015-2019~~2022 Standards and Rules* shall be reported but will not adversely affect certification status until December 31, ~~2015~~2022; these audits shall also include an assessment of action plans to fully transition to the *SFI ~~2015-2019~~2022 Standards and Rules* by December 31, ~~2015~~2022.
- After December 31, ~~2015-2022~~, all surveillance audits must be conducted against the *SFI ~~2015-2019~~2022 Standards and Rules*.



***SFI* Policies**
(Section 8)
April 15, 2021

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Part 1: SFI Policy on Illegal Logging¹

~~The SFI program~~ SFI has strong existing measures in the *SFI 2022 Forest Management Standard*, the *SFI 2022 Fiber Sourcing Standard*, the *SFI 2022 Chain-of-Custody Standard*, and the *SFI 2022 Certified Sourcing Standard*, the *SFI Small Lands Group Certification Module*, and the *SFI Small Scale Forest Management Module for Indigenous Peoples, Families and Communities* to avoid illegal sources of supply. This appendix covers the issue as to whether an organization can certify one operation to the *SFI 2022 Fiber Sourcing Standard*, the *SFI 2022 Chain-of-Custody Standard* (Section 4) or *SFI 2022 Certified Sourcing Standard* (Section 5), the *SFI Small Lands Group Certification Module* or the *SFI Small Scale Forest Management Module for Indigenous Peoples, Families and Communities* 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 occurred², 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*.³
- 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 ~~2022-10-2014~~ *SFI Standard* certifications and shall include local expertise as part of the *audit team*.⁴
- 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 (including trade in CITES (The Convention on International Trade in Endangered Species of Wild Fauna and Flora) listed species).

Commented [SFI 1]: Updated definition of illegal logging.

¹As Approved by the SFI Board of Directors September 23, 2008.

² 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.

³This 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.

⁴ The audit shall cover all operations in all jurisdictions where the *illegal logging* occurred.

- "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.

Part 2: *SFI Policy on Forest Tree Biotechnology*⁵

~~The SFI program~~ SFI has strong existing measures in the *SFI 2022 Forest Management Standard* and the *SFI 2022 Fiber Sourcing Standard*, the *SFI Small Lands Group Certification Module*, and the *SFI Small Scale Forest Management Module for Indigenous Peoples, Families and Communities* regarding legal compliance with federal, state or provincial environmental laws and regulations including research on genetically modified trees via forest tree biotechnology.⁶ 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 modified trees via *forest tree biotechnology* change, *SFI Inc.* will proactively review and update the *SFI 2022 Standards and Rules* language and this *policy* as necessary.

Commented [SFI 2]: Adopting the term 'genetically modified' trees to align with PEFC terminology.

- 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.
- SFI Inc.* recognizes that genetically modified- 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 modified forest trees to reach manufacturing facilities.
- SFI Inc.* realizes that much research is still being conducted to study the ecological cost benefits of genetically modified -trees and regulations concerning forest biotechnology continue to evolve. As such research and regulations develop, *SFI Inc.* will review these developments to understand the impacts of genetically modified -trees from an ecological perspective.
- SFI Inc.* is endorsed by the Program for the Endorsement of Forest Certification, (www.pefc.org) which has restrictions on the use of genetically modified -trees until December 31, 2022:

*"Genetically-modified trees shall not be used."*⁷

Note: The restriction on the usage of genetically -modified trees has been adopted based on the Precautionary Principle. Until enough scientific data on genetically -

⁵ As approved by the *SFI Board of Directors* December 5, 2013.

⁶ Performance Measure 10.1.2 (FMS) and Performance Measure 4.1.2 (FSM). Certified Organizations shall comply with applicable federal, provincial, state, and local forestry and related social and environmental laws and regulations.

⁷ PEFC ST 1003:2018, Sustainable Forest Management-Requirements, 8.4.7.

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 2022."

- 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 ~~SFI~~the ~~SFI program~~, the use of fiber from genetically modified ~~forests~~ via *forest biotechnology* is not approved for use in ~~SFI-SFI~~-labeled products.
- F. The *SFI 2022 Standards and Rules* requirements regarding research on genetically modified ~~forests~~ via *forest tree biotechnology* will remain in place.
- G. *SFI Inc.* will proactively review and update the *SFI 2022 Standard and Rules* language and this *policy* as necessary.



***SFI* Standards Development and Interpretations Process (Section **98**)**

April 15, 2021

SFI 2022 Standards have been developed using an open, transparent, consultative and consensus-based process that included a broad range of stakeholders. These Standards are based on ISO/IEC Guide 59 and Guide 2. In addition, the ISEAL Code of Good Practice for Setting Social and Environmental Standards was taken into consideration.

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1. Procedures for *SFI Standards* Revision

1.1 Normative references

ISO Guides are normatively referenced in these standards. For dated references, only the cited edition applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

- i. ISO/IEC Guide 2, *Standardization and related activities – General vocabulary*.
- ii. ISO/IEC Guide 59, *Code of good practice for standardization*.
- iii. PEFC GD 1007, *Endorsement and Mutual Recognition of Certification Systems and their Revision*

1.2 SFI Standards-setting principles

SFI is organized and operated for charitable and educational purposes within the meaning of Section 501(c)(3) of the Internal Revenue Code of 1986, as amended (or the corresponding provision of any future United States Internal Revenue Code), as stated in the Articles of Incorporation, to ensure the environmental, social, and economic sustainable development of the nation's forests, for the benefit of public and private stakeholders. SFI Inc. has sole responsibility for all activities necessary for the development, maintenance, implementation, promotion, and continual improvement of the Sustainable Forestry Initiative® Standard and Program.

The standards-setting process is governed by the key principles of:

- i. Stakeholder engagement – an opportunity for meaningful participation in the process that is open to all *stakeholders* through participation in task groups and public consultations.
- ii. Balanced representation – no single *stakeholder* group should dominate or be dominated in the process. While each individual is free to decide on their participation, SFI Inc. makes an effort to ensure that all relevant *stakeholder* groups are represented and considers an appropriate gender balance.
- iii. Consensus – standards are developed by consensus. Any sustained opposition to specific issues is resolved by means of dialogue whenever possible.
- iv. Improvement – periodic review of SFI standards seeks continual improvement and to ensure the standards continues to meet expectations of *stakeholders*.
- v. Transparency – SFI Inc. ensures relevant documents are posted to www.forestssfi.org or publicly available so interested parties can follow developments during and after the process.

1.3 Roles, Actors and Responsibilities

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, 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 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 Revision³.

Commented [SFI1]: This text is now redundant given the additional details in the rest of Section 9.

1. ~~3.1~~ *SFI* Board

SFI Board members include representatives of environmental, *conservation*, social professional and academic groups, independent professional loggers, small family forest owners, public officials, *Indigenous peoples*, 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, *Indigenous organizations*, 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. ~~3.1~~ *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 geographical scope as the *SFI Inc.* Board.

1. ~~3.1~~ *SFI* External Review Panel

The *SFI* External Review Panel is an independent panel of *volunteer* 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, The External Review Panel is made up of external experts and has representatives from the main geographic regions of the U.S. and Canada where the *SFI Standards* are applied.~~ Panel members provide external independent oversight to ensure the standard revision process is

³Section 8 – *SFI Standards Development and Interpretations Process* is publicly available and can be found on the *SFI* website.

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 can 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.

1.3.4 Standard Revision Task Groups

The SFI Standard Revision Task Group prepares the first and subsequent drafts of the revised SFI Standards for review by the SFI Resources Committee and ultimate approval of the SFI Inc. Board of Directors. The Task Group is established for the duration of the standard revision until completion in 2021. There are three Task Groups: Forest Management, Fiber Sourcing and Chain of Custody & Labels.

Commented [SFI 2]: Adapted from Standard Revision Task Group Terms of Reference (ToR).

The SFI Standard Revision Task Group membership will be based on nominations received. Acceptance and refusal of nominations shall be justified in relation to the requirements for balanced representation of the Task Groups, considerations of an appropriate gender balance, relevance of the organization, an individual's competence, an individual's relevant experience and resources available for standard-setting. For the 2022 SFI Standards revision process all task group nominations received were accepted.

Under the direction of the respective Task Group Chairs, the Task Groups shall review all submitted comments from the first and second public comment periods and Standard Revision Workshops and webinars that correspond to each task group's focus area. The Task Groups will then prepare revised Standards text (first and subsequent drafts) for review by the SFI Resources Committee, incorporating their feedback as required.

To ensure a balanced representation of interests, the Task Groups shall:

a. consist of the following interest groups:

- Forest owner/manager
- Manufacturer/processor/trader of forest-based products
- Conservation organization
- Customers & consumers
- Scientific and technological community
- Logging professionals

- Workers & trade unions
- Indigenous Peoples
- Government
- Education/academic group
- Social-purpose organization

b. include *stakeholders* with expertise relevant to the subject matter of the standard, those that affected by the standard, represent the geographical scope of the standard and those that can influence implementation of the standard.

In order to achieve balanced representation, to the extent possible, all identified *stakeholder* groups are represented. Participation targets of key *stakeholders* will be set and SFI, Inc. will proactively seek their participation by using outreach such as (but not limited to) personal emails, phone calls, meeting invitations etc. When a *stakeholder* group is not represented and key *stakeholders* cannot be encouraged to participate, the standardizing body may consider alternative options.

Commented [SFI 3]: Adapted from PEFC ST 1001, clause 6.4.3.

Activities of the Task Group shall be organized in an open and transparent manner where:

- a. working drafts shall be available to all members of the Task Group,
- b. all members of the Task Group shall be given meaningful opportunities to contribute to the development or revision of the standard and to provide feedback on working drafts, and
- c. feedback and views given by any member of the Task Group shall be considered in an open and transparent way where the outcome of these considerations is recorded.

Commented [SFI 4]: Adapted from PEFC ST 1001, clause 6.4.4.

The decision of the Task Groups to recommend the drafts for review and approval by the Resources Committee shall be taken on the basis of consensus. In order to determine whether there is any sustained opposition, the Task Group can utilize the following methods:

- a. face-to-face meeting(s) where there is a verbal yes/no vote, a show of hands for a yes/no vote; a statement on consensus from the Chair when there are no dissenting voices or hands (votes); a formal ballot, etc.,
- b. telephone conference calls (s) where there is a verbal yes/no vote,
- c. email request to the Task Group for agreement or objection where the members provide a formal (written) response (vote), or
- d. combinations of these methods.

Commented [SFI 5]: Adapted from PEFC ST 1001, clause 6.4.4.

Where votes are used in decision-making, the SFI will determine and include decision-making thresholds that quantifies consensus. The threshold must be

consistent with the consensus definition. However, a majority vote cannot override sustained opposition in order to achieve consensus.

When there is sustained opposition to a substantial issue, the issue shall be resolved using the following methods:

~~finding a compromise through discussion and negotiation on the disputed issue within the working group, finding a compromise through direct negotiation between the stakeholder(s) making the objection and other stakeholders with different views on the disputed issue, additional round(s) of public consultation (if necessary) where further stakeholder input can help to achieve consensus on unresolved issues. The standardizing body determines the scope and duration of any additional public consultation.~~

- a. ~~finding a compromise through discussion and negotiation on the disputed issue within the working group.~~
- b. ~~finding a compromise through direct negotiation between the stakeholder(s) making the objection and other stakeholders with different views on the disputed issue, and~~
- c. ~~additional round(s) of public consultation (if necessary) where further stakeholder input can help to achieve consensus on unresolved issues. The standardizing body determines the scope and duration of any additional public consultation.~~

Commented [SFI 6]: Adapted from PEFC ST 1001, clauses 6.4.6 and 6.4.7.

1.42 Procedures

The *Sustainable Forestry Initiative 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 consensus² based and *SFI Inc.* Board decisions regarding final changes to the *SFI Standards* shall be consistent with PEFC ST 1001:2010 ~~2017~~ for consensus³ based decision making. ~~The~~

²Consensus 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. 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 (ISO/IEC Guide 2). 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 (ISO/IEC Guide 2).

³ 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

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 emails to all *stakeholders* inviting comments. *SFI* shall identify *stakeholders* relevant to the objectives and scope of the standard-setting work. *Stakeholders will be requested to nominate their representative(s) or themselves to Task Groups and the request to disadvantaged stakeholders and key stakeholders shall be made in a manner that ensures that the information reaches intended recipients and in a format that is easy to understand.*

Commented [SFI 7]: Aligns with PEFC ST 1001, clause 6.3.1

At the start of a review, *SFI Inc.* will evaluate the standard against appropriate PEFC International standards, national laws and regulations and other relevant standards to identify potential gaps in the standard. *SFI Inc.* will consider the latest scientific knowledge, research and relevant emerging issues.

Commented [SFI 8]: Incorporated from PEFC ST 1001, clause 8.3

SFI Inc. will initiate a periodic review process 5 years from the date of the current standards approval regardless of the information gathered from the gap analysis. Using the results from the periodic review, the *SFI* Board will direct whether a standard revision is warranted. If there is a circumstance whereby a need to revise the standard is not warranted, *SFI Inc.* will follow the requirements in PEFC ST 1001:2017, Sections 8.4 and 8.5 regarding *stakeholder* consultation and decision making. 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.⁴ The *stakeholder* working groups shall be based on nine major *stakeholder* groups as defined by Agenda 21 of the *United Nations Conference on Environment and Development* (UNCED) in Rio de Janeiro in 1992. At least the following groups shall be included in the *stakeholder* mapping:

Commented [SFI 9]: Aligns with ST 1001, clause 8.4 and 8.5 in PEFC (procedures for NOT revising a standard).

- forest owners;
- business and industry;
- indigenous people;
- non-government organizations;
- scientific and technological community; and
- workers and trade unions.

Commented [SFI 10]: Alignment with PEFC ST 1001, clause 6.2.1

Other groups shall be added if relevant to the scope of standard-setting activities.

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.

⁴ 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.

Disadvantaged *stakeholders* and key *stakeholders* will be identified and any constraints to their participation in standard-setting activities will be addressed.

Commented [SFI 11]: Alignment with PEFC ST 1001, clause 6.2.2.

SFI Inc. will review the standard-setting process based on feedback received in response to the public announcement.

Commented [SFI 12]: Alignment with PEFC ST 1001, clause 6.3.2

The process shall include an initial 360-day public comment period (the enquiry draft), a second 60-day public comment period (the working draft) and a final draft review period (the final draft) of at least 45 days for the SFI Inc. Board.

The External Review Panel 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, Indigenous organizations, trade associations, landowner associations, academia and all other *stakeholders* shall be invited to participate in the review process. The start of the standards revision ~~iew~~ 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.⁵

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~~ 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 Task Groups and the Resources Committee, the issue (s) will be moved forward to the *SFI* Board of Directors for final resolution either by consensus or according to voting procedures outlined in the *SFI* Board Director bylaws (<https://www.forestsfiprogram.org/wp-content/uploads/SFI-Inc-Bylaws-2013.pdf><http://www.sfiiprogram.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 (working draft) to the *SFI Standards* shall be released and published to the *SFI* website, followed by an additional 60-day public comment period to allow all *stakeholders* an opportunity to provide additional comments regarding proposed changes.

⁵ 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.

This draft will also be presented and discussed with *SFI Certified Organizations Program Participants* and all other *stakeholders* at regional workshops conducted by ~~the Forum~~ and *SFI Inc.* throughout the U.S. and Canada ~~or via webinars~~. 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.

Commented [SFI 13]: Aligns with PEFC ST 1001, clause 6.5

Formal complaints regarding the disposition of comments ~~and standard-setting activities~~ shall be submitted in writing to the External Review Panel Secretariat (<https://www.forestsfiprogram.org/erp/http://sfierp.org/erpfag>) for review.⁶ The ERP shall acknowledge receipt of all complaints, ~~gather and verify all necessary information to validate the complaint or appeal~~ and impartially and objectively review all complaints and provide feedback to the ~~Resources Committee Forum~~ regarding complaints where additional review and potential action by the ~~Resources Committee Forum~~ is warranted. Once resolved, the decision on the complaint and the complaint process shall be communicated to the complainant.

Commented [SFI 14]: This section as modified aligns with PEFC ST1001, clause 5.3.

~~A-The 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 who 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 September.~~

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 *Certified Organizations Program Participants* have one year to fully implement new and revised *SFI Standards* elements adopted by the *SFI Board of Directors Forum*. For PEFC endorsed standards, *Certified Organizations* shall have one year from the date of the Standard's launch to fully implement the new and revised SFI requirements.

SFI Inc. ~~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.

⁶The ERP process for reviewing complaints is posted on the ERP website.

Printed copies of the standard will be available to *stakeholders* and may incur a minimal charge to cover printing and shipping costs. The Standards will be published in English and may be translated into other languages; if there are inconsistencies, the English version of the standard is the reference.

Commented [SFI 15]: This section as modified aligns with PEFC ST1001, clause 5.2.

2. SFI Standards Revision Process Table 1

Duration (in months) and order of the steps in the SFI Standards Revision Process (Table 1 of 2) (Process 2019-Dec 2020)	2019				2020												2021												2022
	pre-Oct	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan
Stakeholder mapping exercise conducted, review process, areas of focus, and timeline published on SFI Inc. website																													
Invites to stakeholders sent to volunteer on a Forum Review Task																													
30-day public comment period begins—open to all stakeholders																													
First open standard revision workshop at SFI Annual Conference																													
SFI Inc. Staff synthesize comments for Standards Revision Task Groups																													
Standards Revision Task Groups meet and prepare first draft																													
SFI Resources Committee reviews first draft of SFI Standards incorporating work of the Task Groups																													
SFI Inc. Board meeting to review first draft																													
Post comments from the first review period and their disposition, publish any complaints and their status/resolution																													
Second (final) comment period begins for 60 days - open to all stakeholders																													
Regional review workshops/webinars - open to all stakeholders																													
SFI Inc. Staff synthesize comments for Standards Revision Task Groups																													
Standards Revision Task Groups meet and prepare second draft																													
SFI Resources Committee reviews second draft of SFI Standards incorporating work of the Task Groups																													
SFI Board updated on key changes in the second draft of the SFI Standards																													
Task Groups work on final draft of SFI Revised Standards																													
Board reviews draft SFI Standards																													

3. SFI Standards Revision Process Table 2

Duration (in months) and order of the steps in the SFI Standards Revision Process (Table 2 of 2) (Process Jan 2021-Jan 2022)	2019				2020												2021												2022
	pre-Oct	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan
Re-convene Standards Revision Task Groups and SFI Resources Committee for any relevant discussion																													
Resources Committee reviews final draft standards prior to Board review																													
Final draft to SFI Board for 45-day advanced notice period per SFI Inc. bylaws																													
SFI Standards approved by the SFI Inc. Board of Directors																													
PEFC Assessment Process for SFI Forest Management Standard																													
New Standards published to SFI Inc website. SFI Inc. announces new SFI Standards broadly via e-mails and press releases; effective date to begin implementation is January																													
All SFI Certified Organizations required to conform to provisions in new SFI Standards December 31, 2022.																													

4. Interpretations

From time to time, a formal process may be needed to interpret the *SFI Standards* and supporting documents. As part of *SFI Inc.*'s commitment to continual improvement of both the *SFI certification* process and the *SFI 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 *Certified Organizations* and *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 Standards* or *SFI* audit procedures.



***SFI ~~2015-2019~~2022* Audit Procedures and
Auditor Qualifications and Accreditation
(Section **109**)**

April 15, 2021

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Introduction

All certification, recertification, and surveillance audits to Sections 2, ~~and 3, 4 and 54, and 5, the SFI Small Lands Group Certification Module and the SFI Small Scale Forest Management Module for Indigenous Peoples, Families and Communities~~ in the ~~SFI 2022:15-2019~~ 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*. Accreditation bodies accrediting certification bodies for audits to Sections 2, 3, 4 and 54, and 5, the SFI Small Lands Group Certification Module and the SFI Small Scale Forest Management Module for Indigenous Peoples, Families and Communities in the SFI 2022 Standards and Rules shall be International Accreditation Forum (IAF) Multilateral Recognition Arrangement signatories.

Information related to the accreditation process can be found on the websites of [the ANSI-ASQ National Accreditation Board \(www.anab.org\)](http://www.anab.org), [the American National Standards Institute \(www.ansi.org\)](http://www.ansi.org) and [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 ~~and the SFI Small Lands Group Certification Module and the SFI Small Scale Forest Management Module for Indigenous Peoples, Families and Communities~~ are required to maintain audit processes and conduct audits consistent with the requirements of the current version of:

- International Organization for Standardization ISO/~~IEC~~ 17021-1:~~2015~~1 (Conformity assessment — Requirements for bodies providing audit and certification of management systems; and
- ISO/~~IEC~~ TS 17021-2 (~~Part 2:~~ Competence requirements for auditing and certification of environmental management systems).

Accredited *certification bodies* that provide certification services for SFI Sections ~~4 and Section 5 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 the current version of ISO/~~IEC~~ 17065:~~2012~~ (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/~~IEC~~ 17021-1:~~2015~~1, ISO/~~IEC~~ TS 17021-2 and ISO/~~IEC~~ 17065:~~2012~~ 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/~~IEC~~ 17021-1:~~2015~~1, ISO/~~IEC~~ 17021-2 and ISO/~~IEC~~ 17065:~~2012~~, by providing specific requirements to ~~SFI Program Participants~~ *Certified Organizations* and *certification bodies*. It is applicable to all forest management, *fiber sourcing* organizations and chain-of-custody *certified organization* when conducting *third-party certification*, recertification, or surveillance audits to the ~~SFI 2022:15-2019~~ Standards Sections 2, 3, ~~and 4 and 54, and 5, the SFI Small Lands Group Certification Module and the SFI Small Scale Forest Management Module for Indigenous Peoples, Families and Communities~~ Standards.

When designing and implementing a program to evaluate conformance with the SFI 2022 Forest Management Standard, SFI 2022 Fiber Sourcing Standard or the SFI Small Scale Forest Management Module for Indigenous Peoples, Families and Communities, Certified Organizations should reference ISO 19011 Guidelines for auditing management systems.

2. Normative Reference

Certification bodies and *auditors* conducting third-party audits to SFI Sections 2 and 3 ~~and the SFI Small Lands Group Certification Module and the SFI Small Scale Forest Management Module for Indigenous Peoples, Families and Communities~~ in the ~~SFI 2022:15-2019~~ Standards and Rules document must conform to the requirements of ISO/~~IEC~~ 17021-1:~~2015~~1 and ISO/~~IEC~~ TS 17021-2, while those conducting third-party audits to SFI Section ~~4-3 and Section 5—Appendix 1: Rules for Use of SFI Certified Sourcing Label and Section 4~~ must conform to the requirements of ISO/~~IEC~~ 17065:~~2012~~. In addition, all *certification bodies* and *auditors*

conducting third-party audits to SFI Sections 2, 3, ~~or 4~~, 5 or the *SFI Small Lands Group Certification Module* and the *SFI Small Scale Forest Management Module for Indigenous Peoples, Families and Communities* in the *SFI 2022-15-2019 Standards and Rules* document must conform to all applicable ANAB, ~~ANSI~~ or SCC ~~and~~ requirements and International Accreditation Forum (IAF) Mandatory Documents (e.g., IAF MD 1, IAF MD 2, IAF MD 4, IAF MD 5, IAF MD 11, etc.).

Commented [SFI1]: Addresses Transfer of Accreditation

3. Terms and Definitions

Definitions of terms can be found in the Section 143 of the *SFI 2022-15-2019 Standards and Rules* document.

4. Procedures for Implementing the Principles for SFI Auditing

ISO/IEC 17021-1-~~2015~~2015 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 *Certified Organization*~~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~~*Certified Organization'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 a ~~SFI-Certified Organization~~*Program Participant* or be in the process of becoming one in which case the final certification decision is conditioned on becoming a *Certified Organization*~~Program Participant~~. The *SFI* certificate(s), *Forest Management Standard*, *Fiber Sourcing Standard*, ~~or Chain-of-Custody Standard~~, *Certified Sourcing Standard*, ~~the SFI Small Lands Group Certification Module or the SFI Small Scale Forest Management Module for Indigenous Peoples, Families and Communities~~ cannot be issued by the *certification body* until the applicant has become ~~an SFI Program Participant~~*Certified Organization*. It should be noted that the *SFI 2022-15-2019 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 a ~~n SFI-Certified Organization~~*Program Participant*.

5.2 Certification of Multiple Sites

ISO/IEC 17021-1-~~2015~~2015 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 [ISO/IEC 17021-1:2015](#) Clause 9.1.5 that is subject to the specific requirements of relevant standards.

Within the context of the SFI Sections 2, ~~and 3, 4, 5, the SFI Small Lands Group Certification Module or the SFI Small Scale Forest Management Module for Indigenous Peoples, Families and Communities of the SFI 2022-15-2019 Standards~~ 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 ~~109~~ in the SFI ~~2022~~ Standards and Rules document.

5.3 Substitution and Modification of SFI ~~2022-15-2019~~ Sections 2 and 3 Standard Indicators

~~Program Participants~~Certified Organizations, with consent of the *certification body*, may substitute or modify *indicators* in SFI ~~2022-15-2019~~ Sections ~~2 Forest Management Standard and SFI 2022 Section 3 Fiber Sourcing 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 ~~2022-15-2019~~ Sections 2 and 3 ~~Standards 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~~Certified Organization's scope of operation.

Additional *indicators* beyond those identified in the SFI ~~2022-15-2019~~ Sections 2 and 3 Standards, if included by the Program Participant Certified Organization, 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 ~~2022-15-2019~~ Sections 2, ~~and 3, 4, 5 Standards, the SFI Small Lands Group Certification Module and the SFI Small Scale Forest Management Module for Indigenous Peoples, Families and Communities~~, objectives, performance measures and indicators within the scope of the audit. SFI ~~2022-15-2019~~ Standards' elements are objectives, performance measures and indicators. The introduction (Section 1) to the SFI ~~2022-15-2019~~ 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 ~~2022-15-2019~~ Forest Management Standard, ~~and the SFI 2022-15-2019 Fiber Sourcing Standard, the SFI Small Lands Group Certification Module and the SFI Small Scale Forest Management Module for Indigenous Peoples, Families and Communities.~~

5.4.2 The *certification body* shall assess conformance to each element of the SFI ~~2022-15-2019~~ Chain-of-Custody Standard and SFI 2022 Certified Sourcing 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 2022-15-2019 Standards Sections 2 and 3, the SFI Small Lands Group Certification Module or the SFI Small Scale Forest Management Module for Indigenous Peoples, Families and Communities* programs conform to *SFI principles, policies, objectives, performance measures, indicators*, and any additional *indicators* that the *Certified Organization/Program-Participant* chooses; and
- verify whether the *Certified Organization/Program-Participant* has effectively implemented its *SFI 2022-15-2019 Standards Sections 2 and 3* program requirements on the ground and/or implemented the *SFI Section 4 and 54, and 5 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.

For initial audits to the SFI 2022 Chain-of-Custody Standard or SFI 2022 Certified Sourcing Standard, a non-conformity found during the audit will prevent the issue of the certificate until the certification body verifies that the corrective action is effectively implemented, in accordance with ISO/IEC 17065:2012.

Commented [SFI2]: Next audit could be a recertification audit.

Commented [SFI 3]: 2015-2019 Interpretation #2, Part 6.

5.5 SFI Technical Audit Report to the *Certified Organization/Program-Participant*

~~The ISO document ISO/IEC 17021-1:20151 at clause Section 9.4.8 1-1-0~~ addresses audit report contents. In addition, the *SFI* audit report to the *Certified Organization/Program Participant* shall cover:

- the audit plan;
- a description of the audit process used;
- the number of *auditor* days used to conduct the audit, including both on-site and off-site audit activities;
- information regarding any meetings or correspondence between the *audit team* and government agencies, community groups, affected *Indigenous Peoples* and *conservation* organizations;
- documentation of the rationale for the substitution or modification of any *indicators*;
- a schedule for surveillance and recertification;
- any specific focus areas for the next audit visit.

See Section 110 in the *SFI 2022-15-2019 Standards and Rules* document regarding the development and release of public summary audit reports. The public audit summary report shall be posted to the SFI website within 90 days of the certificate being issued. For surveillance audits the public summary audit report shall be posted within 90 days from the conclusion of the audit.

5.6 Recertification

5.6.1 To maintain current *SFI 2022-15-2019 Standard* certificates, ~~Program Participants~~*Certified Organizations* shall recertify their *SFI programs* to the *SFI 2022-15-2019 Sections 2, and 3, 4 and 54, and 5 Standards, the SFI Small Lands Group Certification Module or the SFI Small Scale Forest Management Module for Indigenous Peoples, Families and Communities* every five ~~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 **Transferral of Certified Lands or Facilities**

When one ~~SFI-Certified Organization~~~~Program-Participant~~ acquires the certified forest land or facilities of another ~~Certified Organization~~~~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~~~~Certified Organizations~~ 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 [IAF MD-02 ISO/IEC 17021:2015](#) for more information.

Commented [SF14]: This is the appropriate document.

In order to *minimize* disruptions in operations due to the transfer of certified forestlands and or facilities from one ~~certified-Certified Organization~~~~Program-Participant~~ to another, the SFI Office of Label Use and Licensing will ~~honor-respect~~ 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, 5, and Section 6, the SFI Small Lands Group Certification Module or the SFI Small Scale Forest Management Module for Indigenous Peoples, Families and Communities 5~~ of the ~~SFI 2021-5-2019~~ Standards and Rules.

6. **Competence and Evaluation of Certification Bodies**

6.1 **Competence ~~Qualifications~~ of Audit Teams**

Commented [SF15]: Competence aligns with terminology used in ISO terminology.

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 (CIF-IFC), or licensed or registered by the state(s) or province(s) in which the certification is conducted ~~where applicable~~. 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. It is possible to have all the necessary competencies in a single auditor.

6.2 **Competence ~~Qualifications~~ of Auditors**

~~ISO document ISO/IEC 17021:120151~~ 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/~~IEC~~ 17021-2 ~~and ISO/IEC 19011:2018~~ Guidelines for auditing management systems.

In addition to the competence requirements contained in ISO/~~IEC~~ 17021-~~1:20151~~ and ISO/~~IEC~~ 17021-2 ~~and ISO/IEC 19011:2018~~, for certifications to the ~~SFI 2022 15-2019~~

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, etc.;
- 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 [SFI](#)~~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 2022-2019 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~~[SFI](#) requires *certification bodies* to be accredited in order to conduct *SFI certifications* and issue certificates.

7.1 Certification body

An independent *third party* that is accredited by:

- a. ANSI ~~ASQ~~ National Accreditation Board (ANAB) as being competent to conduct certifications to the *SFI 2022 Standards* Sections 2, ~~and 3~~, 4, and 5, the *SFI Small Lands Group Certification Module* or the *SFI Small Scale Forest Management Module for Indigenous Peoples, Families or and Communities* and the *SFI Chain of Custody Standard* Section 4 and Section 3, Appendix 1: Rules for Use of *SFI Certified Sourcing Label*. 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*.~~
- b. Standards Council of Canada (SCC) as being competent to conduct certifications to the *SFI 2015-2019*~~2022~~ *Standards* Sections 2, 3, 4 and 5, the *SFI Small Lands Group Certification Module* or the *SFI Small Scale Forest Management Module for Indigenous Peoples, Families and Communities*—and 3 and the *SFI 2015-2019 Chain of Custody Standard* Section 4 and 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 5.24 of the SFI [Section 10](#) — 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:

- i. ~~The SFI 2015-2019 Standards Sections 2 and 3~~
[Section 2](#) — [SFI 2022 Forest Management Standard](#)
- ii. [Section 3](#) — [SFI 2022 Fiber Sourcing Standard](#)
- iii. [Section 4](#) — [SFI 202215-2019 Chain-of-Custody Standard](#)
- iv. [Section 5](#) — [SFI 2022 Certified Sourcing Standard](#)
- v. [SFI Small Lands Group Certification Module](#)
- vi. [SFI Small Scale Forest Management Module for Indigenous Peoples, Families and Communities](#)

2. References

IAF Mandatory Document for The Certification of Multiple Sites Based on Sampling Issue [2](#), [Clause 6.1: Methodologies for Auditing of a Multi-site Organization Using Site Sampling](#)± (IAF MD1: 201897) — (Normative for [SFI 202215-2019 Standards Sections 2, and 3](#), Informative for [SFI 202215-2019 Standard Sections 4, and 5](#).)

IAF Mandatory Document for Duration of QMS and EMS Audits Issue 1 (IAF MD 5: 201509) — (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 of Multi-site Organizations

34.1 Eligibility Criteria for Multi-site Organizations

34.1.1 Multi-site organizations using IAF -MD1, Clause 6.1 as the basis for sampling shall also ensure meet the following eligibility criteria are 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 under a single management system.
- 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 program¹.
- c. It shall be demonstrated that the central office of the organization has established a management system in accordance with the SFI 2022+5-2019 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; and
 - vi. Changes to aspects and associated impacts for environmental management systems and
 - vii. Different legal requirements.

34.1.2 A Central Function² shall be established that shall:

- a. represent the multi-site organization in the certification process, including communication and relationship with the certification body;

¹ As per the requirements in SFI Section 2 – Objective 17; SFI Section 3 – Objective 10; SFI Section 4 – Part 8.6 or Section 5 – Part 8.6

² The Central Function comprises the system of processes and procedures necessary to manage the multi-site organization and is not a physical location.

Commented [SFI 6]: Moved to Section 14 Definitions

Commented [SFI17]: Legacy reference to ISO 14001 EMS – not needed.

- b. submit an application for the certification and its scope, including a list of participating sites;
- c. ensure contractual relationship with the certification body;
- d. submit to the certification body a request for extension or reduction of the certification scope, including coverage of participating sites;
- e. establish written procedures for the management of the multi-site organization.
- f. keep records relating to the central office and sites compliance with the requirements of the standard.
- g. 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;
- h. provide all the sites with information and guidance needed for effective implementation and maintenance of practices and procedures in accordance with the relevant standard;
- i. 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;
- j. keep a register of all the sites of the multi-site organization, including (for the SFI 2022 Forest Management Standard) the forest area associated with each participating site;
- k. maintain an internal audit or monitoring program sufficient to ensure overall organizational conformance with the relevant standard;³
- l. 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;
- m. establish corrective and preventive measures if required and evaluate the effectiveness of corrective actions taken; and
- n. 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.

Commented [SFI 8]: Adapted from PEFC ST 2002-2020

34.1.3 –Functions and responsibilities of individual sites shall be established for:

- a. implementing and maintaining the requirements of the relevant standard;
- b. entering into a contractual relationship with the central office, including commitment on the compliance with the standard requirements and other applicable certification requirements.
- c. 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;
- d. providing full co-operation and assistance in respect of the satisfactory completion of internal audits, reviews, monitoring, relevant routine enquiries, or corrective actions; and
- e. implementing relevant corrective and preventive actions established by the central office.

Commented [SFI 9]: Moved from 4.1.2 below.

Commented [SFI 10]: Moved from 4.1.2 f. below

Commented [SFI 11]: Moved from 4.1.2 f. below

34.1.42 Multi-Site Organizations using alternate approaches to sampling provided for in Section 10, clause 5.2+ Certification of Multiple Sites of the Audit Procedures and Auditor Qualifications and Accreditation document shall meet all of the eligibility requirements specified in Section 10, Appendix 1, clause 34.1.1 – 3.1.3 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:

³Annual performance data on overall organizational conformance implies that all sites have been internally audited, or monitored, prior to the initial audit and subsequent audit.

- a. The alternate sampling approach must be accompanied by a written justification demonstrating that the same level of confidence in conformity with the *SFI 2022-2019 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 Function⁴ 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 2022-2019 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;⁵~~
 - 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 enquiries 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 which shall include the participants' commitment to comply with the sustainable forest management

⁴The Central Function comprises the system of processes and procedures necessary to manage the multi-site organization and is not a physical location.

⁵Annual performance data on overall organizational conformance implies that all sites have been internally audited, or monitored, prior to the initial audit and subsequent audit.

and/or 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.

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

35.24 Sampling Approaches

35.24.1 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, Clause 6.1.

35.24.2 Certification bodies auditing multi-site organizations using alternate approaches as the basis for sampling shall meet the following minimum sample selection and intensity criteria:

- a. 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;⁶⁷
- b. a formal documented evaluation of the inherent and control risks at each of the sites participating in the multi-site certification;
- c. a sample strategy designed to specifically address the identified risks;
- d. consideration of the need for an element of randomness within the sampling strategy to address previously unidentified risks;
- e. 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:
 - i. \sqrt{n} for initial certification audits⁸
 - ii. $0.6 \sqrt{n}$ for surveillance audits
 - iii. $0.8 \sqrt{n}$ for re-certification audits
- f. 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
- g. In addition to site audits, the central function shall be audited on an annual basis.⁹

35.32 Audit Scope

35.32.1 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, and 5, the SFI Small Lands Group Certification Module or the SFI Small Scale Forest Management Module for Indigenous Peoples.

⁶ 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 2022-2019 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.

⁷ 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.

⁸Where n = the number of sites within the stratum.

⁹Auditing 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.

Commented [SFI 12]: Incorporated into new Appendix 2 – Group Certification Organizations

Families and Communities of the *SFI 2022-2025 Standards and Rules* document.

- ~~Every five years Triennial basis~~ for re-certification audits of conformance with the SFI ~~Section 2, 3, 4 and 54, and 5, the SFI Small Lands Group Certification Module or the SFI Small Scale Forest Management Module for Indigenous Peoples, Families and Communities of the SFI 2022-2025-2019 Section 2 and Section 3 Standards and Rules.~~
- ~~Quinquennial basis for re-certification audits of conformance with the SFI 2015-2019 Chain of Custody Standard.~~

35.43 Audit Duration

35.43.1 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/IEC 17021-1:2011 Section 9.1.4 Determining audit time, IAF-MD5 and *IAF MD11* (for audits of integrated management systems). ~~IAF MD11.~~

35.54 Nonconformities

35.54.1 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.

35.54.2 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.

35.54.3 *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.¹⁰

35.65 Audit Reporting

35.65.1 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.

3.7 Expanding the Scope of a SFI 2022 Chain-of-Custody Standard or SFI 2022 Certified Sourcing Standard Certificates

3.7.1 —Additional sites may be added by the *certification body* to an existing certificate between audits provided it is within the scope of the certificate. The number of sites that may be added between audits is limited to 100% of the existing sites at the previous audit. The following requirements shall be met:

- a. the *certification body* shall be informed by the *certified organization* in advance of its intent to add new sites between audits, including the number of sites to be added;
- b. the *certification body* shall obtain from the *certified organization* the system procedures covering the additional sites, including the products covered by the scope of the certificate;
- c. the *certification body* shall obtain the internal audit report for the site(s) being considered for inclusion in the certificate;
- d. the *certification body* shall review results of the internal audit and determine if additional information is needed while considering the request of the *certified organization*;

¹⁰ For example, where Operation A has a *minor nonconformity* raised in 2022+5, it will be necessary to close this out in 2023+6 regardless of whether Operation A was scheduled to be one of the sites sampled in 2023+6. As a result, the sampling strategy will need to include a process for closing out open site-level nonconformities.

- e. based on the result of the review in (d), the *certification body* shall determine if an on-site audit of the additional site(s) is required or if the review as per (b), (c) and (d) shows sufficient evidence that the sites can be added;
- f. if an on-site audit is not required before adding the additional site(s) to the certificate, these new site(s) shall be subject to on-site visit no later than the next scheduled audit, and
- g. in case where remote audits are permitted, the on-site audit can be replaced by a remote audit provided:
 - i. audit of organizations that operate without physical possession are conducted remotely with the use of information and communication technology (ICT) tools in accordance with IAF MD 4.
 - ii. The certification body shall demonstrate that the full scope of the audit can be covered using ICT tools.
 - iii. organizations that operate with physical possession but have not sold any physical product with a SFI claim since the previous audit, are not eligible to be audited remotely according to this requirement.

Certification Bodies should reference to SFI Section 7 – Guidance: Guidance for the Use of Remote Auditing Techniques for SFI Audits

Commented [SFI 13]: 2020 Interpretation No.6 , from Part 6 of Interpretation document.

Adapted from clause 7.4.6, PEFC ST 2003-2020 *Requirements for Certification Bodies operating Certification against the PEFC International Chain of Custody Standard*

46. Competence and Evaluation of Certification Bodies

46.1 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.

57. Public Communication and Claims Regarding Multi-Site Certificates

57.1 For audits of the ~~SFI-202215-2019~~ Section 2 and Section 3, ~~the SFI Small Lands Group Certification Module or the SFI Small Scale Forest Management Module for Indigenous Peoples, Families and Communities~~ requirements, *certification bodies* shall prepare a summary audit report that, in addition to the requirements of SFI Communications and Public Reporting (Section 11~~9~~) in the ~~SFI 202215-2019~~ *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.

57.2 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.

68. ~~Interpretations, Public Inquiries and Official Complaints~~

Commented [SFI 14]: This section does not address interpretations or public inquiries.

68.1 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.¹¹

¹¹ 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.
SFI 2022 Audit Procedures and Auditor Qualifications and Accreditation (Section 10) April 15, 2021

Appendix 2: Group Certification Organizations
[Normative]

1. Scope

Audits of group certification organizations to assess conformance with:

- i. Section 2 — *SFI 2022 Forest Management Standard*
- ii. Section 3 — *SFI 2022 Fiber Sourcing Standard*
- iii. Section 4 — *SFI 2022 Chain-of-Custody Standard*
- iv. Section 5 — *SFI 2022 Certified Sourcing Standard*
- v. *SFI Small Lands Group Certification Module*
- vi. *SFI Small Scale Forest Management Module for Indigenous Peoples, Families and Communities*

2. References

IAF Mandatory Document for The Certification of Multiple Sites Based on Sampling Issue 2, Clause 6.1: Methodologies for Auditing of a Multi-site Organization Using Site Sampling (IAF MD1: 2018) — Normative for *SFI 2022 Standards Sections 2, 3, 4 and 54, and 5.*

IAF Mandatory Document for Duration of Quality, Environmental and Occupational Health and Safety Management Systems (IAF MD 5: 2019) — (Informative).

3 ~~3.~~ Group Certification Organizations

3.1 *Group certification organizations* formed to achieve *SFI 2022 Standards* certification shall meet the requirements in this Appendix.

Forest management *group certification organizations* formed to achieve *SFI 2022 Forest Management Standard*, the *SFI Small Lands Group Certification Module* or the *SFI Small Scale Forest Management Module for Indigenous Peoples, Families and Communities* certification, 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). All *group members* in the *group certification organization* shall be subject to the internal monitoring and the internal audit program.

3.2 Commitment and policy

- 3.2.1 The *group certification organization* shall require a commitment:
- a. to comply with standard requirements and other applicable requirements of the certification system;
 - b. to integrate the *group certification organization* requirements in the group management system;
 - c. to continuously improve the group management system;
 - d. to continuously support the improvement of the sustainable forest management by group members of a forest management group certification organization.

The commitment may be part of a group management policy and shall be publicly available upon request.

3.2.2 Members in the group certification organization shall provide a commitment

Commented [SFI 15]: Requirements adapted from PEFC ST 1002-2018 Group Forest Management Certification.

- a. to follow the requirements of the management system;
- b. to implement the requirements of the standard in their operations or facilities.

3.2.3 Where a *group certification organization* plans any changes in the group management system, these changes shall be included in a group management plan.

3.2.4 Where a forest management *group certification organisation* decides to fulfil requirements of the standard at the group level, these requirements shall be considered in a group management plan.

3.2.5 The *group certification organization* shall determine and maintain the resources needed for the establishment, implementation, maintenance and continual improvement of the group management system.

3.2.6 The group certification organization shall define the necessary competence of persons doing work in the group management system.

3.2.7 The *group certification organization* shall have communication processes in place to raise the awareness of *group members* concerning:

- a. the group management policy;
- b. the requirements of the standard;
- c. their contribution to the effectiveness of the group management system, including the benefits of improved group performance;
- d. the implications of not conforming with the group management system requirements, and
- e. the *group certification organization* shall determine the processes required for internal and external communications.

3.3 Organizational roles, responsibilities and authorities for the *Group Certification Organization*

3.3.1

Functions and responsibilities of the Group Manager

The following functions and responsibilities of the group manager shall be specified:

- a. implement and maintain an effective management system covering all *group members*;
- b. represent the *group certification organization* in the certification process, including in communications and relationships with the *certification body*, submission of an application for certification, and contractual relationship with the *certification body*;
- c. establish written procedures for the management of the *group certification organization*;
- d. establish written procedures for the acceptance of new *group members* of the *group certification organization*. These acceptance procedures shall cover at least the verification of the applicant's information about contact details, clear identification of their forest property and its/their size(s);
- e. establish written procedures for the suspension and exclusion of *group members* who do not correct/close nonconformities. *Group members* excluded from any *group certification organizations* based on nonconformities cannot be accepted within 12 months after exclusion;
- f. keep documented information of:
 - i. the group manager and *group members*' conformity with

- the requirements of the standard.
- ii. all *group members*, including their contact details, identification of their forest property and its/ their size(s) (for forest management *group certification organizations*).
- iii. the certified area (for forest management *group certification organizations*).
- iv. the implementation of an internal monitoring program, its review and any preventive and/or corrective actions taken;
- g. documented information relevant to the group management system and the conformance with the requirements of the standard shall be up to date and adequately protected against loss of confidentiality, improper use, or loss of integrity.
- h. establish connections with all *group members* based on a binding written agreement which shall include the *group members* commitment to comply with the standard. The group manager shall have a written contract or other written agreement with all *group members* covering the right of the group manager to implement and enforce any corrective or preventive measures, and to initiate the exclusion of any *group member* from the scope of certification in the event of nonconformity with the standard;
- i. provide all *group members* with a document confirming participation in the *group certification organization*.
- j. provide all *group members* with information and guidance required for the effective implementation and maintenance of the standard;
- k. address nonconformities reported from *group members* which were identified under other certifications than the particular *group certification organization* and to ensure implementation with all *group members*;
- l. operate an internal monitoring program that provides for the evaluation of the group managers' conformity with the certification requirements;
- m. operate an annual internal audit program covering both *group members* and group manager;
- n. operate a management review of the *group certification organization* and act on the results from the review;
- o. provide full co-operation and assistance in responding effectively to all requests from the *certification body*, accreditation body for relevant data, documentation or other information; allowing access to the forest area covered by the *group certification organization* and/or other facilities;
- p. maintain appropriate mechanisms for resolving complaints and disputes relating to group management and the standard requirements.

3.3.2 Function and responsibilities of Group Members

The following functions and responsibilities of the *group members* shall be specified:

- a. to provide the *group member* with a binding written agreement, including a commitment on conformity with the standard requirements and other applicable requirements of the certification system; *group members* excluded from any certification group cannot apply for group membership within 12 months after exclusion;
- b. to provide the group manager with information about previous *group certification organization* participation;
- c. to comply with the standard and other applicable requirements of the certification system as well as with the requirements of the management system;
- d. to provide full co-operation and assistance in responding effectively to all requests from the group manager, or *certification body* for relevant data, documentation or other information; allowing access to the forest

- and/or facilities;
- e. to inform the group manager about nonconformities identified under other certifications than the particular *group certification organization*;
- f. to implement relevant corrective and preventive actions established by the group manager.

4. Evaluating the Group Certification Organization Performance

4.1 Monitoring of *Group Certification Organization* Performance

4.1.1 -The *group certification organization* shall maintain an internal monitoring program that provides confidence in the conformity of the group organisation with the standard requirements. The program shall determine:

- a. what shall be monitored and measured;
- b. the methods for monitoring, measurement, analysis and evaluation, as applicable, to ensure valid results;
- c. when the monitoring and measuring shall be performed;
- d. when the results from monitoring and measurement shall be analysed and evaluated;
- e. what documented information shall be available as evidence of the results.

4.1.2 -The *group certification organization* shall evaluate the group management performance and the effectiveness of the group management system concerning the implementation of the standard requirements.

4.2 Internal Audit¹²

4.2.1 The annual internal audit program shall provide information on whether the *group certification organization's* management system:

- a. conforms to the *group certification organization's* own requirements for its group management system and the requirements of the certification standard;
- b. ensures the implementation of the standard requirements at the *group member* level;
- c. is effectively implemented and maintained.

4.2.2 The internal audit program shall cover the group manager and all *group members*. The group manager shall be audited annually. The *group members* may be selected on a sample basis.

4.2.3 The internal audit program which shall cover at least:

- a. the audit planning process;
- b. the audit criteria and scope;
- c. the competence and impartiality of the auditors;
- d. reporting the audit result to the *group certification organization* management;
- e. retaining of evidence of the implementation of the audit program and the audit results.

4.2.4 The internal audit program shall include procedures for¹³:

- a. determination of the sample size;
- b. determination of sample categories;
- c. distribution of the sample to the categories;
- d. selection of the group members.

4.3 Nonconformity, corrective and preventative action

4.3.1 When a nonconformity occurs, the group manager shall implement corrective action and mitigate the impacts to the extent possible;

¹² When designing and implementing a program to evaluate conformance with the SFI 2022 Forest Management Standard, SFI 2022 Fiber Sourcing Standard or the SFI Small Scale Forest Management Module for Indigenous Peoples, Families and Communities, Certified Organizations should reference ISO 19011 Guidelines for auditing management systems.

¹³ Group certification organizations should reference IAF MD-1 for further information regarding audit sample selection.

4.3.2 The group manager shall evaluate the need for preventative action to eliminate the causes of the nonconformity by:

- a. reviewing the nonconformity;
- b. determining the causes of the nonconformity;
- c. determining if similar nonconformities exist, or could potentially occur;
- d. implement any action needed;
- e. review the effectiveness of any corrective action taken;
- f. make changes to the group management system, if necessary.

4.3.3 The group manager shall retain documented information as evidence of:

- a. the nature of the nonconformities and any subsequent actions taken;
- b. the results of any corrective action.

4.3.4 A group member who was excluded from a group certification organization shall be internally audited by the group manager before they are allowed to re-enter the group certification organization. The internal audit shall not take place sooner than 12 months after the exclusion.

4.4 Management review and Continual Improvement


4.4.1 An annual management review shall at least include:

- a. the status of actions from previous management reviews;
- b. changes in external and internal issues that are relevant to the group certification organization's management system;
- c. the status of conformity with the sustainable forest management standard, that includes reviewing the results of the internal monitoring program the internal audit and the certification body's evaluations and surveillance;
- d. information on the group certification organization's performance, including trends in:
 - i. nonconformities and corrective actions;
 - ii. monitoring and measurement results;
 - iii. audit results;
- e. opportunities for continual improvement.

4.4.2 The outputs of the management review shall include decisions related to continual improvement opportunities and any need for changes to the group certification organization's management system.

4.4.3 The group certification organization shall retain documented information as evidence of the results of management reviews.

**Appendix 32: SFI Chain-of-Custody Certificate Requirements
(Informative)**

- 1. Certificate Statement:** The X company operations or facility has been independently certified by Y, an SFI certification body accredited to perform SFI-SFI program audits that conform to the SFI 2015-2019 2022 XXXXX Chain-of-Custody Standard/Module.
- 2. Certificate Meaning:** The certificate holder has been independently certified by an SFI-certification body accredited to perform audits to the, SFI 202215-2019 Forest Management Standard, the SFI 2022 Fiber Sourcing Standard, the SFI 2022 Chain-of-Custody Standard or the SFI 2022 Certified Sourcing Standard, the SFI Small Lands Group Certification Module or the SFI Small Scale Forest Management Module for Indigenous Peoples, Families and Communities and has received a license from the SFI Office of Label Use and Licensing authorizing use of the SFI trademark,service marks.
- 3.2.1 Certificate Content:** All SFI chain-of-custody certificates shall have the following information, at a minimum, on the certificate:
- a. certificate Chain-of-custody number: The numbering system will have a three-letter abbreviation of the SFI certification body's name, followed by "SFIFM; SFIFS; SFICS, SFICOC, SFISLGCM, or SFISCFMMIPFC" followed by the certification body identifier for that organizationaudit 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. scope of the certification granted including the standard;
 - c. for SFI-Chain of-Custody or Certified Sourcing or Chain-of-Custody certificates the certificate shall:
 - i. list whether it is an individual, multi-site or group certificate and
 - ii. the products covered by the certificate
 - d. date of issuing or renewing certificate and the expiry date. The issue date on a certificate shall not be before the date of the certification decision.
 - e. where the certificate includes an appendix to the certificate, the certificate shall include a reference to the appendix, and the appendix shall be considered as part of the certificate and be provided whenever the certificate is requested.
 - fb. The SFI off-product logo tradeservice-mark (see below) must be placed on the certificate.
- 
- ge. The symbol logo of the accreditation body firm (ANABSI 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*.~~



Communications and Public Reporting

(Section 110)

April 15, 2021

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- 1. PREPARING AND SUBMITTING A PUBLIC REPORT – SFI 2022 FOREST MANAGEMENT STANDARD 3
- 2. PREPARING AND SUBMITTING A PUBLIC REPORT – SFI 2022 FIBER SOURCING STANDARD 4

1. Preparing and Submitting a Public Report – ~~SFI 2022-15-2019~~ Forest Management Standard

A ~~Certified Organization~~~~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 2022-15-2019~~ Forest Management Standard. The summary audit report will be posted on the *SFI Inc.* website (www.forestssfi.org) for public review.

1.1 The *certification body* shall prepare the ~~SFI 2022-15-2019~~ 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;
- 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 ~~Certified Organization~~~~Program Participant~~ that was audited, including its *SFI* representative;

- d. a general description of the ~~Program Participant's~~Certified Organization's forest land 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);
- The long-term harvest level and the participant's conformance to this.

Guidance to Certification Bodies per Section 76 — Long-term Sustainable Harvest Levels - 3.3 Temporal Scaleauditors:

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~~ Certified Organization'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.

- 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 roles;
- 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, and;
- 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.
- an update on the status of previous non-conformities, if any.

- h. the certification decision recommendation.

Commented [SFI 1]: Interpretation #2, Part 7.

2. Preparing and Submitting a Public Report – SFI ~~2015-2019~~2022 Fiber Sourcing Standard (~~Objectives 1-13~~)

A ~~Certified Organization~~~~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 ~~2022~~2015-2019 Fiber Sourcing Standard (Objectives 1-113)*. The summary audit report will be posted on the *SFI Inc.* website (www.forestssfi.org) for public review.

2.1 The *certification body* shall prepare the *SFI ~~2015-2019~~2022 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;
- 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 ~~Certified Organization~~~~Program Participant~~ that was audited, including its *SFI* representative;

- d. a general description of the ~~Program Participant's~~*Certified Organization's* fiber sourcing and manufacturing operations included in the audit.

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 summary of the *Certified Organization's* assessment for *Forests with Exceptional Conservation Values* within its wood and fiber supply area.

- fe. 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.

- gf. 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 identification of the Organization's manufacturing units (if any) that are supplied from the sites inspected.

hg. 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.
- an update on the status of previous non-conformities, if any.

ih. the certification ~~decision-recommendation~~.

Commented [SFI 2]: Interpretation #3, Part 7.



Public Inquiries and Official Complaints

(Section 121)

April 15, 2021

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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 2022 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 2022 Forest Management*, *SFI 2022 Fiber Sourcing*, ~~or~~ *SFI 2022 Chain-of-Custody*, ~~or~~ *SFI 2022 Certified Sourcing 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.

Commented [SF1 1]: Repeated below under number 2

1. Public Inquiries regarding Inconsistent Practices against the SFI 2022 Forest Management Standard or SFI 2022 Fiber Sourcing Standard

Any ~~individual or organization (the complainant) party~~ with information or claims about a ~~Program Participant's Certified Organization's~~ individual practices that may be in nonconformity 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 ~~Certified Organization~~ ~~Program Participant~~. Within 45 days of receipt of the claim of inconsistent practice, the ~~Certified Organization~~ ~~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 ~~at the next via surveillance or certification audits~~.

The ~~certification body~~ shall investigate the validity of the inconsistent practice report and the ~~Program Participant's Certified Organization's~~ response and resolution of the claim at the time of the next scheduled ~~surveillance~~ audit. Once the certification body has completed its investigation of the inconsistent practice report it shall communicate its findings to the complainant and the certified organization.

Commented [SF12]: Edits to clarify the inconsistent practices reporting investigation process.

~~A complainant who believes the issue has not been satisfactorily resolved may provide its original documentation and the response from the Certified Organization 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 *Certified Organization Program Participant* and the complainant. The *Certified Organization Program Participant* shall forward the results of the *SFI Implementation Committee* investigation to its certification body.

Commented [SF13]: Edit to remove SIC from the review process -addresses the potential appearance of a conflict of interest when reviewing the report.

In the event litigation is involved between the *complainant external party* and *Program Participant Certified Organization*, 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 Sections 2, or 3, 4, and 5

The official complaint process is an important component of any legitimate certification *program*, including *SFI 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 2022-2019 Standards*, 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 *communicates outlines* their concerns *and in sufficient detail in a letter* to the *Program Participant's to the Certified Organization and the Certified Organization's* certification body.

2.1.2 *For complaints regarding a SFI 2022 Chain-of-Custody Standard Certified Organization, the Certified Organization and the certification body shall acknowledge receipt of the complaint within 10 working days.* 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.

Commented [SF14]: Alignment with PEFC COC ST 2002.

2.1.3 If the *certification body* finds a sound basis for the official complaint then it *shall would* require the *Certified Organization 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 Certified Organization'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 bring their complaint to* the accreditation body that accredited the *certification body; for investigation (which is either ANSI-ASQ National Accreditation Body (www.anab.org) or the Standards Council of Canada (www.scc.ca).* The

Commented [SF15]: Correct term for Accreditation Body review and determination is 'complaint' not 'appeal'.

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 Certified Organization~~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~~Certified Organization'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 Certified Organization~~Program Participant shall respond to the complainant and forward a copy of the complaint and its response to the ~~Program Participant's~~Certified Organization'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 Certified Organization~~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.~~

Commented [SFI 6]: This entire to be deleted and the complaint process in 2 used in its place or refer to ILO Guidance in SFI Section 7.

3. Challenges or Complaints regarding SFI On-Product Label Use (Section ~~65~~)

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 Certified Organization~~Program Participant or label user, or questions about the validity of a ~~Program Participant's~~Certified

~~Organization's~~ label use in accordance with the requirements of *SFI* Section 5 may seek to have those claims investigated, as outlined below:

Commented [SFI 7]: This text incorporated 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 Any party with information or claims about the *practices* of a *Certified Organization*, or questions about the validity of a *Certified Organization's* label use in accordance with the requirements of *SFI* Section 6 — Rules for Use of the *SFI On-Product Labels and Off-Product Marks* may seek to have those claims investigated by contacting the *SFI* Office of Label Use and Licensing. Complaints will be addressed by the *SFI* Office of Label Use and Licensing within 45 days.

Upon reviewing the information, the *SFI* Office of Label Use and Licensing may:

- a. seek more information from the complainant or the *Certified Organization* ~~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 *Certified Organization* ~~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.



Optional Modules (Section 132)

April 15, 2021

SFI Inc. has developed a process for ~~SFI the SFI program~~ to address emerging issues and new opportunities through modules. These include opportunities around small land certification, ~~Indigenous land certification, community land certification, urban forestry certification, as well as modules for species at risk, such as start-up templates for new Program Participants~~ Certified Organizations, carbon markets, ~~short rotation woody crops, conservation easements, small lands, etc. through~~ Optional modules are 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 ~~SFI the SFI program~~. Any modules developed prior to the next standard review process ~~in 2019~~ will be added in this section.

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SFI Small Lands Group Certification Module

PREAMBLE

The Sustainable Forestry Initiative (SFI) and American Forest Foundation (AFF) collaboratively developed a small lands module that is based on the foundation of the *SFI 2022 Fiber Sourcing Standard*, and incorporates the AFF Standards of Sustainability for Forest Management under the American Tree Farm System ("AFF Standards"). Lands certified through this module in the United States will be certified under the American Tree Farm System (ATFS) with resultant "certified forest content" under the *SFI's 2022 Chain-of-Custody Standard*. Lands certified in Canada to the *SFI Small Lands Group Certification Module* will be "SFI certified" and the resultant fiber also "certified forest content" under the *SFI's 2022 Chain-of-Custody Standard*.

Due to the interdependence of the *SFI 2015-2019/2022-2026 Fiber Sourcing Standard*, *AFF 2015-2020/2021 Standards of Sustainability*, and this *SFI Small Lands Group Certification Module*, revision to any of these standards will trigger a collaborative review and potential revision to the module as needed to ensure consistency and continual improvement.

1. GENERAL

1.1 Scope

This module applies to *a SFI Program Participant Certified Organizations* certified to the *SFI 2015-2019/2022-2026 Fiber Sourcing Standard*.

1.1.1 Maximum size of ownership eligible for certification under this Module

A non-industrial, small forest ownership, under the scope of this *SFI Small Lands Group Certification Module*, shall have no more than 20,000 acres or 8,000 hectares in aggregate across their entire ownership, regardless of whether it is managed by the landowner or a landowner agent. Those landowners with more than 20,000 acres or 8,000 hectares in aggregate across their entire ownership shall be certified to the *SFI 2015-2019/2022-2026 Forest Management Standard*. If the small forest or woodlot owner meets eligibility requirements, individual parcels of land that fall within the *wood and fiber supply area* are eligible for inclusion in the *certified area*.

1.1.2 What the SFI Small Lands Group Certification Module Does

The *SFI Small Lands Group Certification Module* offers certification to a group of small family forest lands, under one certificate, that is managed by a *SFI-Certified Organization/Certified Organization-Program Participant* that is certified to the *SFI 2015-2019/2022-2026 Fiber Sourcing Standard*. The *SFI Small Lands Group Certification Module* allows landowners to sell and *SFI-Certified Organization/Certified Organization-Program Participants* to procure fiber as certified forest content. Lands certified to this module in the United States are certified to the *American Tree Farm System/ATFS* via the *AFF Standards/ATFS*. Lands certified to this module in Canada are SFI certified.

1.1.3 What the SFI Small Lands Group Certification Module Covers

The *SFI Small Lands Group Certification Module* covers:

- requirements of the *SFI ~~2015-2019~~2022-2026 Fiber Sourcing Standard* that include measures to broaden the practice of conservation of biodiversity, use of forestry best management practices to protect water quality, provide outreach to *landowners*, and utilize the services of forest management and harvesting professionals and
- forest management requirements consistent with the *2015-2020*~~2021~~*2026 AFF Standards of Sustainability for forest management* to promote the health and sustainability of America's family forests. These Standards are designed as a tool to help woodland owners be effective stewards of the land as they adaptively manage renewable resources; promote environmental, economic and social benefits; and work to increase public understanding of sustainable forestry.
- additional requirements relating to the management of the *Group Certification Organization*¹ and additional requirements for sustainable forest management.

1.1.4 Geographic Application of the SFI Small Lands Group Certification Module

The *SFI Small Lands Group Certification Module* applies to organizations (the *SFI ~~Certified Organization~~Certified Organization-Program-Participants*, *landowners* and others involved in the fiber supply chain) in the United States and Canada.

1.1.5 Timing of Applicability

The *SFI Small Lands Group Certification Module* is dependent on the *SFI ~~2015-2019~~2022-2026 Fiber Sourcing Standard* and the *AFF ~~2015-2020~~2021-2026 Standards of Sustainability* as its foundation. Revision to either of these standards will trigger a collaborative review and potential revision to the *SFI Small Lands Group Certification Module* to ensure consistency and continual improvement. If the *Module* *module* is not reviewed and approved by both the SFI Board of Directors and AFF Board of Trustees, it will expire with the earliest expiry of either the *SFI ~~2015-2019~~2022-2026 Fiber Sourcing Standard* or *AFF's 2021-2026 Standards of Sustainability*. If either SFI or AFF wish to make changes to the *Module**module*, both organizations must agree and will work to make changes through a collaborative process.

1.2 References

This *SFI Small Lands Group Certification Module* 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 application applies.

1.2.1 Normative references

¹ The requirements for the management of the Group Certification Organization are based on Appendix 21 of Section 109 of the SFI 2022 Standards and Rules and are consistent with AFF's Independently Managed Group requirements

- 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. IAF MD 1:2007 - Certification of Multiple Sites Based on Sampling
- iv. SFI ~~2015-2019~~~~2022-2026~~ Standards and Rules:
 - Section 3 — *SFI 20~~22~~15-2019 Fiber Sourcing Standard*
 - Section ~~8~~7 — SFI Policies
 - Section ~~10~~9 — SFI 20~~22~~15—2019 Audit Procedures and Auditor Qualification and Accreditation
 - Section ~~11~~0 — Communication and Public Reporting
 - *Section 13 — Optional Modules*
 - Section ~~14~~3 — SFI Definitions
- v. Interpretations for the Requirements for the *SFI 20~~22~~-20~~26~~15—2019 Standards and Rules*

For the purposes of this Module, the relevant definitions given in ISO/IEC Guide 2:2004 apply together with the definitions in the SFI Definitions (Section ~~14~~3).

1.2.2 Informative References

- i. ~~2021-2026~~ ~~2015—2020~~ American Forest Foundation Standards of Sustainability for the American Tree Farm System
- ii. ~~2015-2020~~~~2021-2026~~ American Forest Foundation Standards of Sustainability for the American Tree Farm System Guidance
- iii. ~~2015-2020~~~~2021-2026~~ American Tree Farm System (ATFS) Independently Managed Group (IMG) Standards
- iv. American Tree Farm System (ATFS) Eligibility Requirements
- v. PEFC ST 1002:201~~80~~ — Group Forest Management Certification
- vi. PEFC ST 1003:201~~80~~ — Sustainable Forest Management – Requirements
- vii. Section ~~7~~6 — Guidance to SFI 20~~22~~15—2019 Standards and Rules
- viii. Section ~~9~~8 — SFI Standards Development and Interpretations Process
- ix. Section ~~12~~1 — Public Inquiries and Official Complaints

1.3 Definitions

For the purposes of this ~~Module~~module, the relevant definitions given in ISO/IEC Guide 2:2004 apply together with the definitions in the SFI Definitions (Section ~~14~~3) together with the following definitions.

- **certified area**

The forest area covered by a *group forest certificate* representing the sum of forest areas owned by *landowners* that are *Group Members*. Lands certified to this module in the United States are certified to the American Tree Farm System (ATFS). Lands certified to this module in Canada are SFI certified.

- **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 against this module (Appendix 1 to Section [109 of the SFI Program](#)).

- **group forest certificate**

A document confirming that the *group certification organization* complies with the requirements for certification to this module.

- **group manager**

An organization with overall responsibility for ensuring the conformity of forest management in the

certified area of the *Group Certification Organization* to the certification requirements in this module.

The *Group Manager* must be an ~~SFI-Certified Organization~~*Certified Organization Program Participant*, certified to the SFI ~~20215-2019~~*20215-2019* Fiber Sourcing Standard, with a fiber sourcing program that acquires roundwood and/or field-manufactured residual chips.

- **group member**

Landowners who own land to be certified by the group forest certification or *landowner agents* covered by the *group forest certificate* who have the legal authority to implement the certification requirements within the *wood and fiber supply area*.

- **landowner**

Non-industrial entity or individual that holds title to the property.

- **landowner agent**

A *qualified resource professional*, a *qualified logging professional*, a *certified logging company*~~professional~~, *wood producer* or other individual or organization that has the legal authority to manage forestland and implement the certification requirements on certified lands at the direction of *landowner* members within the *wood and fiber supply area*.

2. SFI SMALL LANDS GROUP CERTIFICATION MODULE PRINCIPLES

~~SFI-Certified Organization~~*Certified Organizations*~~Program Participants~~ believe that

non-industrial 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.

~~SFI-Certified Organization~~*Certified Organizations-Program-Participants* are aware that family forest ownership is made up of large numbers of small forest holdings. The limited revenues from forest management operations on the small properties of these *landowners*; periodicity of their management activities and revenues; as well as a limited financial ability to demonstrate their conformity with forest management certification system requirements, represent significant barriers to forest certification.

~~SFI-Certified Organization~~*Certified Organizations-Program-Participants* shall have a written policy (or policies) to implement and achieve the principles defined in *SFI 2022-15-2019-Fiber Sourcing Standard* together with the following principles in this module:

2.1 Voluntary Participation

The *SFI Small Lands Group Certification Module* is based on a respect for property rights and on the voluntary commitment and participation of both *landowners* and *landowner agents*. Participation in the *Group Certification Organization* shall not require or bind *landowners* to harvest and sell timber or to supply the ~~SFI-Certified Organization~~*Certified Organization-Program-Participant*; participation also shall not prohibit *landowners* from participating in another *Group Certification Organization* *outside ATFS* or supplying another customer. Any supply commitments shall be stated in separately negotiated contracts between *landowners* and customers, and not as part of the written agreement(s) required by the *SFI Small Lands Group Certification Module*. SFI and ~~SFI-Certified Organization~~*Certified Organizations-Program-Participants* are committed to compliance with the competition laws of the United States and Canada, and the *SFI Small Lands Group Certification Module* shall not be construed to conflict with those laws.

2.2 Shared Responsibility

The ~~SFI-Certified Organization~~*Certified Organization-Program-Participant*, as the *Group Manager* and the *Group Member* have shared responsibility for and commitment to sustainable forestry practices on the land they own, manage or from which they procure raw material.

2.3 Efficiency

The *SFI Small Lands Group Certification Module* uses a *wood and fiber supply area* ("supply area") approach to achieving sustainable forest management (e.g., planning or monitoring of forest resources) where the supply area approach is more suitable and efficient due to the limited size and resources of individual *landowners*. The results of the *wood and fiber* supply area approach must be consistent with and inclusive of the forest management practices implemented by individual *landowners* and/or resource/logging professionals. Lands certified to this module in the United States are certified to ~~the American Tree Farm System~~ *(ATFS)*. Lands certified to this module in Canada are SFI certified.

3. REQUIREMENTS FOR MANAGEMENT OF THE GROUP

3.1 Responsibilities of the *Group Manager*²:

- 3.1.1** To ensure a commitment on behalf of the whole *Group Certification Organization* to establish and maintain practices and procedures in accordance with the requirements of this SFI Small Lands Group Certification Module.
- 3.1.2** To represent the whole *Group Certification Organization* in the certification process, including communications and relationships with the certification body, submission of an application for certification under this module and contractual relationship with the certification body.
- 3.1.3** To form a formal relationship with all *Group Members* based on a written agreement established directly between the *Group Manager* and each *Group Member* (every *landowner* and every *landowner agent*). The written agreement shall include³:
- The *Group Manager's* enumeration of the conditions of participation in the group and *group forest certificate*, including disclosure of *Group Member's* ineligibility to participate in an ATFS State program or IMG;
 - The *Group Manager's* right and responsibility to implement and enforce any corrective or preventive measures, and to initiate the suspension of any *Group Member* from the scope of certification in the event of nonconformity with the requirements of the *SFI Small Lands Group Certification Module*.
 - The *Group Member's* commitment to comply with the requirements of the *SFI Small Lands Group Certification Module*;
 - The *Group Member's* agreement to participate and comply with the conditions of membership and forest management operations as recommended in the *wood and fiber supply area plan* (or their own conforming forest management, where applicable);
 - The *Group Member's* agreement to be included under the scope of the *Group Manager's*
 - *Manager's group forest certificate*.
- 3.1.4** To establish procedures for inclusion of new *Group Members* within the *Group Certification Organization* including an internal assessment of conformity with the *SFI Small Lands Group Certification Module*, implementation of corrective and relevant preventive measures.
- 3.1.5** To establish procedures for expulsion of *Group Members* from the *Group Forest Certificate*, in cases of unresolved nonconformity, ownership transition or other circumstances, as appropriate, including documentation and timely reporting of decertification.

² The requirements for the management of the group are based on eligibility criteria of chapter 4.1.1-4.1.4 of Appendix 1 and Appendix 2 to Section 109. In cases where the requirements of this document differ from Appendix 1 to Section 109, the requirements of this document are definitive.

³ While the written agreement is established directly between the *Group Manager* and each *Group Member*, trained *landowner agents* may facilitate and transmit written agreements between *Group Manager* and *landowner* members.

3.1.6 To maintain and achieve compliance with all requirements of the *SFI 2015–2019/2022–2026 SFI Fiber Sourcing Standard* that outline relationship between the *SFI Certified Organization/Certified Organization-Program Participant*, landowners, and resource/logging professionals; and management review and continuous improvement (Objectives *1, 2, 3, 6, 7, and 10 and 11*).

3.1.7 To establish written procedures for the management of the *Group Certification Organization* and clearly define and assign responsibilities for sustainable forest management and compliance with the certification requirements of this module.

3.1.8 To provide all *Group Members* with information and guidance needed for effective implementation and maintenance of practices and procedures in accordance with the requirements of this *SFI Small Lands Group Certification Module*⁴.

3.1.9 To ensure all *Group Managers* and *Landowner Agents* have been trained to implement the requirements of the module specific to section 4.3 Forest Management Practices⁵.

3.1.10 To keep records on:

- A. the *SFI Program Participant's Certified Organizations'* and the *Group Members'* conformity with the relevant certification requirements as spelled out by this Small Lands Module.
- B. all *Group Members*, including their contact details and, for *landowner* members, identification of their property and its/their sizes.
- C. the *certified area*.
- D. a record of operations carried out on the forest lands owned by the *Group Members* to support the internal monitoring program.
- E. the implementation of an internal monitoring program, its review and any preventive and/or corrective measures.
- F. the *wood and fiber supply area* plan as defined in 4.1, and the individualized goals and strategies for *landowners*, and/or the individual landowner management plan as defined in 4.2, as applicable.
- G. In the US, *Group Managers* share records of items A, B, C and E at least annually with AFF for documentation in the ATFS database to enable verification of the certified status of the *certified area*. In Canada, *Group Managers* share records of items A, B, C and E at least annually with SFI.

3.1.11 To maintain an annual internal audit or monitoring program sufficient to ensure conformance with the requirements of the SFI Small Lands Group Certification

⁴ The *Group Manager* should within the framework of *Objective 3 (Use of Qualified Resource Professionals, Qualified Logging Professional and Certified Logging Companies)*, *Objective 6 (Training and Education)* and *Objective 7 (Community Involvement and Landowner Outreach)* of the *SFI 2015–2019/2022–2026 Fiber Sourcing Standard* provide *Group Members* with information and guidance on the requirements of the *SFI Small Lands Group Certification Module* that are relevant to them and management operations on their land.

⁵ This may be accomplished via ATFS inspector trainings, trainings conducted by *SFI Implementation Committees*, or other means.

Module⁶ by the organization and individual *Group Members*. The internal audit or monitoring program can be based on a sampling of *Group Members'* properties and forest management activities provided that:

- it is based on an appropriate risk management methodology considering the scale and type of *Group Members'* activities; geographical distribution of *Group Members*; previous non-conformities; information from external parties, etc. and it provides overall confidence in the conformity of the *Group Certification Organization* and *Group Members* with the certification requirements;
- the sample is representative considering the number of each type of *Group Member (landowner and landowner agents)* and their geographical distribution;
- the sample covers all the participating *group members* and the number of samples equals at least the square root of the total number of participating *landowners*.

3.1.12 To operate a review of the conformity of *Group Members* based on results of internal audit and/or monitoring data sufficient to assess performance of the *Group Certification Organization* as a whole rather than at the individual *Group Member's* level⁷.

3.1.13 To establish corrective and preventive measures if required and evaluate the effectiveness of corrective actions taken.

3.1.14 To communicate to the relevant *Certification Body* those *Group Members* with serious and continuing non-conformities that have not been resolved and that resulted in the *Group Member's* expulsion from the *group certification organization* based on the results of internal audits and/or the monitoring program.

3.1.15 To consider within its internal audit/monitoring program information from the *Group Member* on continuing non-conformities that have been found if the *Group Member* is part of another *group certification organization*.

3.1.16 For landowners in the United States, to maintain and update the members of the group organization and report to AFF or update the ATFS database to reflect entries and departures of *Group Members* from the *Group Organization*.

3.2 Responsibilities of the *Group Members*:

3.2.1 To commit through a written agreement with the *Group Manager* to implement and maintain the relevant requirements⁸ of the *SFI Small Lands Group Certification*

⁶ The internal audit/monitoring program should accommodate various verification and monitoring mechanisms required by the *SFI 2021-2019 Fiber Sourcing Standard*.

⁷ The review of the conformity and the corrective and preventive measures should be performed within the framework of Objective 10 of the *SFI 2021-2019 Fiber Sourcing Standard* (Management Review and Continuous Improvement).

⁸ The *Group Manager* should within the framework of [Objective 3 \(Use of Qualified Resource Professionals, Qualified Logging Professional and Certified Logging Companies\)](#), Objective 6 (Training and Education) and Objective 7 (Community Involvement and Landowner Outreach) of the *SFI 2021-2019 Fiber Sourcing Standard* provide *Group Members* with a specific list and guidance on

Module;

- 3.2.2** To respond effectively to all requests from the *Group Manager* or a certification body for relevant data, documentation or other information whether in connection with formal audits or reviews or other requirements;
- 3.2.3** To provide full co-operation and assistance in respect of the satisfactory completion of audits, reviews, monitoring, relevant routine inquiries or corrective actions; ~~and~~
- 3.2.4** To implement relevant corrective and preventive actions required by the *Group Manager*; ~~and~~
- 3.2.5** To inform the *Group Manager* of any continuing non-conformities if the *Group Member* is part of another *group certification organization*.

4. REQUIREMENTS FOR SUSTAINABLE FOREST MANAGEMENT

The *Group Manager* shall ensure compliance of the *Group Certification Organization* with the requirements outlined in *SFI ~~2015-2019~~ 2022-2026 Fiber Sourcing Standard*⁹ and the following additional requirements outlined in 4.1 the *Wood and Fiber Supply Area Plan* and 4.3 Forest Management Practices on *Certified Area*.

4.1 Wood and Fiber Supply Area Plan

The *Group Manager* shall develop and update a *wood and fiber supply area* plan that adequately covers the fiber procurement area by the *Group Certification Organization*. The plan shall:

- 4.1.1** Be based on a long-term resource analysis including periodic or ongoing forest inventory, mapping and monitoring of forest resources; and include or be based on analysis of social, environmental and economic impacts of forest operations on forest resources;
- 4.1.2** Promote the maintenance and enhancement of the quantity of forest resources. Promote afforestation of agricultural and treeless land into forests. Identify risks of conversion of forests to non-forest uses and measures to mitigate this risk.
- 4.1.3** Be consistent with applicable legislation and land-use plans;
- 4.1.4** Include a description of forest resources, their different uses and functions, and objectives for their management;
- 4.1.5** Include analysis and determination of long-term sustainable harvest levels by monitoring *growth and drain* trends across the *wood and fiber supply area*. The monitoring system shall identify trends and develop forest management activities, on the *certified area*, to promote sustainable harvesting levels on the *wood and fiber supply area*.

the requirements of the *SFI Small Lands Group Certification Module* that are relevant to them and management operations on their land.

⁹ This list and guidance also includes Interpretations for the Requirements for the *SFI ~~202215—2019~~ Standards and Rules* relevant to the *SFI ~~202215-2019~~ Fiber Sourcing Standard* or to the additional requirements.

- 4.1.6** Include a review of non-timber activities and opportunities (e.g., conservation of soil, air and water quality, carbon, biological diversity, wildlife and aquatic habitats, recreation and aesthetics); and sustainable management and use of those non-timber forest products that are affected by forest management practices;
- 4.1.7** Review results of monitoring of harmful agents, such as environmentally or economically undesirable wildfire, pests, diseases, invasive exotic plants and animals and list or provide information on measures to protect forests from those agents to maintain and improve long-term forest health, productivity and economic viability;
- 4.1.8** Include identification and mapping of sensitive sites and areas with high biodiversity values on the *certified area* and the *wood and fiber supply area*;
- 4.1.9** Include identification and mapping of areas with specific water and soil protection functions, including steps to ensure their protection, maintenance and enhancement of their protective functions;
- 4.1.10** Include description of appropriate silviculture and regeneration methods to achieve forest management objectives identified in 4.1 and 4.3;
- 4.1.11** Be made available to the relevant *landowners* and/or *landowner agents* and provide the basis for the ~~SFI-Certified Organization~~ *Certified Organization's Program Participant's* verification, internal audit or monitoring program¹⁰;
- 4.1.12** Be made publicly available, except confidential business and personal information and other information made confidential by legislation or for the protection of cultural sites or sensitive natural resources-; *and*
- 4.1.13** Identify *landowner* goals and strategies and silviculture for achieving those goals to be applied to each individual *landowner* appropriate to the size, scale and intensity of small lands certified via the module.

4.2. Group Member's Management Plan

In the event that a landowner, or landowner agent, opts to have and implement a written forest management plan for an individual group member, it shall be consistent with the size of the ownership and the scale and intensity of the forest activities.

- 4.2.1** Management plan shall be active, adaptive and embody the *landowner's* current objectives, remain appropriate for the land certified and reflect the current state of knowledge about natural resources and sustainable forest management.
- 4.2.2** Management plan shall:
 - a. Describe current forest conditions, *landowner's* objectives, management activities aimed at achieving *landowner's* objectives, document a feasible strategy for activity implementation and include a map accurately depicting significant forest-related resources.

¹⁰ The *Objective 3 (Use of Qualified Resource Professionals, Qualified Logging Professional and Certified Logging Companies)*, *Objective 6 (Training and Education)* and *Objective 7 (Community Involvement and Landowner Outreach)* of the *SFI 2020-2019 Fiber Sourcing Standard* provides a framework for communicating the content of the forest management plan or its relevant parts to *landowners*, resource and logging professionals and for its on-the ground implementation.

- b. Demonstrate consideration of the following resource elements: forest health, soil, water, wood and fiber production, threatened or endangered species, special sites, invasive species and Forests of Recognized Importance¹¹ (in the United States) or *Forests with Exceptional Conservation Value* (in Canada). Where present and relevant to the property, the plan shall describe management activities related to these resource elements.
- c. Where present, relevant to the property and consistent with *landowner's* objectives, the plan preparer should consider, describe and evaluate the following resource elements: fire, wetlands, desired species, recreation, forest aesthetics, biomass and carbon.

4.2.3 The *Landowner* or *landowner agent* should monitor for changes that could interfere with the management objectives as stated in management plan. When problems are found, reasonable actions are taken.

4.3 Forest Management Practices on *Certified Area*

The *Group Manager* shall ensure through a *verifiable monitoring system* that:

- 4.3.1** *Landowner* shall comply with all relevant federal, state, provincial, county, and municipal laws, regulations and ordinances governing forest management activities.
 - 4.3.1.1 *Landowner* shall comply with all relevant laws, regulations and ordinances and will correct conditions that led to adverse regulatory actions, if any.
 - 4.3.1.2 *Landowner* should obtain advice from appropriate qualified natural resource professionals or qualified contractors who are trained in, and familiar with, relevant laws, regulations, and ordinances.
- 4.3.2** Reforestation or afforestation shall be achieved by a suitable process that ensures adequate stocking levels.
 - 4.3.2.1 ~~Harvested forest land shall achieve adequate stocking of desired species reflecting the *landowner's* objectives, within five years after harvest, or within a time interval as specified by applicable regulation. Reforestation or afforestation shall achieve adequate stocking of desired species reflecting the *landowner's* objectives, within five years after regeneration harvest, or an appropriate time frame for local conditions, or within a time interval as specified by applicable regulation.~~
- 4.3.3** *Landowner* shall meet or exceed practices prescribed by state or provincial forestry best management practices that are applicable to the property.
 - 4.3.3.1 *Landowner* shall implement specific state or provincial forestry ~~bBest mManagement pPractices~~ that are applicable to the property.
 - 4.3.3.2 *Landowner* shall minimize road construction and other disturbances within riparian zones and wetlands.

¹¹ Globally, regionally and nationally significant large forest landscape areas of exceptional ecological, social, cultural or biological values. These forests are evaluated at the landscape level, rather than the stand level, and are recognized for a combination of unique values, rather than a single attribute.

4.3.4 *Landowner* shall consider a range of forest management activities to control pests, pathogens, and unwanted vegetation.

4.3.4.1 *Landowner* should evaluate alternatives to pesticides for the prevention or control of pests, pathogens, and unwanted vegetation to achieve specific management objectives.

4.3.4.2 Pesticides used shall be approved by the Environmental Protection Agency (EPA) in the United States or the Pest Management Regulatory Agency (PMRA) of Health Canada, and applied, stored, and disposed of in accordance with EPA or PMRA approved labels and by persons appropriately trained, licensed, and supervised.

4.3.5 When used, prescribed fire shall conform with *landowner's* objectives and all applicable rules, laws, and regulations, pre-fire planning.

~~4.3.5.1 Prescribed burns shall conform with the landowner's objectives and state and local laws and regulations. Prescribed fire shall conform with the landowner's objectives and all national, federal, state, provincial and local laws and regulations.~~

4.3.6 Forest management activities shall protect habitats and communities occupied by threatened or endangered species as required by law.

4.3.6.1 *Landowner* shall confer with natural resource agencies, state or provincial natural resource heritage programs (i.e., NatureServe databases), qualified natural resource professionals or ~~review~~ other current sources of information to determine occurrences of threatened or endangered species on the property and their habitat requirements.

4.3.6.2 Forest management activities shall incorporate measures to protect identified threatened or endangered species on the property.

4.3.7 *Landowner* should address the desired species and/or desired forest communities when conducting forest management activities, if consistent with *landowner's* objectives.

4.3.7.1 *Landowner* should consult available and accessible information on management of the forest for desired species and/or forest communities and integrate it into forest management.

4.3.8 *Landowner* should make practical efforts to promote forest health.

4.3.8.1 *Landowner* should make practical efforts to promote forest health, including prevention, control or response to disturbances such as wildland fire, invasive species and other pests, pathogens or unwanted vegetation, to achieve specific management objectives.

4.3.9 Where present, forest management activities should maintain or enhance Forests of Recognized Importance (in the United States) or *Forests with Exceptional Conservation Value* (in Canada).

4.3.9.1 Appropriate to the scale and intensity of the situation, forest management activities should incorporate measures to contribute to the conservation of identified Forests of Recognized Importance (in the United States) or

Forests with Exceptional Conservation Value (in Canada).

4.3.10 *Landowner* should manage the visual impacts of forest management activities consistent with the size of the forest, the scale and intensity of forest management activities and the location of the property.

4.3.10.1 Forest management activities should apply visual quality measures compatible with appropriate silvicultural practices.

4.3.11 Forest management activities shall consider and maintain any special sites relevant on the property.

4.3.11.1 *Landowner* shall make a reasonable effort to locate and protect special sites appropriate for the size of the forest and the scale and intensity of forest management activities.

4.3.12 *Landowner* should use qualified natural resource professionals and qualified contractors when contracting for services.

4.3.12.1 *Landowner* should seek qualified natural resource professionals and qualified contractors.

4.3.12.2 *Landowner* should engage qualified contractors who carry appropriate insurance and comply with appropriate federal, state, provincial and local safety and fair labor rules, regulations, and standard practices.

4.3.12.3 *Landowners* should retain appropriate contracts or records for forest product harvests and other management activities to demonstrate conformance to the ~~Standards~~ standards.

~~4.3.13~~ 4.3.12.4 *Landowner or designated representative shall monitor forest product harvests and other management activities to ensure they conform to their objectives. Landowner shall monitor forest product harvests and other management activities to ensure they conform to their objectives.*

~~4.3.13-14.3.12.4~~ Harvest, utilization, removal, and other management activities shall be conducted in compliance with the *landowner's* objectives and to maintain the potential of the property to produce forest products and other benefits sustainably.

SFI Small-Scale Forest Management Module for Indigenous Peoples, Families and Communities

1. ~~1.1~~ GENERAL

1.1 Scope

The *SFI Small-Scale Forest Management Module for Indigenous Peoples, Families and Communities* (the ~~Module~~module) applies to individual small-scale forests and to groups of small-scale forests co-operating for the purposes of obtaining sustainable forest management certification.

The ~~Module~~module offers the owners and managers of these forests the opportunity to participate in a group *certification organization* and benefit from the economies of scale afforded by working with a group of forest owners and managers of forest licenses.

Forestland converted to other land uses shall not be certified to this *SFI Small-Scale Forest Management Module for Indigenous Peoples, Families and Communities*. This does not apply to forestlands used for forest management infrastructure such as forest roads, log processing areas, recreation trails or hunting. ~~Land used for purposes other than forest management are not within the scope of this~~ ~~Module~~module.

1.~~2~~~~1~~~~2~~ Eligibility for certification under the *SFI Small-Scale Forest Management Module for Indigenous Peoples, Families and Communities*

Any small-scale forest owned or managed by Indigenous peoples, families, or communities where the area in timber production does not exceed 20,000 ~~hectares~~ ~~ha~~ is eligible for certification to the ~~Module~~module. The total area certified to the ~~Module~~module may exceed 20,000 hectares when the non-timber producing areas and areas managed for conservation or recreation purposes are included.

Small-scale forest properties and forest licenses between 5,000 and 20,000 ~~ha~~ ~~hectares~~ must be under the management of a forestry professional.

Small-scale forests include but are not limited to:

- Small forest properties or woodlots;
- British Columbia Woodlot Licences;
- Forestlands owned or managed by municipalities/counties or First Nations or Metis communities (e.g., First Nations Woodland Licenses ~~—~~ British Columbia; County Forests ~~—~~ Ontario); and
- Crown forest licensed to communities (e.g., Community Forest Agreement ~~—~~ British Columbia; Lots Intramunicipaux ~~—~~ Quebec; Community Forests - Nova Scotia).

Forests with more than 20,000 hectares of land managed for timber production shall certify to the *SFI 20~~22~~~~15~~~~2019~~ Forest Management Standard*.

1.~~1~~~~3~~ What the *SFI Small-Scale Forest Management Module for Indigenous Peoples, Families and Communities* does

The ~~Module~~ offers a pathway to certification for individual forests or for a group of forests operating as a *certification organization* under a single certificate. The ~~Module~~ allows *members* to sell fiber as *certified forest content* and satisfies the requirements for the use of *SFI 2022 Chain-of-Custody Standard* labels.

The *certification organization* as defined in this ~~Module~~ can provide the management structure to implement a carbon-offset protocol.

1.1.4 What the *SFI Small-Scale Forest Management Module for Indigenous Peoples, Families and Communities* covers:

The ~~Module~~ covers:

- requirements of the *SFI 2022-2019 Forest Management Standard* applicable to small-scale managed forests and includes measures to broaden *practices* to address the conservation of *biodiversity*, the use of forestry *best management practices* to protect water quality *and quantity*, *soil health and* productivity, reforestation and the use of forest management and harvesting professionals;
- additional requirements for sustainable forest management that are applicable to small-scale managed forests; *and*
- requirements relating to the management of the *group certification organization*¹².

1.1.5 Geographic Application of the *SFI Small-Scale Forest Management Module for Indigenous Peoples, Families and Communities*

The ~~Module~~ applies to individual managed forests and *certification organizations* in Canada.

2. REFERENCES

This ~~m~~Module 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 application applies.

1.2.1 Normative references

- i. ISO/IEC 17021:2015-1 — 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. *SFI 2022-2019 Standards and Rules*.
 - Section 2 — *SFI 2022-2019 Forest Management Standard*
 - Section 87 — SFI Policies

¹² The requirements for the management of the group certification organization are based on Appendix 21 of Section 109 of the SFI 2022-2019 Standards and Rules.

- Section ~~109~~ — SFI ~~202215—2019~~ Audit Procedures and Auditor Qualification and Accreditation
- Section ~~110~~ — Communication and Public Reporting
- Section ~~132~~ — Optional Modules
- Section ~~143~~ — SFI Definitions

iv. Interpretations for the Requirements for the *SFI 202215—2019 Standards and Rules*

For the purposes of this ~~Module~~module, the relevant definitions given in ISO/IEC Guide 2:2004 apply together with the definitions in the SFI Definitions (Section ~~143~~).

~~1-2.2~~ Informative References

- PEFC ST 1002:201~~80~~ — Group Forest Management Certification
- PEFC ST 1003:201~~80~~ — Sustainable Forest Management – Requirements
- Section 4 — *SFI 202215-2019 Chain-of-Custody Standard*
- Section ~~65~~ — Rules for Use of *SFI On-Product Labels and Off-Product Marks*
- Section ~~76~~ — Guidance to SFI ~~2022 15—2019~~ Standards and Rules
- Section ~~98~~ — SFI Standards Development and Interpretations Process
- Section ~~121~~ — Public Inquiries and Official Complaints

~~2-1.2.3~~ Definitions

For the purposes of this *SFI Small-Scale Forest Management Module for Indigenous Peoples, Families and Communities*, the relevant definitions given in ISO/IEC Guide 2:2004 apply together with the definitions in the SFI Section ~~143~~ — Definitions, together with the following definitions.

- **certified area**

The area covered by a valid *SFI Small-Scale Forest Management Module for Indigenous Peoples, Families and Communities* certificate.

- **commercial harvesting operations**

Wood harvested for sale or trade.

- **certification organization**

An organization established to coordinate and manage a certification program for a group of small-scale forests in order to obtain economies of scale and efficiency and gaining eligibility for a sampling approach to certification audits (see Appendix 1 to Section ~~109~~ — ~~Audit Procedures and Auditor Qualifications and Accreditation~~).

- **forest certificate**

A document confirming that an individual small-scale forest or *members* of a *certification organization* conform to the requirements for certification to the *SFI Small-Scale Forest Management for Indigenous Peoples, Families and Communities*.

- **manager**

The *manager* may be a forest owners' association, a forest management consultant or an individual who undertakes the organization and management of the *certification organization*.

- **member**

A landowner, or a *land manager* duly authorized by the *member*, who has agreed to join the *certification organization* and conform with the requirements of the SFI *Small-Scale Forest Management Module for Indigenous Peoples, Families and Communities*.

- **land manager**

An individual or organization authorized by the *member*/license holder to manage their forestland within the *certified area* and has the ability and management authority to implement the certification requirements of the SFI *Small-Scale Forest Management Module for Indigenous Peoples, Families and Communities*.

- **personal use**

Firewood or logs cut for personal use, not for sale or trade, limited to 50 cubic metres per year.

- **special sites**

Sites that include geologically unique or culturally important features.

- **species at risk**

Threatened and Endangered Species as identified by the Committee on the Status of Endangered Wildlife in Canada or by a provincial committee on Species at Risk or are listed in provincial endangered species or species at risk legislation.

- **sustainable forest management**

The management of forests and forestland in a way and at a rate that maintains their *biodiversity*, productivity, regeneration capacity, vitality, and potential to fulfil ecological, economic, and social functions.

- **Small-scale forest property or forest license**

A forest on fee-simple, private land, owned by an individual, group of investors or a municipality or county. [British Columbia](#) Woodlot Licensees and public forests licensed to Indigenous peoples and Metis communities and Community Forests (public forestland licensed to a community) that meet the size requirements in clause 1.1.2 are eligible to participate in an *SFI Small-Scale Forest Management Module for Indigenous Peoples, Families and Communities* certification program.

3. ~~SFI SMALL-SCALE FOREST MANAGEMENT MODULE FOR INDIGENOUS PEOPLES, FAMILIES AND COMMUNITIES~~ PRINCIPLES

The SFI principles for this ~~Module~~ [module](#) are based on a belief that forest landowners and *managers* have an important stewardship responsibility and a commitment to society, and

that they recognize the importance of maintaining viable commercial, family and community forest and conservation forestlands.

Private forest ownership in Canada consists of more than 450,000 forestland owners. In addition, there are many parcels of land under forest management, held by communities and Indigenous peoples. The limited revenues from forest management operations on these properties, their periodic management activities, and revenues, as well as a limited financial ability to demonstrate their conformity to the requirements of a forest management certification system, present significant barriers to certification.

Group certification is designed to capture economies of scale and management efficiency by grouping numbers of forest properties together under one group *certification organization* to improve management and facilitate auditing and certification to the requirements of the [Module module](#).

Certification organizations certified to the [Module module](#) shall have written procedures to implement and achieve the requirements included in the [Module module](#) together with the following principles:

[23.1](#) Voluntary Participation

The [Module module](#) is based on a respect for property rights and on the voluntary commitment and participation of *members* and *land managers*. Participation in the *certification organization* shall not require or bind *members* to harvest and sell timber. SFI and ~~SFI-Certified Organization~~ *Certified Organizations Program Participants* are committed to compliance with the competition laws of Canada, and the [Module module](#) shall not be used to conflict with those laws.

[23.2](#) Shared Responsibility

The *manager* and the *member* have shared responsibility for and commitment to *sustainable forestry practices* on the land they own and /or manage. The *manager* has additional responsibility for setting up the policies, and procedures that ensure conformance with the requirements detailed in section 3.1.

[32.3](#) Efficiency

The [Module module](#) uses a group certification approach to *sustainable forest management* (e.g., planning or monitoring of forest resource management) where this approach is more suitable and efficient due to the limited property size and resources of individual forest *members* or *managers*.

[32.4](#) *Certified Forest Content*

The [Module module](#) uses a combination of i) one or more forest management objectives covering the health and productivity of the *certified area* and ii) management plans for individual forestlands consistent with the size of the forest, the management objectives of the forest landowners, *members* and /-or *land managers* and the scale of management activities.

[32.5](#) Continual improvement

The [Module module](#) fosters a continual improvement approach where individual forest landowners certified to the [Module module](#) or *members* of the group certification

improve their overall performance to meet the requirements of the [Module-module](#) over the life of the certification.

The *manager* is required under 3.1 to monitor *members'* conformance to the forest management *practices* listed under part 4 of the [Modulemodule](#). The agreement between the *manager* and *members* shall define the conditions under which fiber from the *certified area* shall be sold as SFI *certified forest content*.

4. REQUIREMENTS FOR MANAGEMENT OF THE GROUP

[34.1](#) Responsibilities of the group *manager*¹³:

- [34.1.1](#) Provide a commitment¹⁴ on behalf of the *certification organization* to establish and maintain *practices* and procedures in accordance with the requirements of this [Modulemodule](#).
- [34.1.2](#) Represent the *certification organization* in the certification process, including communications and relationships with the certification body, submission of an application for a certification audit and the contractual relationship with the certification body.
- [34.1.3](#) Establish a formal relationship with each *member* based on a written agreement that shall include the *member's* commitment to participate in the group and comply with the conditions of membership, the requirements of the [Module-module](#) and have their lands included in the *forest certificate*. The written agreement shall:
 - i. cover general information on the size and location of the property, the owner's management objectives,
 - ii. give the *manager* access to the *member's* management plan and
 - iii. give the *manager* the authority to identify and require any corrective or preventive measures and to initiate the suspension of any *member* from the *forest certificate* in the event of continuing nonconformity with the requirements of the [Modulemodule](#).
- [34.1.4](#) Establish procedures for inclusion of new *members* within the *certification organization* including an internal assessment of conformity with the [Module-module](#) as well as identification and implementation of corrective and preventive measures. The procedures will include receiving and reviewing applications from new participants, management plans and a field inspection of the managed forest to identify conditions that may require corrective action.
- [34.1.5](#) Maintain and achieve conformance with all requirements of the [Modulemodule](#).

¹³ The requirements for the management of the group are based on eligibility criteria in [chapter 4.1.1–4.1.4 of Appendix 2](#) to Section [109](#). In cases where the requirements of this document differ from [Appendix 2](#) to Section [109](#), the requirements of this document are definitive.

¹⁴ The requirement for *member* commitment is consistent with a requirement for a policy (or policies) to maintain and achieve principles of the *SFI Small-Scale Forest Management Module for Indigenous Peoples, Families and Communities* and the principles of the *SFI 2020–2029 Forest Management Standard*.

34.1.6 Establish written procedures for the management of the *certification organization* and clearly define and assign responsibilities for sustainable forest management and conformance with the requirements for certification.

34.1.7 Provide all *members* with information and guidance needed for effective implementation and maintenance of *practices* and procedures in accordance with the requirements of this ~~Module~~module. This includes:

- i. information sessions on various aspects of *sustainable forest management* and *best management practices*.
- ii. information on *Species at Risk* found in the region - their habitat and requirements for protection.
- iii. information on provincial and local regulations applicable to forest management.

34.1.8 Keep records on:

- i. all *members*, including their contact details, identification of their property and the *certified area*;
- ii. the total area covered by the group *forest certificate*;
- iii. *commercial harvesting operations* carried out on the forests owned/managed by the group *members*;
- iv. the internal monitoring program and audits;
- v. the *members'* conformity with the certification requirements and
- vi. forest management objectives as defined in part 4.

34.1.9 Maintain an annual monitoring program sufficient to ensure conformance with the requirements of the ~~Module~~module by the *certification organization* and individual *members*. The monitoring program shall be based on *members'* reports of commercial harvesting operations and a sampling of *members'* properties provided:

- i. it is based on an appropriate risk management methodology considering:
 - a. the scale and type of *members'* activities (*commercial harvesting operations*, road/trail construction, pesticide use or reforestation);
 - b. geographic distribution of *members* within the area covered by the *certification organization*;
 - c. categories of forestland ownership and size and
 - d. previous non-conformities;
- ii. the number of sites sampled equals at least the square root of the total number of participating *members* who have reported management activities in accordance with Part 4 during the interval between the annual monitoring programs.

34.1.10 Establish and maintain a system to monitor the conformity of *members* based on results of the monitoring data sufficient to assess performance of the *certification*

organization. This shall include a system for collecting, reviewing, and reporting information to the *manager* regarding progress in achieving conformity with the ~~Module~~module.

- 34.1.11 Establish corrective and preventive measures as required and evaluate the effectiveness of corrective actions taken by *members* of the *certification organization*.
- 34.1.12 Based on the results of the monitoring program communicate to the relevant *certification body* those *members* with serious and continuing non-conformities that have not been resolved and that resulted in the *member's* removal from the *certification organization*.
- 34.1.13 Prepare an annual summary report detailing:
- i. evaluation of achievement of the forest management objectives as defined in part 4;
 - ii. the *members* in the *certification organization*;
 - iii. the total *certified forest area*;
 - iv. the area covered by forest management activities;
 - v. the types of forest management activities used by *members* (*commercial harvesting operations*, road/trail construction and maintenance, *silviculture*);
 - vi. a list of known *special sites* ;
 - vii. the volumes of products harvested; and
 - viii. the progress of conformance with the ~~Module~~module including the implementation of an internal monitoring program and measures to address preventative and/or corrective actions.
- 34.1.14 Establish a *program(s)* to:
- i. support and promote mechanisms for public outreach, including other forest owners and managers and
 - ii. engage at the local or provincial level on issues related to sustainable forest management.
- 34.1.15 Establish a program to respond annually to the SFI annual progress report surveys.

~~53.2~~ RESPONSIBILITIES OF THE MEMBERS

- ~~53.2.1~~ To commit, through a written agreement with the *manager*, to implement and maintain the relevant requirements of the ~~Module~~module as listed in part 4.
- ~~53.2.2~~ __To present a management plan appropriate to the size of the forest property or license, the *member's* management objectives, the scale and intensity of

management that conforms to the forest size and management plan structure, components and detail.

53-2.3 To respond effectively to all requests from the *manager* or a *certification body* for relevant data, documentation, or other information whether in connection with third-party audits, internal monitoring, annual reports on management operations, reviews, or other requirements.

53-2.4 To implement relevant corrective and preventive actions required by the *manager*.

64. REQUIREMENTS FOR SUSTAINABLE FOREST MANAGEMENT

The *Manager* shall ensure conformance of the *certification organization* with the requirements outlined in the ~~Module~~module¹⁵ and the following additional requirements outlined in forest management objectives and forest management *practices* on the *certified area*. Individual forest landowners seeking certification to the ~~Module~~module must conform to all the requirements of Objectives 1 to 9 applicable to *members*. Where the term *member* is used, the individual forest landowner shall understand these requirements to apply to him/her.

Examples of forest management objectives are:

- i. improve age class distribution;
- ii. promote long-term sustainable harvest levels;
- iii. increase hardwood component;
- iv. increase amount of saw-timber;
- v. promotion of non-timber forest products (e.g., maple syrup);
- vi. encourage afforestation of marginal/sub-marginal lands no longer suitable for agriculture;
- vii. support of programs for conservation of *old growth forests*, *biological diversity* and water quality;
- viii. promotion of *integrated pest management practices*; and
- ix. promotion of opportunities for recreation.

(Note: Guidance text appears throughout this section inside boxes. This guidance is meant to inform the forest landowner, *member*, and the *manager* about the intent of the *SFI Small-Scale Forest Management Module for Indigenous Peoples, Families and Communities* and how it may be applied on-the-ground. Guidance text is not considered normative language. Where the term

¹⁵ This list and guidance also includes Interpretations for the Requirements for the *SFI 2022-2019 Standards and Rules* relevant to the *SFI 2022-2019 Forest Management Standard* or to additional requirements as specified by SFI Inc.

member is used, the individual forest landowner may consider this guidance as being appropriate to him/her.)

Objective 1 — Forest Management Planning: To ensure forest management plans include *long-term* sustainable harvest levels and measures to avoid forest conversion.

(Note: *Members* may consider adopting some of the forest management objectives in the Guidance box above to improve forest health and productivity, promote *biodiversity* and protect water quality [and quantity](#) on the *certified area*.)

Using *members* and/or *land managers* information sessions, a *verifiable monitoring system*, and individual outreach to *members*, the *manager* shall ensure that the following aspects of forest management are implemented in conformance with the requirements of the [Module](#).

The management plan shall:

- i. be appropriate to the size of the managed forest, the *member's* or *land manager's* management objectives, the scale and intensity of management.
- ii. describe present forest conditions and forest conditions to be achieved;
- iii. make all practical efforts to promote forest health, including prevention, control or response to disturbances such as wild~~land~~-fire, *invasive species* and other pests, pathogens or unwanted vegetation, to achieve specific management objectives;
- iv. address species at risk and their habitat requirements as well as measures to conserve these species and their habitats within the area of management;
- v. include measures to address known *special sites* and
- vi. provide information on other local, provincial, ~~and~~ federal regulations applicable to forest management and species at risk.

Forests from 10 ~~ha~~-hectares to 20,000 hectares ~~ha~~-in area are eligible for certification under the Module. The management plans will reflect the management objectives, size of the forest and the scale of management operations. Larger forests will require an inventory upon which to base an assessment of the long-term sustainable harvest level and to permit planning and scheduling of harvest operations. Smaller forests require a simpler management plan.

The management plan is based on sound forest management science and embodies the *members* or *manager's* current management objectives. It describes the present forest conditions and provides a practical schedule of silvicultural treatments to achieve the management objectives. It includes a map showing significant features of the forest and includes considerations of *forest health*, conservation of soil productivity and water quality, timber production, protection of *species at risk* and sites, *special sites* and sites of special ecological significance. Forest management operations such as road construction, *commercial harvesting operations* and reforestation should be covered by an operating plan or comply with *best management practices*.

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.

- i. An operating plan shall be prepared for each harvest activity (other than cutting volumes for *personal use or cultural use*) to document appropriate *silviculture* and regeneration methods and other forest management *practices*;
- ii. All harvested areas shall be promptly regenerated through planting within two years or two planting seasons, or by planned natural regeneration methods within five years. Desirable advanced natural regeneration shall be protected during harvest;
- iii. Plantings of *native or non-invasive naturalized tree species are preferred. In exceptional circumstances where exotic tree species are planted, they should not increase-minimize the risk to native ecosystems.*
- iv. The use of fire is only allowed as a silvicultural or forest management technique for achievement of defined forest management goals (e.g., enhancing the growth of *non-timber forest products*, hazard abatement near communities, etc.);
- v. *The use of integrated pest management is preferred. When pesticides are used, they shall Use-of-be the* least-toxic and narrowest-spectrum pesticides necessary to achieve management objectives. The use of pesticides shall be controlled and minimized with preference for the use of *integrated pest management* methods;
- vi. Use of pesticides registered for the intended use and applied in accordance with label requirements; and
- vii. The use of WHO Type 1A and 1B pesticides¹⁶, chlorinated hydrocarbons and any pesticides banned by the Stockholm Convention on Persistent Organic Pollutants is prohibited.

Commented [SF11]: Edits to align with the main FM standard requirement.

Commented [SF12]: Edits to align with the main FM standard requirement.

The *member* ensures adequate stocking with desirable and site-adapted species throughout the harvested area by prompt tree planting or natural regeneration within five years of harvesting. Tending of young trees may be required to achieve free-to-grow status. Use of prescribed burning complies with all local regulations.

Afforestation, where it is practiced, should consider potential ecological impacts of the selection and planting of tree species in non-forested landscapes. It is best suited to soils that are marginal or sub-marginal for agricultural use (stony soils, steep topography, etc.). Afforestation can increase habitat for forest-dependent wildlife, moderate stream flow and contribute to the rural economy.

Although pesticides are a valuable silvicultural tool, *members* should first consider *integrated pest management* techniques. Pesticides are be used by trained and licensed applicators.

¹⁶ Exemptions are allowed where no other viable alternative exists.

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

- i. *Members* shall implement federal and provincial water quality *best management practices* *and practices to protect water quantity* during all phases of management activities.
- ii. Contract provisions shall specify conformance to *best management practices*.
- iii. Harvest and road building activities shall be conducted during weather conditions that *minimize* impacts on residual trees, *biodiversity*, water quality *and quantity* and soil resources.
- iv. *Member* or *land manager* shall have measures for the 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 ~~flow and~~ quality *and quantity*.
- v. Use *qualified logging or qualified resource professionals* where they are available if the *member* is not conducting the work him/herself.
- vi. Harvesting and log transportation operations shall be conducted in conformity with the requirements of this ~~Module~~*module*.

Carry out forest management and road construction operations during weather conditions that minimize site disturbance. -The *member* applies provincial regulations and *best management practices* to mitigate impacts of forestry operations on water resources. *Members* should have written agreements with contractors that have completed training *programs* and are recognized as *qualified logging or resource professionals* where they are available. *Members* should keep records of harvests and ensure the efficient utilization of all felled trees.

Road construction and other operations likely to cause soil disturbance are *minimized* in riparian zones and near *wetlands*. Drainage structures of sufficient size are installed to maintain natural drainage patterns and do not impede the passage of fish.

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*.

- i. Implementation of *practices*, as guided by regionally based *best scientific information*, to retain *stand-level wildlife habitat* elements such as snags (where safe to do so), stumps, mast trees, down woody debris, den trees and nest trees.

- ii. Identification and *protection* of *non-forested wetlands*, including bogs, fens and marshes, and *vernal pools* of ecological significance.
- iii. Maintain *habitat* for *species at risk* by providing age class diversity wherever feasible and appropriate considering other *conservation* and ecological factors.
- iv. The *manager* shall provide information on the occurrence, *habitat* and requirements for *protection* of *species at risk* found in the area covered by the *forest certificate*.

The *member* is aware of the presence and location of sites of ecological significance such as *vernal pools*, *riparian areas zones*, *wetlands*, stick nests and den trees. The *member* or *land manager* has received and has used information on local occurrence of *Species at Risk* and requirements for habitat protection. Use of *qualified logging or resource professionals* where available should be considered for planning and conducting forest management activities.

Objective 5 — Management of Visual Quality and Recreational Benefits: To manage the visual impact of forest operations and provide recreational opportunities for the public.

- i. When considering harvest opening size the *member* shall take into account:
 - a. municipal regulations applicable to tree harvesting;
 - b. management plan objectives and current stand conditions;
 - c. topography and viewpoints; and
 - d. local values and *practices* regarding harvest opening size.
- ii. Average size of clearcut harvest areas does not exceed 50 hectares (120 acres), except when necessary to meet regulatory requirements, achieve ecological objectives or to respond to forest health emergencies or other natural catastrophes.
- iii. Trees in clearcut harvest areas are at least 3 years old or 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 *member*.
- iv. On public forests, provide recreational opportunities for the public, where consistent with forest management objectives.

The *member* or *manager* applies the appropriate management *practices* to determine the cut block size and shape in order to mitigate impacts on aesthetics. **Note that *asset liquidation* is not in keeping with the Principles of this Module.**

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.

- i. Using information such as existing natural heritage data or expert advice, *members* shall be aware of heritage and cultural sites on their properties and will consider local values when conducting operations to *minimize* impacts on these sites.

Heritage sites such as stone walls, old foundations, or other sites of geological or *cultural importance* are identified before a forest management operation takes place. The *member* or *land manager* uses good judgement based on local values to decide on protection.

Objective 7 — Recognize and Respect Indigenous Peoples' Rights: -To recognize and respect *Indigenous Peoples'* rights and traditional knowledge.

- i. *Members* managing forestland that is wholly or partially on Crown lands shall recognize and respect Indigenous Peoples rights. This requires a program for conferring with affected Indigenous Peoples to enable *members* 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 Organizations* ~~Program Participants~~ have management responsibilities on public lands; and
 - d. respond to *Indigenous Peoples'* inquiries and concerns received.
- ii. Where there are government agencies responsible for consultation with affected *Indigenous Peoples* regarding forest management operations on forestland that is wholly or partially on Crown lands, this government agency shall be the primary means of communicating with *affected Indigenous Peoples* whose rights may be affected by the member's management practices.

Consultation is required only when the forestland under management is Crown Land.

Commented [SF13]: Edit aligns with phrasing in the main FM Standard.

Objective 8 — Legal and Regulatory Compliance: To comply with applicable federal, provincial and *local* laws and regulations.

- i. The *member* shall hold legal title to the property and shall ensure that property boundaries are clearly defined. Entities managing small-scale publicly owned forests will demonstrate legal tenure and that property boundaries are clearly defined;
- ii. There is a program to ensure legal and regulatory compliance. The program shall ensure that *members*:
 - a. are aware of applicable federal, provincial and *local* environmental laws and regulations;
 - b. have a system to achieve compliance with applicable federal, provincial or *local* laws and regulations; *and*
 - c. have access to information on *Species at Risk* in the *certified area*.

The *manager* should provide the *member* a copy of all applicable environmental and water quality [and quantity](#) regulations. *Members* should use this information to ensure compliance. Use of *qualified logging* or *resource professionals* where available should be considered for conducting forest management activities.

Objective 9 — 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*.

- i. *Managers* shall engage with their provincial or regional *SFI Implementation Committee*.
- ii. *Managers* and *members* promote certification among the forest owners community.
- iii. When requested by the *members* the *manager* shall organize an annual meeting to review the activities, accomplishments and problems encountered during the year, as well as future plans for the *certification organization*.

Having the *manager* represent their *members* on the *SFI Implementation Committee* will assist with representing *members* within the provincial or regional SFI community. This will allow *managers* and *members* to stay informed about developments [with the SFI program at SFI](#).

Annual meetings of the *certification organization* are an effective means of sharing group accomplishments, discussing developments in forest management and learning of updates to provincial programs supporting small-scale private forest *members* or small-scale public tenures.

Appendix 1. Forest Management Plan (informative)

The forest management plan should document the following information:

- a. names and contact information of the registered landowners or tenure holders (the *members*);
- b. forest location (e.g., lot, concession, township, county) or tenure document;
- c. the size of the managed forest;
- d. a map (or aerial photo) showing:
 - i. property boundaries;
 - ii. existing infrastructure (roads, trails, etc.);
 - iii. location of watercourses and wetlands;
 - iv. area under management for timber production;
 - v. area managed for conservation/recreation purposes **and**
 - vi. known forest values (e.g., *special sites*), etc.
- e. description of forest *stands*
- f. prioritization of the management objectives for the next 10-year period (e.g., timber production, recreation, conservation, maple syrup production, etc.);
- g. professional recommendations to achieve the management objectives;
- h. schedule of management operations including the timing of the next harvest, *silvicultural* activity or construction of access roads/trails;
- i. a brief history of the property (length of ownership, past management activities, etc.)
- j. a basic inventory of the forest under the plan. At a minimum, this inventory should consist of the species composition, basal area and level of stocking.

Where the *manager* or *member* has access to some or all of the above information in digital format, it may be possible to represent the location and schedule of forest management operations using GIS or similar tools.

A list of legislation and policies (federal, provincial, ~~local/municipal~~) that may affect forest management activities on the forest will be available to all *certification organization members*.

A forest operations prescription/operating plan should be required for all road construction, silvicultural treatments and commercial harvest operations. A municipal permit may also be required.

Example Table of Contents for a Forest Management Plan

1: Property Owner Information	
1.1 Registered Property Owner(s)	
1.2 Plan Author Information	
2: Property Location Information	
2.1 Property Location.....	
2.2 Federal, Provincial and Local Policies and Regulations	
3: Property History.....	
3.1 Past History.....	
3.2 Species at Risk	
3.3 Local Natural Heritage Features	
4: Property Map & Surrounding Area.....	
5: Member Objectives	
5.1 General Objectives.....	
5.2 Detailed Property Objectives.....	
5.3 Strategies to Meet Property Objectives	
6: Detailed Property Map	
7: Managed Forest Compartment Descriptions	
7.1 Forest Inventory Techniques.....	
7.2 Forest Compartment Summary by Land Parcel	
7.3 General Forest Soil & Drainage Description	
7.4 Wildlife Habitat Inventory	
8: Ten-Year Activity Summary 2021X–202X	
9: Report of Activities 2020X–2021X.....	
10: Access Trails	
10.1 Access Trail Objectives.....	
10.2 Basic Trail Design Concepts	
10.3 Trail Construction Best Management Practices.....	
11: Wildlife & Cavity Trees.....	
12: Coarse Woody Debris & Fine Woody Debris	
13: Buffer Zones Around Water & Open Wetlands.....	



SFI Definitions

(Section 1~~4~~3)

April 15, 2021

The following definitions apply to *italicized* words in the Requirements for the SFI 20~~22~~~~15~~–2019 Standards and Rules.

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 2022 Forest Management Standard](#)
- [Canadian Standards Association \(CAN/CSA-Z809\)](#)
- [Canadian Standards Association \(CAN/CSA-Z804\)](#)
- [American Tree Farm System \(ATFS\) individual and group certification](#)

adaptation: -Climate change adaptation refers to actions that reduce the negative impact of climate change, while taking advantage of potential new opportunities. It involves adjusting policies and actions because of observed or expected changes in climate.

Commented [SFI 1]: New definition for Climate Smart Forestry Objective and guidance.

afforestation: Establishment of forest through planting and/or deliberate seeding on land that, until then, was under a different land use, implies a transformation of land use from non-forest to forest (source: FAO 2018). The establishment of a forest or stand in an area where the preceding vegetation or land use was not forest.

Commented [SFI 2]: FAO definition which also aligns with PEFC definition of afforestation.

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~~[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.)~~

Commented [SFI 3]: This guidance has been removed from Section 6, definition removed to align.

bioenergy feedstock: Biomass used ~~for the production of to produce~~ renewable energy. Biomass includes any organic products and byproducts derived from trees, ~~plants~~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~~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 2022~~15-2019~~ Forest Management ~~Standard, and SFI~~ Fiber Sourcing Standard, ~~SFI Chain-of-Custody Standard or SFI Certified Sourcing Standard, SFI Small Lands Group Certification Module, or SFI Small Scale Forest Management Module for Indigenous Peoples, Families and Communities.~~
- ~~American National Standards Institute (ANSI) as being competent to conduct certifications to the SFI 2015-2019 Chain of Custody Standard.~~
- Standards Council of Canada (SCC) as being competent to conduct certifications to the SFI 2022~~15-2019~~ Forest Management ~~Standard, SFI~~ Fiber Sourcing ~~Standard, SFI~~ Chain-of-Custody ~~Standard or SFI Certified Sourcing Standard, SFI Small Lands Group Certification Module, or SFI Small Scale Forest Management Module for Indigenous Peoples, Families and Communities.~~

certified area: The forest area covered by a ~~SFI 2022 Forest Management Standard or SFI Small-Scale Forest Management Module for Indigenous Peoples, Families and Communities certificate. In the group certification context, the certified area is the sum of forest areas of the participants and covered by a group forest certificate.~~

Commented [SFI 4]: Definition adapted from PEFC definition of "certified area". Needed for group forest management certification organizations.

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 202215-2019 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 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.

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 that includes an independent in forest verification of the Certified Logging Professional 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 logging company:** A Wood Producer that is recognized as a qualified logging professional who has successfully completed and is a participant member in good standing of a credible An entity that holds independent, in-the-forest verification of conformance with a logger certification program, recognized by the SFI Implementation Committee as meeting the criteria of PM 12.3 in the SFI Forest Management Standard or PM 6.3, in the SFI Fiber Sourcing Standard.) The logger certification program shall require its members to:~~

Commented [SF15]: This definition removed following adoption of the definition for 'certified logging company'.

- a. require its key personnel to complete *SFI Implementation Committee approved qualified logging professional/logger training program(s)*;
- b. comply with all applicable laws and regulations and measures to protect *wildlife habitat* including *Forest with Exceptional Conservation Value* (critically imperiled and imperiled species and ecological communities);
- c. use *best management practices* to protect water quality;
- d. adhere to a logging safety *program*;
- e. comply with acceptable silviculture and utilization standards;
- f. use aesthetic management techniques where applicable, and
- g. adhere to a management or harvest plan that is *site specific and agreed to by the forest landowner*.

Commented [SFI6]: New definition Certified Logging Company
Definition edited after 2nd Logger Training Subgroup call Sept 29.

Certified Organization: ~~Program Participant~~—An organization certified by an accredited certification body to be in conformance with the *SFI 2022 15-2019 Forest Management Standard*, *SFI Small-Scale Forest Management Module for Indigenous Peoples, Families and Communities* and/or *SFI 2022 15-2019 Fiber Sourcing Standard* and/or *SFI 2022 15-2019 Chain of Custody Standard* and/or *the SFI 2022 Certified Sourcing Standard*.

certified sourcing: Raw material sourced from the following sources confirmed by a certification body:

- Fiber that conforms with the *SFI 2022 15-2019 Fiber Sourcing Standard*; and/or
- Pre-Consumer Recycled Content: *Forest and tree-based material recovered from waste during a manufacturing process. Excluded is reutilization of materials such as rework, regrind or scrap generated in a process and capable of being reclaimed within the same process that generated it. Excluded are by-products resulting from primary production processes, such as sawmilling by-products (sawdust, chips, bark, etc.) or forestry residues (bark, chips from branches, roots, etc.) as they are not considered waste. 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.*

Commented [SFI 7]: Aligns with PEFC Definition from ST 2002. The CoC Task Group determined this was a more complete definition.

Any claims about pre-consumer recycled content by ~~Program Participants~~*Certified Organizations* or label users shall be accurate and consistent with applicable law. ~~Program Participants~~*Certified Organizations* 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~~ *Consumer recycled/Recycled content*: *Forest and tree-based 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. This includes returns of material from the distribution chain and material from salvage from demolition. 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.*

Commented [SFI 8]: PEFC Definition from ST 2002. The CoC Task Group determined this was a more complete definition.

Any claims about *post-consumer recycled content* by ~~Program Participants~~Certified Organizations ~~Certified Organizations~~ and *label users* shall be accurate and consistent with applicable law. ~~Program Participants~~Certified Organizations ~~Certified Organizations~~ 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 2022+5-20+9 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 74 or Section 5, Part 7 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 2022+5-20+9 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 forcing's 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:

- Forest activities which are not in compliance with applicable state, provincial, federal, or international laws.
- Forest activities which are contributing to regional declines in *habitat conservation* and *species protection* (including *biodiversity* and *special sites*, *Alliance for Zero Extinction sites* and *key Biodiversity Areas*, *threatened and endangered species*).
- Conversion sources originating from regions experiencing forest area decline.

Commented [SFI 9]: Expanded definition aligns with PEFC definition of Controversial Sources.

Commented [SFI 10]: Avoidance of Controversial Sources accepted edit to retain in the definition.

- d. Forest activities where the spirit of the ILO Declaration on Fundamental Principles and Rights at work (1998) are not met.
- e. Forest activities where the spirit of the United Nations Declaration on the Rights of Indigenous Peoples (2007) are not met.
- f. Fiber sourced from areas without effective social laws
- g. Illegal Logging including trade in CITES (The Convention on International Trade in Endangered Species of Wild Fauna and Flora) listed species.
- h. Conflict Timber.
- a-i. Genetically modified trees via forest tree biotechnology.

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.

conflict timber: "Timber that has been traded at some point in the chain of custody by armed groups, be they rebel factions or regular soldiers, or by a civilian administration involved in armed conflict or its representatives, either to perpetuate conflict or take advantage of conflict situations for personal gain. (...) Conflict timber is not necessarily illegal." Note: Definition in quotations as used by the United Nations Environment Programme.

conversion sources: Roundwood and/or chips produced from conversion of forestland to other land uses resulting in regional forest area decline. ~~Manufacturers cannot include it when calculating certified forest content.~~

crew: An organized group of forest workers under the leadership of a designated person at a single site. A crew might contain a single person or dozens depending on the task and operation involved.

Commented [SFI 11]: Definition edited to align with new definition of controversial sources.

Commented [SFI12]: New definition.

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 [Certified Organization-Certified Organization](#)~~Program-Participant~~ has a direct contractual relationship for *fiber sourcing*.

ecologically important: Ecologically important can be defined as applying to *natural communities*, biological, ecological, or physical features which, either by themselves or in a network, contribute significantly to an ecosystem's productivity, *biodiversity*, and resilience. Ecologically important areas may be so identified by the inclusion *viable occurrences of species* or *natural communities* that are integral to the identity or function of an ecosystem, but which may be relatively uncommon on the landscape, including species or ecological communities with a high "S-Rank" or "G-Rank" from NatureServe, subject to the discretion of the [Certified Organization](#).

Commented [SFI13]: Forest Conservation Subgroup Edit – Sept 23 call.

Commented [SFI 14]: Forest Conservation Subgroup accepted edit.

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 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:

- 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](#).

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 *Certified Organization* ~~Certified Organization~~ *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 modification (GEM), 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 76 of the *SFI 2022 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 76 of the *SFI 2022 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.

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.

Commented [SFI 15]: Definition moved from SFI Section 10 – Appendix 2: Group Certification Organizations.

group member: A forest owner/manager, manufacturing or processing organization covered by the group certificate, who has the ability to implement the requirements of the certification standard.

Commented [SFI 16]: Adapted from PEFC ST 1002 -2018 Group Forest Management Certification. Needed for group certification organizations.

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).~~

Commented [SFI 17]: Guidance for biodiversity hotspots removed from Section 6 so definition revised accordingly.

illegal logging: Harvesting and trading of wood fiber in violation of applicable laws and regulations in the country of harvest ~~(including trade in CITES (The Convention on International Trade in Endangered Species of Wild Fauna and Flora) listed species).~~

Commented [SFI 18]: Definition updated to include CITES for alignment with new 'controversial sources' definition.

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 *SFI* Section 6 — Guidance to *SFI 2022-15-2019 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 2022-15-2019 Standards' objectives and performance measures*.

Indigenous Peoples: Inclusive of all *Indigenous Peoples* residing in Canada and the United States. More specifically, "*Indigenous Peoples*" ~~is~~are defined in the United States as members of federally recognized tribes and in Canada as those peoples that are ~~recognized~~defined by section 35(2) of the *Constitution Act*, 1982.

Commented [SFI 19]: Definition updated with current URLs of federally recognized tribes/FNs. New paragraph regarding the Metis in Canada added.

In the United States, the US Department of Interior: Bureau of Indian Affairs publishes a list of each of the ~~573~~66 ~~federally recognized tribes~~. The list is found at the following address:
<http://www.bia.gov/WhoWeAre/BIA/OIS/TribalGovernmentServices/TribalDirectory/>
<https://www.bia.gov/bia/ois/tribal-leaders-directory/>

In Canada, ~~Aboriginal-Indigenous Affairs~~ and Northern ~~Affairs~~Development Canada provides a list of the ~~619~~33 ~~recognized registered First Nations by province~~Indian Bands. The list of ~~First Nations~~Indian Bands divided by province is found at:
<http://pse5-esd5.aicn-inac.gc.ca/fnp/Main/Search/SearchFN.aspx?lang=eng>
<https://fnp-ppn.aadnc-aandc.gc.ca/fnp/Main/Search/SearchFN.aspx?lang=eng>

Rights-holding Métis communities in Canada, as per S. 35(2) of the *Constitution Act*, 1982, include but are not limited to governing members of the Métis National Council as well as the Métis Settlements General Council."

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. The careful consideration of all available pest control techniques and subsequent integration of appropriate measures that discourage the development of pest populations and keep pesticides and other interventions to levels that are economically justified and reduce or minimize risks to human health and the environment (source: FAO 2018).~~

Commented [SFI 20]: FAO definition for Integrated Pest Management. Also used by PEFC.

invasive ~~species~~(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~~Certified Organization, 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 19011:2018, 3.149, 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.

Commented [SFI21]: Edit from Oct 15 TG call.

local (when used in Objective 110 Forest Management Standard and Objective 4 Fiber Sourcing Standard): a level of government below federal, state or province such as county, district, city, township, municipality, town, or parish.

Commented [SFI 22]: Definition for when local is used in a Forest Management Objective 10 & Fiber Sourcing Objective 4.

long-term: Extending over a relatively long time period — for the *SFI 2022-2019 Standards*, this means the length of one forest management rotation or longer.

major nonconformity: One or more of the *SFI 2022-2019 Standard(s) performance measures* or *indicators* has not been addressed or has not been implemented to the extent that a systematic failure of a *Certified Organization's Program Participant's Certified Organization'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 2022-2019 Standard(s) program* implementation which does not indicate a systematic failure to consistently meet an *SFI objective, performance measure* or *indicator*.

mitigation: Climate change mitigation consists of actions to limit the magnitude or rate of global warming and its related effects. This generally involves reductions in human emissions of greenhouse gases.

Commented [SFI 23]: New definition for Climate Smart Forestry Objective and guidance.

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.

Commented [SFI 24]: Definition moved from SFI Section 9 – Appendix 1: Audits of Multi-site Organizations.

native: Species of ecological communities occurring naturally in an ecological region^{area}, as neither a direct or indirect consequence of recent human activity. (Ecological Regions of North America: Levels I-II)

Commented [SFI25]: Edit to add specificity to definition – linking to level I and II Ecoregions.

natural community: Natural communities are combinations of *native* plants and animals that are regularly found together in particular settings. ~~where human-caused disturbances changes to composition have been minimal, consistent with the natural community has recovered from that historical disturbance regimes (e.g., prescribed fire), or the natural community has recovered from that disturbance, or the human-caused disturbance falls within the range of natural disturbance. (Adapted from NatureServe adopted from the US National Vegetation Classification).~~

Commented [SFI 26]: New definition recommended by Forest Management Task Group. Adapted from the US National Vegetation Classification.

Commented [SFI27]: Edit to recognize that human-caused disturbance may be needed to maintain a 'natural community'.

Commented [SFI 28]: Edits to align with the NatureServe definition of *natural community*.

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 round wood or wood chips. Examples include, but are not limited to, seeds, fruits, nuts, honey, maple syrup, and mushrooms.

objective: In the SFI 2021-2019 Forest Management Standard and SFI 2021-2019 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 2021-2019 Standards certificates SFI 2021-2019 Section 5 On-product label use certificates and PEFC ST 2002:2013 Chain of Custody of Forest Based Products-Requirements, February 14 May 24, 2021 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-Certified Organizations~~ ~~Participants~~ ~~Certified Organizations~~ 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*.

organization: Person or group of people that has its own functions with responsibilities, authorities, and relationships to achieve its objectives.

Commented [SFI 29]: PEFC definition, ST 1003.

other credible chain-of-custody standards: Standards capable of tracking fiber back to a forest certified to the *SFI 2022-15-2019 Forest Management Standard*, the *SFI Small-Scale Forest Management Module for Indigenous Peoples, Families and Communities* or other acceptable standards recognized by ~~the SFI program~~ *SFI*. They include:

- PEFC ST 2002:2020~~2003~~ Chain of Custody of Forest Based Products-Requirements, February 14~~May 24~~, 2020~~13~~
- Additional *programs* may apply for similar recognition or be recognized by ~~the SFI program~~ *SFI* 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.

outsourcing: Practice of activities relevant for an *organization's chain-of-custody* being performed by another legal entity, without continuous supervision or control from the organization. Not considered as outsourcing are transportation, (un-)loading and warehousing of materials/products, unless there is a risk that materials with different material categories or certified content are mixed with each other.

Commented [SFI 30]: Definition adapted from PEFC 2002-2020 CoC Standard definition for Outsourcing. The CoC Task Group determined this was a more complete definition.

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.

practice(s): the actual application or use of an idea, belief, or method, as opposed to theories relating to it.

Commented [SFI 31]: New definition to clarify the use of a frequently used term in the Standards.

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. ~~Forest and tree-based 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. This includes returns of material from the distribution chain and material from salvage from demolition.~~

Commented [SFI 32]: Moved from underneath the *certified sourcing* definition.

Any claims about *post-consumer recycled content* by ~~Certified Organizations~~ *Certified Organizations* ~~Program Participants~~ or *label users* shall be accurate and consistent with

Commented [SFI 33]: PEFC Definition from ST 2002. The CoC Task Group determined this was a more complete definition.

Commented [SFI 34]: Added to the PEFC definition to capture materials from salvage of buildings.

applicable law. ~~Certified Organizations~~ Certified Organizations ~~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.

practice(s): The actual application or use of an idea, belief, or method, as opposed to theories relating to it.

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. Forest and tree-based material recovered from waste during a manufacturing process. Excluded is reutilization of materials such as rework, regrind or scrap generated in a process and capable of being reclaimed within the same process that generated it. Excluded are by-products resulting from primary production processes, such as sawmilling by-products (sawdust, chips, bark, etc.) or forestry residues (bark, chips from branches, roots, etc.) as they are not considered waste.~~

Commented [SFI 35]: New definition to clarify the use of a frequently used term in the Standards.

Commented [SFI 36]: Aligns with PEFC Definition from ST 2002. The CoC Task Group determined this was a more complete definition.

Any claims about *pre-consumer recycled content* by ~~Certified Organizations~~ Certified Organizations ~~Program Participants~~ or *label users* shall be accurate and consistent with applicable law. ~~Certified Organizations~~ Certified Organizations ~~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.

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 2022-2019 Standards.

product group: Set of products manufactured or traded in the specified processes which are covered by the organization's chain of custody. Product groups can cover several sites.

Commented [SFI 37]: Taken from PEFC definition of "product group".

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*.

protection (or protect): Maintenance of the status or integrity, over the *long term*, of identified attributes or values including management where appropriate and *giving consideration to considering* historical disturbance patterns, fire risk and *forest health* when determining appropriate *conservation* strategies.

Commented [SFI 38]: Forest Management Task Group developed this edit to the definition to strengthen requirements where 'protect' is used and where it has the same intent as 'protection'.

public land: ~~SFI-certified land and 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 *Certified Organization* ~~Certified Organization 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 2022-25-2019 Forest Management Standard* or Objective 6 in the *SFI 2022-25-2019 Fiber Sourcing Standard*.

- a. ~~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 2022-25-2019 Standard(s)* (e.g., safety, protection of soils, streams, and other water bodies).
- b. ~~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*.

Commented [SFI 39]: Edits as per Fiber Sourcing Task Group logger training discussions.

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 certification: A systematic and documented verification process to obtain and evaluate evidence objectively to determine whether a *Certified Organization* conforms to the requirements of *SFI 2022 Standards and Rules*.

SFI Implementation Committee: A state, provincial, or regional committee organized by *Certified Organizations* to facilitate or manage the *programs* and alliances that support the growth of SFI certification, including sustainable forest management.

SFI Small-Scale Forest Management Module for Indigenous Peoples, Families and Communities: The *principles, policies, objectives, performance measures* and *indicators* that detail specific forest management requirements for *Certified Organizations*.

SFI ~~2015-2019~~2022 Audit Procedures and Auditor Qualifications and Accreditation: The *principles* and guidelines that detail specific requirements to ~~*Program-Participants*~~*Certified Organizations* and *certification bodies* for conducting audits to the *SFI 2022 ~~15-2019~~ Forest Management, Fiber Sourcing and Chain-of-Custody Standards*.

SFI 2022 Certified Sourcing Standard: The requirements that detail processes for the use of the SFI Certified Sourcing label and claims.

SFI ~~2015-2019~~2022 Chain-of-Chain-of-Custody Standard: The requirements that detail processes for tracking fiber content from *certified forest content*, recycled ~~*content*~~*content*, and *certified sourcing*.

SFI ~~2015-2019~~2022 Fiber Sourcing Standard: The *principles, objectives, performance measures* and *indicators* that detail specific *fiber sourcing* requirements for ~~*Program-Participants*~~*Certified Organizations*.

SFI ~~2015-2019~~2022 Forest Management Standard: The *principles, policies, objectives, performance measures* and *indicators* that detail specific forest management requirements for ~~*Program-Participants*~~*Certified Organizations*.

SFI Small-Scale Forest Management Module for Indigenous Peoples, Families and Communities: The *principles, policies, objectives, performance measures* and *indicators* that detail specific forest management requirements for *Certified Organizations*.

SFI certification: A systematic and documented verification process to obtain and evaluate evidence objectively to determine whether a ~~Program Participant's Certified Organization's SFI program~~ conforms to the requirements of ~~SFI 202215~~ 2019 Standards and Rules.

SFI Implementation Committee (SIC): A state, provincial, or regional committee organized by ~~SFI Program Participants Certified Organizations~~ 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.

site: A site is a permanent location where an organization carries out work or a service.

Commented [SFI 40]: Definition moved from SFI Section 9 – Appendix 1: Audits of Multi-site Organizations.

skid trail: A temporary path through the woods to transport felled trees or logs to a collection area for further transportation.

soil health: the continued capacity of soil to function as a vital living ecosystem that sustains plants, animals, and humans. (USDA)

Commented [SFI 41]: New definition from USDA as per Forest Management Task Group.

special sites: Sites that include geologically unique or *culturally important* features.

stakeholder: A person, group, community or ~~organisation~~ organization with an interest in the subject of the standard.

Commented [SFI 42]: Adapted from PEFC definition for stakeholder, PEFC ST 1003.

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 201802, 3.160).

third-party certification: An assessment of conformance to the ~~SFI 202215-2019~~ 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.~~—a means to characterize the ~~Program Participant's~~ Certified Organization ~~Certified Organization'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. ~~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. ~~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 ~~or non-forested wetlands~~; (3) *wetlands* may be stagnant systems (e.g., bogs, *vernal pools*), slow flowing (e.g., fens, swamps) or have fluctuating water levels (e.g., marshes, shallow open water).

Commented [SFI 43]: Definition edited to include *non-forested wetland* and *vernal pools*.

wildlife: Aquatic (marine and freshwater) and terrestrial fauna.

wood and fiber supply area: The geographic area from which a Certified Organization ~~Certified Organization~~ ~~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.