



SUSTAINABLE FORESTRY INITIATIVE

Table of Contents SFI ~~2022~~ Standards and Rules May 1, 2020

| |
|---|
| Section 1 – Introduction |
| Section 2 – SFI 2022 15-2019 Forest Management Standard |
| Section 3 – SFI 2022 15-2019 Fiber Sourcing Standard |
| Section 4 – SFI 2022 15-2019 Chain of Custody Standard |
| <u>Section 5 - SFI 2022 Certified Sourcing Standard</u> |
| 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 87 – SFI Policies |
| Section 98 – SFI Standards Development and Interpretations Process |
| Section 109 – SFI 2022 15-2019 Audit Procedures and Auditor Qualifications and Accreditation |
| Section 110 – Communications and Public Reporting |
| Section 121 – Public Inquiries and Official Complaints |
| Section 132 – Optional Modules |
| Section 143 – SFI Definitions |

Commented [SFI1]: Section 1 will be updated to reflect new mission, vision, and text on what the Standards achieve and why it matters. This section will not be part of the 2nd comment period.



SFI 2022 Forest Management Standard
(Section 2)

May 1, 2020

Table of Contents

| | |
|--|----|
| 1. GENERAL | 3 |
| 1.1 SCOPE | 3 |
| 1.2 ADDITIONAL REQUIREMENTS | 3 |
| 1.3 REFERENCES | 3 |
| 1.4 FOREST MANAGEMENT STANDARD PRINCIPLES | 4 |
| 1.5 FOREST MANAGEMENT STANDARD <i>OBJECTIVES</i> | 5 |
| 1.6 SFI 2022 FOREST LAND MANAGEMENT REQUIREMENTS | 7 |
| OBJECTIVE 1. FOREST MANAGEMENT PLANNING | 7 |
| OBJECTIVE 2. <i>FOREST HEALTH</i> AND <i>PRODUCTIVITY</i> | 9 |
| OBJECTIVE 3. <i>PROTECTION</i> AND MAINTENANCE OF WATER RESOURCES | 11 |
| OBJECTIVE 4. <i>CONSERVATION OF BIOLOGICAL DIVERSITY</i> | 12 |
| OBJECTIVE 5. MANAGEMENT OF VISUAL QUALITY AND RECREATIONAL BENEFITS. | 14 |
| OBJECTIVE 6. PROTECTION OF SPECIAL SITES. | 15 |
| OBJECTIVE 7. EFFICIENT USE OF FIBER RESOURCES. | 15 |
| OBJECTIVE 8. RECOGNIZE AND RESPECT INDIGENOUS PEOPLES' RIGHTS. | 16 |
| OBJECTIVE 9. CLIMATE SMART FORESTRY. | 17 |
| OBJECTIVE 10. LEGAL AND REGULATORY COMPLIANCE. | 17 |
| OBJECTIVE 11. <i>FORESTRY</i> RESEARCH, SCIENCE AND TECHNOLOGY. | 18 |
| OBJECTIVE 12. TRAINING AND EDUCATION. | 19 |
| OBJECTIVE 13. COMMUNITY INVOLVEMENT AND LANDOWNER OUTREACH. | 21 |
| OBJECTIVE 14: <i>PUBLIC LAND</i> MANAGEMENT RESPONSIBILITIES. | 22 |
| OBJECTIVE 15. COMMUNICATIONS AND PUBLIC REPORTING. | 23 |
| OBJECTIVE 16. MANAGEMENT REVIEW AND CONTINUAL IMPROVEMENT. | 24 |

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 ~~13XX~~ *Principles*, ~~1516~~ *Objectives*, ~~37XX~~ *Performance Measures* and ~~101XXX~~ *Indicators*. These requirements include measures to *protect* water quality, *biodiversity*, *wildlife habitat*, species at risk and *Forests with Exceptional Conservation Value*.

Commented [SFI 1]: Will update once all revisions are final.

What the Forest Management Standard Covers

The *SFI 2022 ~~15-2019~~ Forest Management Standard* applies to any organization that owns or has management authority for forestlands.

Geographic Application of the Forest Management Standard

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

1.2 Additional Requirements

SFI Program-Participants *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 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 17021:201~~5~~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 2015-2019 Audit Procedures and *Auditor* Qualifications and Accreditation
- v. Section ~~119~~ - 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 143).

Informative References

- i. ISO 14001:2015~~04~~ Environmental Management Systems - Specification with guidance for use
- ii. PEFC ST 1003:2018~~0~~ Sustainable Forest Management Requirements, November 28~~6~~, 2018~~0~~
- iii. PEFC ST 1002:2018~~0~~ Group Forest Management Certification, November 28~~6~~, 2018~~0~~
- iv. Section 76 - Guidance to SFI 2022~~15-2019~~ Standards
- v. Section 98 - SFI Standards Development and Interpretations Process
- vi. Section 121 - Public Inquiries and Official Complaints
- vii. Section 132 - 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, ~~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 *ecosystem services* such as the *conservation* of soil, air and water quality, ~~climate change 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 productive capacity of the forest land base, and to *protect* and maintain *long-term* forest and soil *productivity*. In addition, to *protect* forests from economically or environmentally undesirable levels of wildfire, pests, diseases, ~~invasive 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* 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 important species and native forest cover types 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 ~~*important*~~, geologically or *culturally important* in a manner that takes into account their unique qualities.

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

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

8. Legal Compliance

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

9. Research

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

10. Training and Education

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

11. Community Involvement and Social Responsibility

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

12. Transparency

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

13. Continual Improvement

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

1.5 Forest Management Standard Objectives

A Summary of the *SFI 20~~22~~15-2019* *Forest Management Standard Objectives* follows:

Objective 1. Forest Management Planning

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

Objective 2. Forest Health and Productivity

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

Objective 3. Protection and Maintenance of Water Resources

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

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 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.~~

Objective 5. Management of Visual Quality and Recreational Benefits

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

Objective 6. Protection of Special Sites

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

Objective 7. Efficient Use of Fiber Resources

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

Objective 8. Recognize and Respect Indigenous Peoples' Rights

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

Objective 9: Climate Smart Forestry

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

Objective 109. Legal and Regulatory Compliance

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

Objective 110. Forestry Research, Science and Technology

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

Objective 124. Training and Education

Commented [SF13]: The new Climate Change Objective captures the intent of this requirement.

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

Objective 132. Community Involvement and Landowner Outreach

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

Objective 143. Public Land Management Responsibilities

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

Objective 154. Communications and Public Reporting

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

Objective 165. Management Review and Continual Improvement

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

1.6 SFI 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.

Performance Measure 1.1. *Program-Participants Certified Organizations* 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, such as including:
 - a. a *long-term* resources analysis;
 - b. a periodic or ongoing *forest inventory*;
 - c. a *land classification* system;
 - d. *biodiversity* at *landscape* scales;
 - e. soils inventory and maps, where available;
 - f. access to *growth-and-yield modeling* capabilities;
 - g. up-to-date maps or a *geographic information system (GIS)*;
 - h. recommended sustainable harvest levels for areas available for harvest; and
 - i. a review of non-timber issues (e.g., recreation, tourism, pilot projects and economic incentive *programs* to promote water *protection*, carbon storage, *bioenergy* feedstock production, or *biological diversity conservation*, or to address climate-induced ecosystem change).
2. Documented current harvest trends fall within *long-term* sustainable levels identified in the forest management plan.

3. A *forest inventory* system and a method to calculate growth and yield.
4. Periodic updates of *forest inventory* and recalculation of planned harvests to account for changes in growth due to *productivity* increases or decreases, ~~including but not limited to~~ such as: 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: eplanting, fertilization and thinning) consistent with assumptions in harvest plans.
6. Assessment of the social, environmental and economic impacts of forest management operations contained in the forest management plan.

Commented [SFI 4]: This was an interpretation which is now incorporated into the Standard. (Interpretation #2, Part 1).

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

Indicators:

1. ~~Program Participants~~ Certified Organizations 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 put any native forest cover types at risk of becoming rare;~~ 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 Forest with Exceptional Conservation Value, old growth forests, forest critical to threatened and endangered species, or special sites;~~ Would not convert native forest types that are rare and ecologically significant at the landscape level or put any native forest types at risk of becoming rare; and
 - c. ~~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 assessment that considers:
 - 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 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 People, and other stakeholders who could be affected by such activities.~~

Commented [SFI 5]: Staff developed guidance regarding appropriate stakeholder consultation.

Performance Measure 1.3. ~~Program Participants~~Certified Organizations 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*. 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.

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*, *minimized* chemical use, soil *conservation*, and protecting forests from damaging agents.

Performance Measure 2.1. ~~Program Participants~~Certified Organizations shall promptly reforest after final harvest.

Indicators:

1. Documented *reforestation* plans, including designation of all harvest areas for either natural, planted or direct seeded regeneration and prompt *reforestation*, unless delayed for site-specific environmental or *forest health* considerations or legal requirements, through *planting* within two years or two *planting* seasons, or by planned *natural regeneration* methods within five years.
2. Clear criteria to judge adequate regeneration and appropriate actions to correct understocked areas and achieve acceptable species composition and stocking rates for *planting*, *direct seeding* and *natural regeneration*.
3. *Plantings* of *exotic tree species* should ~~not increase~~ *minimize* risk to *native* ecosystems.
4. *Protection* of desirable or planned advanced *natural regeneration* during harvest.
5. ~~Any planned Afforestation activity should include a plan~~ *programs* that considers potential ecological impacts of the selection and *planting* of tree species in non-forested *landscapes*.

Commented [SFI 6]: This requirement aligns with PEFC requirement for afforestation (ST 1003: 8.15, 8.2.4, 8.4.5, 8.4.6)

Performance Measure 2.2. ~~Program Participants~~Certified Organizations 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. 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.
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 provincial-trained or certified applicators.
8. Use of management practices appropriate to the situation, ~~for examplesuch 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. filing of required state or provincial reports; and/or
 - j. use of methods to ensure *protection* of *threatened and endangered* species.

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

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 cutting,~~ retained down woody debris and *minimized skid trails*).
4. Retention of vigorous trees during partial harvesting, consistent with scientific silvicultural standards for the area.

Commented [SFI 7]: Definition of 'integrated pest management' was edited to align with PEFC's definition which is adopted from FAO. Section 13 reflects this edit.

Commented [SFI 8]: 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)

5. Criteria that address harvesting and site preparation to *protect* soil *productivity* and soil health.
6. Road construction, ~~and~~ skidding layout, and harvest plan designed to *minimize* impacts to soil *productivity* ~~and soil health~~.

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

Indicators:

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

Performance Measure 2.5. ~~Program-Participants~~Certified Organizations 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. ~~Program-Participants~~Certified Organizations shall meet or exceed all applicable federal, provincial, state and local water quality laws, 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*.

Indicators:

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

Performance Measure 3.2. ~~Program-Participants~~Certified Organizations shall implement water, *wetland* and *riparian protection* ~~programs~~ measures based on soil type, terrain,

vegetation, ecological function, harvesting system, state *best management practices (BMPs)*, provincial guidelines and other applicable factors.

Indicators:

1. *Program* addressing management and *protection* of *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. Mapping of rivers, streams, lakes, *wetlands* and other water bodies as specified in state or provincial *best management practices* and, where appropriate, identification on the ground.
3. Document~~ation~~ and implement~~ation~~ *programs of plans* to manage and *protect* rivers, streams, lakes, *wetlands*, other water bodies and *riparian areas*.
4. ~~Programs Plans~~ that address wet-weather events in order to maintain water quality (~~such as: e.g.,~~ *forest inventory* systems, wet-weather tracts *and* definitions of acceptable operating conditions).

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. ~~Program Participants~~ *Certified Organizations* 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 or collaboratively 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.

Commented [SF19]: New defined term.

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 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.

Commented [SFI 10]: 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 [SFI 11]: Staff has developed guidance to address: the use of credible sources; the link between assessments and informing management practices to aid in landscape-level outcomes; various sources and means to engage with credible partners toward these goals.

Commented [SFI 12]: Staff developed guidance to clarify and offer examples of conditions that can affect biodiversity by virtue of condition, age and/or size classes.

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

4. ~~Program Participants~~Certified Organizations shall participate in or incorporate the results of 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 ~~and provincial~~ wildlife action plans, state forest action plans, relevant *habitat conservation* plans, ~~or provincial wildlife recovery plans, or ecoregional plans.~~
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.~~
6. Identification and *protection* of *non-forested wetlands*, including bogs, fens and marshes, and *vernal pools* ~~that are ecologically important of ecological significance.~~
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.
8. Consider the role of natural disturbances, including the use of prescribed or natural fire where appropriate, and *forest health* threats in relation to *biological diversity* when developing forest management plans.

Commented [SFI 13]: Guidance developed relative to incorporating results into forest management planning.

Commented [SFI 14]: Guidance has been developed 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.

Commented [SFI 15]: *Natural Communities* is now a defined term, to better reflect terminology employed by conservationists and ecologists.

Commented [SFI 16]: Guidance was developed to clarify the relationship between these wetland areas the concept of “natural communities”.

Commented [SFI 17]: This change was made to better reflect current terminology.

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

Indicators:

1. *Program to protect threatened and endangered species.*
2. *Program to locate and protect known sites 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 Plans for protection may be developed independently or collaboratively, and may include Program-Certified Organization Participant management, cooperation with other stakeholders, or use of easements, conservation land sales, exchanges, or other conservation strategies.*
3. Support of and participation in ~~plans or programs~~ for the *conservation of old-growth forests* in the region of ownership or forest tenure.

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

Commented [SFI 18]: ‘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. *Program-Participants*Certified Organizations shall apply knowledge gained through research, science, technology and field experience to manage *wildlife habitat* and contribute to the *conservation of biological diversity*.

Indicators:

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

Objective 5. Management of Visual Quality and Recreational Benefits.

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

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

Indicators:

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

Performance Measure 5.2. *Program-Participants*Certified Organizations 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. *Program-Participants*Certified Organizations shall adopt a *green-up requirement* or alternative methods that provide for *visual quality*.

Indicators:

1. *Program* implementing the *green-up requirement* or alternative methods.

2. Harvest area tracking system to demonstrate conformance with the *green-up requirement* or alternative methods.
3. Trees in clearcut harvest areas are at least 3 years old or 5 feet (1.5 meters) high at the desired level of stocking before adjacent areas are clearcut, or as appropriate to address operational and economic considerations, alternative methods to reach the *performance measure* are utilized by the *Program Participant*.

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

Indicator:

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

Objective 6. Protection of Special Sites.

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

Performance Measure 6.1. ~~*Program-Participants*~~*Certified Organizations* shall ~~have a program to~~ identify *special sites* and manage them in a manner appropriate for their unique features.

Indicators:

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

Commented [SFI 19]: Now a defined term.

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

Objective 7. Efficient Use of Fiber Resources.

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

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

Indicator:

1. *Program* or monitoring system to ensure efficient utilization, ~~which may include using~~ provisions ~~such as to ensure~~:
 - a. management of harvest residue (~~such as: e-g-7~~ slash, limbs, tops) considers economic, social and environmental factors (~~such as e-g-7~~ 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-7~~ bioenergy markets); or

- d. periodic inspections and reports noting utilization and product separation.

Objective 8. Recognize and Respect Indigenous Peoples' Rights.

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

Performance Measure 8.1. ~~Program-Participants~~Certified Organizations shall recognize and respect *Indigenous Peoples'* rights.

Indicators:

1. ~~Program-Participants~~Certified Organizations 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~~
 - ii. ~~federal, provincial and state laws and regulations~~
 - 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.~~

Commented [SFI 20]: This was an interpretation which is now incorporated into the Standard. (Interpretation #1, Part 1).

Performance Measure 8.2. ~~Program-Participants~~Certified Organizations 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 practices; and~~
 - f. ~~respond to Indigenous Peoples' inquiries and concerns received.~~

Performance Measure 8.3. ~~Program-Participants~~Certified Organizations are encouraged to communicate with and shall respond to ~~local~~ *Indigenous Peoples* ~~whose rights may be affected by with respect to sustainable~~forest management practices on their private lands.

Indicators:

1. ~~Program Participants~~Certified Organizations 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 develop a program to identify and address the climate change risk to forests and forest operations and develop appropriate adaptation objectives and strategies based on analysis of available regional climate models, research, and scenario analysis.

Indicators:

1. Based on best scientific information, Certified Organizations shall identify climate change risks and prioritize them based on the likelihood, nature, scale 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, which considers approaches for potential adaptive management.
3. Certified Organizations shall document how their adaptation plan objectives and strategies fit within broader regional climate adaptation strategies and plans, where they exist.

Performance Measure 9.2. Certified Organizations shall have a program to identify and address opportunities for climate change mitigation associated with its forest operations.

Indicators:

1. Based on best scientific information, Certified Organizations shall identify and address opportunities to enhance carbon sequestration on the forests they own or manage considering factors such as:
 - a. 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), reforestation and/or afforestation,
 - b. silvicultural activities to limit the impacts from wildfire, disease or forest pests,
 - c. adjustments to forest management practices, as appropriate.
2. Based on best scientific information, Certified Organizations shall identify and develop a program to address greenhouse gas emissions.

Objective 109. Legal and Regulatory Compliance.

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

Commented [SF121]: Local: a level of elected government below state or province such as county, district, city, township, municipality, town or parish.

Performance Measure 109.1. ~~Program-Participants~~Certified Organizations shall comply with applicable federal, provincial, state and local *forestry* and related social and environmental laws and regulations.

Indicators:

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

Performance Measure 109.2. ~~Program-Participants~~Certified Organizations 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.

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 22]: Alignment with PEFC requirements.

Objective 119. 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 23]: The new Climate Change Objective will capture the intent of this requirement.

Performance Measure 119.1. ~~Program-Participants~~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.

Indicators:

1. Financial or in-kind support of research to address questions of relevance in the region of operations. Examples could include, but are not limited to, areas of forest *productivity*, water quality, biodiversity, landscape ecology, community issues, support for Forest Inventory Analysis (FIA), SFI's Conservation Grant Program, or similar areas which build broader understanding of the benefits and impacts of forest management.
2. Research on genetically ~~modified engineered~~ trees via *forest tree biotechnology* shall adhere to all applicable federal, state, and provincial regulations and international protocols ratified by the United States and/or Canada depending on jurisdiction of management.

Commented [SFI 24]: Adopting the term 'genetically modified' trees to align with PEFC terminology.

3. Consider the sharing of knowledge gained through research in appropriate formats to influence sustainable forest management.

Commented [SFI 25]: New indicator to encourage knowledge sharing.

Performance Measure 1~~9~~.2. ~~Program-Participants~~*Certified Organizations* shall individually and/or through cooperative efforts involving *SFI Implementation Committees*, associations or other partners develop or use state, provincial or regional analyses in support of their sustainable forestry programs.

Indicator:

1. Participation, individually and/or through cooperative efforts involving *SFI Implementation Committees* and/or associations at the national, state, provincial or regional level, in the development ~~or use of some of the following 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.

Performance Measure 10.3. ~~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 26]: This Performance Measure is no longer needed due to the new Climate Change Objective.

Objective 1~~2~~. Training and Education.

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

Performance Measure 1~~2~~.1. ~~Program-Participants~~*Certified Organizations* shall require appropriate training of personnel and contractors so that they are competent to fulfill their responsibilities under the *SFI 2015-2019 Forest Management Standard*.

Indicators:

1. Written statement of commitment to the *SFI 20~~22~~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 20~~22~~15-2019 Forest Management Standard objectives*.
3. Staff education and training sufficient to their roles and responsibilities.

4. Contractor education and training sufficient to their roles and responsibilities.

5. ~~Program Participants~~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*.

Performance Measure 12.1.2. ~~Program Participants~~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 ~~and periodic continuing education~~ that address:

- a. awareness of *sustainable forestry principles* and the *SFI program*;
- b. *best management practices*, including streamside management and road construction, maintenance and retirement;
- ~~c. reforestation, invasive exotic plants and animals, forest resource conservation, aesthetics and special sites;~~
- ~~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 biodiversity and wildlife habitat* ~~(e.g., Forests with Exceptional Conservation Value)~~; 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~~
- ~~k. awareness of emerging technologies.~~

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: The SIC approved wood producer training programs shall have a continuing education component with coursework that supports the current training programs, safety and the principles of sustainable forestry:~~

- ~~a. reforestation, invasive species-exotic plants and animals, 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;~~

Commented [SFI 27]: New definition proposed by to replace *certified logging professional*.

certified logging company: 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*.

Commented [SFI 28]: Moved to PM 11.3, Indicator 2 under continuing education requirements.

Commented [SFI 29]: Moved to continuing education – PM 11.3, Indicator 2

Commented [SFI 30]: New Indicator to call out Continuing Education for Qualified Logging Professionals.

Commented [SFI 31]: New Definition:

natural community: Natural communities are combinations of native plants and animals that are regularly found together in particular settings, where human-caused changes to composition have been minimal, or the natural community has recovered from that disturbance. (adopted from the US National Vegetation Classification).

- f. awareness of emerging technologies;
- g. logging safety; and
- h. trends related to the effectiveness of the *SFI Implementation Committee* approved *wood producer* training programs.

Performance Measure 124.3. *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.

Commented [SFI 32]: New Performance Measure to emphasize Certified Logging Companies.

- 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*.

Objective 132. 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 132.1. ~~Program-Participants~~ *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 collaboratively, 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., 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.
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 Grant Program.

Performance Measure 132.2. ~~Program-Participants~~*Certified Organizations* shall support and promote, at the state, provincial or other appropriate levels, mechanisms for public outreach, education and involvement related to sustainable forest management.

Indicator:

1. Periodic educational opportunities 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 132.3. ~~Program-Participants~~*Certified Organizations* shall establish, at the state, provincial, or other appropriate levels, procedures to address concerns raised by loggers, consulting foresters, employees, unions, the public or other ~~Program~~*Participants**Certified Organizations* regarding management practices that appears inconsistent with the *SFI Standard principles and objectives*.

Indicators:

1. Support for *SFI Implementation Committees* (e.g., toll-free numbers and other efforts) to address concerns about apparent 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 143: Public Land Management Responsibilities.

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

Performance Measure 143.1. ~~Program-Participants~~*Certified Organizations* 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 154. Communications and Public Reporting.

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

Performance Measure 154.1. 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 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 ~~Program-Participant's~~*Certified organization's* forestland included in the audit;
 - e. the name of the *certification body* and *lead auditor* (names of the *audit team* members, including *technical experts* may be included at the discretion of the *audit team* and *Program Participant*);
 - f. the dates the audit was conducted and completed;
 - g. a summary of the findings, including general descriptions of evidence of conformity and any nonconformities and corrective action plans to address them, opportunities for improvement, and exceptional *management practices*; and
 - h. the certification decision.

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

Performance Measure 154.2. ~~Program-Participants~~*Certified Organizations* 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 165. 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 165.1. *Program-Participants* *Certified Organizations* 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 2022-15-2019 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 2022-15-2019 Forest Management Standard*.

Commented [SFI 33]: This was an interpretation which is now incorporated into the Standard. (Interpretation #2, Part 1).



SFI 2022 Fiber Sourcing Standard
(Section 3)

May 1, 2020

Table of Contents

| | |
|--|----|
| 1. GENERAL | 3 |
| 1.1 SCOPE | 3 |
| 1.2 ADDITIONAL REQUIREMENTS | 3 |
| 1.3 REFERENCES | 3 |
| 1.4 FIBER SOURCING STANDARD PRINCIPLES | 4 |
| 1.5 SFI 2022 FIBER SOURCING OBJECTIVES | 6 |
| 1.6 SFI 2022 FIBER SOURCING REQUIREMENTS | 7 |
| <i>Objective 1. Biodiversity in Fiber Sourcing.</i> | 7 |
| <i>Objective 2. Adherence to Best Management Practices.</i> | 8 |
| <i>Objective 3. Use of Qualified Resource and Qualified Logging Professionals.</i> | 9 |
| <i>Objective 4. Legal and Regulatory Compliance.</i> | 9 |
| <i>Objective 5. Forestry Research, Science and Technology.</i> | 10 |
| <i>Objective 6. Training and Education.</i> | 11 |
| <i>Objective 7. Community Involvement and Landowner Outreach.</i> | 13 |
| <i>Objective 8. Public Land Management Responsibilities.</i> | 15 |
| <i>Objective 9. Communications and Public Reporting.</i> | 15 |
| <i>Objective 10. Management Review and Continual Improvement.</i> | 16 |
| <i>Objective 11. Avoid Controversial Sources.</i> | 17 |

1. General

1.1 Scope

What the *Fiber Sourcing Standard* Does

The *SFI 2022+5-2019 Fiber Sourcing Standard* promotes responsible *forestry practices* based on ~~14XX~~ *Principles*, ~~13XX~~ *Objectives*, ~~24XX~~ *Performance Measures* and ~~55XX~~ *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.

Commented [SFI1]: Will update once all revisions are final.

Commented [SFI 2]: 'protect' now defined as being the same intent as 'protection'

What the *Fiber Sourcing Standard* Covers

The *SFI 2022+5-2019 Fiber Sourcing Standard* applies to any organization with a *fiber sourcing* program that acquires roundwood and field-manufactured or primary-mill residual chips, pulp and veneer to support a forest products facility. Appendix 1 applies to any *primary producer* or *secondary producer* who uses the *SFI Certified Sourcing* on-product label or claim.

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*.

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

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*.

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

Geographic Application of the *Fiber Sourcing Standard*

The *SFI 2022+5-2019 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.~~

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

1.2 Additional Requirements

~~SFI Program Participants~~ *Certified Organizations* that own or have management authority for forestlands must also conform to the *SFI 2022+5-2019 Forest Management Standard*.

Use of the *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.

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 17021:2015~~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 ~~2022+5-2019~~ 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+5-2019~~ 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 14001:20~~15~~~~04~~ Environmental Management Systems - Specification with guidance for use
- ii. PEFC ST 1003:20~~18~~~~10~~ Sustainable Forest Management Requirements, November ~~286~~, 20~~18~~~~10~~
- iii. Section ~~76~~ - Guidance to *SFI* ~~2022+5-2019~~ 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 ~~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 ~~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 *ecosystem services* such as the *conservation* of soil,

air and water quality, ~~climate change 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 productive capacity of the forest land base, and to *protect* and maintain *long-term* forest and soil *productivity*. In addition, to *protect* forests from economically or environmentally undesirable levels of wildfire, pests, diseases, *invasive* ~~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* 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 important species and native forest cover types 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* ~~important~~, geologically or *culturally important* in a manner that takes into account their unique qualities.

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

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

8. Legal Compliance

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

9. Research

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

10. Training and Education

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

11. Community Involvement and Social Responsibility

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

12. Transparency

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

13. Continual Improvement

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

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

To avoid wood fiber from ~~controversial sources, illegally logged forests~~ when procuring fiber ~~outside of in the United States, Canada and globally, North America, and to avoid sourcing fiber from countries without effective social laws.~~

Commented [SFI6]: 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 20~~22~~15-2019 Fiber Sourcing Standard Objectives* follows:

Objective 1. *Biodiversity in Fiber Sourcing*

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

Objective 2. *Adherence to Best Management Practices*

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

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

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

Objective 4. *Legal and Regulatory Compliance*

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

Objective 5. *Forestry Research, Science and Technology*

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

Objective 6. *Training and Education*

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

Objective 7. *Community Involvement and Landowner Outreach*

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

Objective 8. *Public Land Management Responsibilities*

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

Objective 9. Communications and Public Reporting

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

Objective 10. Management Review and Continual Improvement

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

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

~~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 7]: New objective with the due diligence system requirements for assessing risk of fiber from controversial sources.

Commented [SFI 8]: In light of the new DDS requirements in the Standard the Fiber Sourcing Task Group is proposing that these could be removed as they will be redundant.

1.6 SFI 20~~22~~¹⁵–2019 Fiber Sourcing Requirements

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

Objective 1. Biodiversity in Fiber Sourcing.

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

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

Indicators:

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

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

Indicators:

1. Certified Organization shall conduct an assessment, individually or collaboratively, 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 for qualified logging professionals; or
 - c. through in-the-forest verification by certified logging companies~~professionals~~; or
 - d. forest landowner outreach; or
 - e. SFI Implementation Committee involvement.
3. Certified Organization 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 for purchased stumpage.

Objective 2. Adherence to Best Management Practices.

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

Performance Measure 2.1. ~~Program-Participants~~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*.

Commented [SFI 9]: This was moved to 2.2.1.a

23. Program to address adverse weather conditions.

34. ~~Program-Participants~~Certified Organizations shall clearly define their *fiber sourcing policies* in writing and make them available to *wood producers*.

Performance Measure 2.2. ~~Program-Participants~~Certified Organizations shall, individually or 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 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 and Qualified Logging Professionals.

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

Performance Measure 3.1. ~~*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.

Indicators:

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

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 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*~~.

Indicators:

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

~~4. Program to assess the risk that the *Program Participant's fiber sourcing* program could acquire material from as defined by Controversial sources is considering some of the following:~~

- ~~a. communications with suppliers;~~
- ~~b. independent research;~~

Commented [SFI 10]: New definition developed

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 logger certification program recognized by the *SFI Implementation Committee* as meeting the criteria of PM 11.2 in the SFI Forest Management Standard or PM 6.3. in the SFI Fiber Sourcing Standard.)

Commented [SFI11]: deleted as this is now addressed in the avoidance of controversial sources Objective 11.

- c. ~~contract documentation; and~~
- d. ~~maintain records.~~

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

Performance Measure 4.2. ~~Program-Participants~~Certified Organizations 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 [SFI12]: Deleted as this is now addressed in the avoidance of controversial sources Objective 11

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.

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

Indicators:

1. Financial or in-kind support of research to address questions of relevance in the region of operations. ~~Examples could include, but are not limited to areas of~~ forest *productivity*, water quality, biodiversity, landscape ecology, community issues, support for Forest Inventory Analysis (FIA), SFI Conservation Grant Program, or similar areas which build broader understanding of the benefits and impacts of forest management.
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.
3. Consider the sharing of knowledge gained through research in appropriate formats to influence sustainable forest management.

Commented [SFI 13]: Adopting the term 'genetically modified' trees to align with PEFC terminology.

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

Indicator:

1. Participation, individually and/or through cooperative efforts involving *SFI Implementation Committees* and/or associations at the national, state, provincial or regional level, in the development ~~or use of some of the following 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 or economic benefit assessments.

Performance Measure 5.3. ~~*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*.

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 require appropriate training of personnel and contractors so that they are competent to fulfill their responsibilities under the *SFI 20~~22~~²¹~~15~~-2019* Fiber Sourcing Standard.

Indicators:

1. Written statement of commitment to the *SFI 20~~21~~²¹~~15~~-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 20~~21~~²¹~~15~~-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*.

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:
- has completed the SFI Implementation Committee approved wood producer training program;
 - is an owner of, employee of, or contracted by the wood producer;
 - 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.

Performance Measure 6.2. Program-ParticipantsCertified 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:

- Participation in or support of SFI Implementation Committees to establish criteria and identify delivery mechanisms for wood producer core training courses that address~~and periodic continuing education that address:~~
 - awareness of sustainable forestry principles and the SFI program;
 - best management practices, including streamside management and road construction, maintenance and retirement;
 - ~~reforestation, invasive exotic plants and animals, forest resource conservation, aesthetics and special sites;~~
 - ~~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);~~
 - ~~awareness of rare forested natural communities as identified by provincial or state agencies, or by credible organizations such as NatureServe, The Nature Conservancy, etc.;~~
 - logging safety;
 - 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.
 - transportation issues;
 - business management;
 - public policy and outreach; and
 - awareness of emerging technologies;
- 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: ~~The SIC approved wood-producer training programs shall have a continuing education component with coursework that supports the current training programs;~~
 - reforestation, invasive species, forest resource conservation, aesthetics and special sites;
 - awareness of rare forested natural communities as identified by provincial or state agencies, or by credible organizations such as NatureServe or The Nature Conservancy;

Commented [SFI 14]: Moved to continuing education – indicator 6.2.2.

Commented [SFI 15]: Moved to continuing education – indicator 6.2.2.

Commented [SFI 16]: Moved to continuing education – indicator 6.2.2.

- c. transportation issues;
- d. business management;
- e. public policy and outreach;
- f. awareness of emerging technologies;
- g. logging safety; and
- h. the ~~principles of sustainable forestry~~ observed trends regarding the effectiveness of the SFI Implementation Committee approved wood producer training programs.

Performance Measure 6.3. 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 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 or 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.

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 support and promote efforts by consulting foresters, state, provincial and federal agencies, state or local groups, professional societies, *conservation* organizations, *Indigenous Peoples* and governments, community groups, sporting organizations, labor, universities, extension agencies,

the *American Tree Farm System*® and/or other landowner cooperative *programs* to apply *principles* of sustainable forest management.

Indicators:

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

Indicator:

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

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

Indicators:

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

Objective 8. Public Land Management Responsibilities.

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

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

Indicators:

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

Objective 9. Communications and Public Reporting.

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

Performance Measure 9.1. 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 2022-2024 Fiber Sourcing Standard*.

Indicator:

1. The summary audit report submitted by the ~~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 *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*);
- f. the dates the audit was conducted and completed;
- g. a summary of the findings, including general descriptions of evidence of conformity and any nonconformities and corrective action plans to address them, opportunities for improvement, and exceptional practices; and
- h. the certification decision.

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

Performance Measure 9.2. *Program Participants 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 2022-15-2019 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 establish a management review system to examine findings and progress in implementing the *SFI 2022-15-2019 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 2022-15-2019 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 2022-15-2019 Fiber Sourcing Standard*.

Objective 11. Avoid Controversial Sources.

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

Commented [SFI 17]: New objective with the due diligence system requirements for assessing risk of fiber from controversial sources.

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

Indicators:

1. The *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 *Certified Organization* can consider fiber low risk and exempt from further due diligence when:
 - a. Procured 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 with a valid *SFI Section 3 (SFI Fiber Sourcing Standard)* certificate that clearly indicates that the source is within the scope of the certification; or
 - c. Procured with a valid *SFI Section 4 (SFI Chain of Custody Standard)*, or other *credible chain of custody standard* certificate; or
 - d. Procured with a valid *SFI Section 5 (SFI Certified Sourcing Standard)* certificate that clearly indicates that the source is within the scope of the certification; or
 - e. Sourced from recycled forest-based products.

Performance Measure 11.2. The *Certified Organization* shall have a process to conduct a risk assessment.

Indicators:

1. The *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 *Certified Organization* shall review, and if necessary, revise its risk ratings on at least an annual basis.
5. The *Certified Organization* shall conduct a risk assessment before the first time of delivery for each new region of supply.

Performance Measure 11.3. The *Certified Organization* shall have a process to assess substantiated concerns.

Indicators:

1. The *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 *Certified Organization* itself.
2. The *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 *Certified Organization* shall have a process to mitigate the risk of sourcing high risk fiber.

Indicators:

1. Where the risk assessment determines high risk, the *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 a *Certified Organization* receives fiber, and then learns the fiber may be from *controversial sources*, the fiber shall be segregated and prevented from entering the supply chain. If subsequent verification demonstrates that the risk of this fiber originating from *controversial sources* is low, the fiber can re-enter the supply chain.
4. The *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:
 - 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.
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 *Certified Organization* shall have a process to avoid *controversial sources*.

Indicator:

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.

~~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:~~

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

~~Objective 12. Avoidance of Controversial Sources including Illegal Logging.~~
To avoid ~~illegal logging in fiber sourcing programs.~~

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

~~(See Section 7—SFI Policies.)~~

~~Indicators:~~

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

Objective 13. Avoidance of Controversial Sources including Fiber Sourced from Areas without Effective Social Laws. ~~To avoid controversial sources in fiber sourcing programs;~~

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

Indicators:

- ~~1. Process to assess the risk that the Program Participant's fiber sourcing could take place in countries without effective laws addressing the following:~~
 - ~~a. workers' health and safety;~~

Commented [SFI 18]: 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 Standard
(Section 4)**

May 1, 2020

Table of Contents

Preface

Commented [SFI 1]: The new Section 1 will serve as an intro.

| | |
|--|----|
| PART 1: GENERAL | 4 |
| 1.2 ADDITIONAL REQUIREMENTS | 4 |
| 1.3 REFERENCES | 4 |
| PART 2: REQUIREMENTS FOR CHAIN OF CUSTODY PROCESS | 5 |
| 2.1 GENERAL REQUIREMENTS FOR PHYSICAL SEPARATION | 6 |
| 2.2 SEPARATION OF THE <i>CERTIFIED CONTENT</i> | 7 |
| PART 3: AVERAGE PERCENTAGE METHOD AND VOLUME CREDIT METHOD (MIXING INPUTS) | 8 |
| 3.1 GENERAL REQUIREMENTS FOR MIXING OF INPUTS | 8 |
| 3.2 DEFINITION OF THE <i>PRODUCT GROUP</i> | 9 |
| 3.3 CALCULATION OF THE CERTIFIED PERCENTAGE | 10 |
| 3.4 AVERAGE PERCENTAGE METHOD | 11 |
| 3.5 VOLUME CREDIT METHOD | 12 |
| PART 4: IDENTIFICATION OF THE <i>ORIGIN</i> | 14 |
| 4.1 IDENTIFICATION AT DELIVERY LEVEL | 14 |
| 4.2 IDENTIFICATION AT SUPPLIER LEVEL | 14 |
| PART 5: SALE OF <i>CERTIFIED CONTENT</i> PRODUCTS | 14 |
| PART 6: REPORTING REQUIREMENTS | 15 |
| 6.1 | 15 |
| PART 7: DUE DILIGENCE SYSTEM TO AVOID <i>CONTROVERSIAL SOURCES</i> | 15 |
| 7.1 DEFINITION OF CONTROVERSIAL SOURCES | 16 |
| 7.2 ACCESS TO INFORMATION | 16 |
| 7.3 CONDUCTING A RISK ASSESSMENT | 17 |
| 7.4 SUBSTANTIATED CONCERNS DUE TO ORGANIZATION'S RISK ASSESSMENT | 18 |
| 7.5 MANAGEMENT OF "HIGH" RISK FOREST-BASED PRODUCTS | 19 |
| 7.6 AVOIDANCE OF CONTROVERSIAL SOURCES | 20 |
| PART 8: MINIMUM MANAGEMENT SYSTEM REQUIREMENTS | 20 |
| 8.1 GENERAL REQUIREMENTS | 20 |
| 8.2 RESPONSIBILITIES AND AUTHORITIES FOR CHAIN OF CUSTODY | 20 |
| 8.3 DOCUMENTED PROCEDURES | 21 |
| 8.4 RECORD KEEPING | 21 |
| 8.5 RESOURCE MANAGEMENT | 22 |
| 8.6 INTERNAL AUDIT AND MANAGEMENT REVIEW | 22 |
| PART 9: OUTSOURCING AGREEMENTS | 23 |
| APPENDIX 1: CALCULATION OF THE CERTIFICATION PERCENTAGE | 25 |
| DEFINITION OF THE <i>PRODUCT GROUP</i> | 25 |
| CALCULATION OF THE CERTIFICATION PERCENTAGE | 25 |
| VOLUME CREDIT ACCUMULATION | 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 202215-2019 Chain-of-Custody Standard and Associated Labels, implemented together with certification to the SFI 202215-2019 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 202215-2019 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 demand for green building and responsible paper purchasing, and only 10 percent of the world's forests are certified.~~ **Part 1: General**

1.1 Scope

What the Chain of Custody Standard Does

The *SFI 2022 15-2019 Chain of Custody Standard* is an accounting system that tracks forest fiber content through production and manufacturing to the end product. Companies can use chain of custody certification to track and communicate how much of their product comes from certified lands, certified *fiber sourcing*, *recycled content* and/or *non-certified forest content*.

What the Chain of Custody Standard Covers

The *SFI 2022 15-2019 Chain of Custody Standard* applies to any organization that sources, processes, manufactures, handles, trades, 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 Chain of Custody Standard.

A certified organization (such as a warehouse or distribution center) that passes on SFI certified material/product does not need an SFI chain of custody system provided the SFI certified material/product is in its original packaging and the material/product is identified with an SFI chain of custody on-product label.

Commented [SFI 2]: This was moved from guidance (Section 6 - 14.3) into the COC standard.

Geographic Application of the Chain of Custody Standard

The *SFI 2022 15-2019 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*.

Use of the *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.

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 2022-15-2019 Forest Management Standard*
- vi. Section 3 - *SFI 2022-15-2019 Fiber Sourcing Standard*
- vii. *Section 4 - SFI 2022 Chain of Custody Standard*
- viii. *Section 5 – SFI 2022 Certified Sourcing Standard*
- ix. Section 65 - Rules for Use of *SFI*-On-Product Labels and Off-Product Marks
- x. Section 87 - *SFI Policies*
- xi. Section 109 - Appendix 1: Audits of Multi-Site Organizations
- xii. Section 121 - Public Inquiries and Official Complaints
- xiii. 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 9001:2015 Quality management systems – Requirements
- iii. ISO 14001:2015 Environmental Management Systems - Specification with guidance for use
- iv. PEFC ST 2002:2013 Chain of Custody of Forest-Based Products - Requirements, February-May 24 2013
- 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

Commented [SFI 3]: Moved sections so all methods are under one section, and claims and inputs under another section.

2.1 General Requirements for Physical Separation

- 2.1.1 The *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 *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 A *certified organization* who makes *SFI* claims or uses the *SFI* on-product label in association with *non-timber forest products* shall apply the physical separation method to ensure *non-timber forest products* are sourced from *SFI*-certified lands.

~~2.2 Identification of the *Origin*~~

~~2.2.1 Identification at Delivery Level~~

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

- ~~a. supplier identification,~~
- ~~b. quantity of delivery,~~
- ~~c. date of delivery / delivery period / accounting period,~~
- ~~d. category of *origin*,~~
- ~~i. *SFI Certified Forest Content* – Raw material from a forest certified to an acceptable forest management standard constitutes a claim of 100 percent certified forest content~~
- ~~ii. *SFI Certified Sourcing*~~
- ~~iii. *Post-Consumer Recycled*~~
- ~~iv. *Pre-Consumer Recycled*~~
- ~~v. *SFI Recycled Content*~~
- ~~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 (Mixing Inputs)

3.1 General Requirements for Mixing of Inputs

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

3.2 Definition of the *Product Group*

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

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

- a. 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/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 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.

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

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

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

~~3.3 Identification of the Origin~~

~~3.3.1 Identification at Delivery/Receipt Level~~

~~The *organization* shall identify and verify the category of origin of all procured raw material that is received. 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 6]: 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* shall calculate the certification percentage separately for each *claim period* according to the following formula:~~

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

P_c Certification percentage
V_c *Certified content*

Vo 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 tracking.

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

- 3.34.5** The *certified organization* applying the simple certification percentage shall base the calculation of Pc (the certification percentage) for each *product group* on the figures for Vc (*certified content*) and Vo (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 *certified organization* applying the rolling average certification percentage shall base the calculation of Pc (the certification percentage) for each *product group* and *claim period* on the figures for Vc (*certified content*) and Vo (other raw material) for a specified number of prior *claim 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 *certified organization* applying the average percentage method can claim all the products covered by the *claim period*, provided that the percent of *certified content* is clearly communicated. In order 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."



Commented [SFI 7]: label use examples moved from this section. Only claims are listed. Labels are all included in Section 5.

3.45.2 If a *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.~~

3.56 Volume Credit Method

3.56.1 The *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 credit shall be distributed to the output products from the volume credit account in a way that all products sold as certified are sold as 100 percent certified.

3.56.2 The *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* shall calculate the volume credits using either:

- certification percentage (clause 3.34) and volume of output products (clause 3.56.4) or
- 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* 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* 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* can accumulate the *SFI* Certified Credits or Recycled Credits by creating a volume credit account, which can be used for the next *claim period*.

- i. 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.
- ii. A certified organization using the Volume Credit method can start counting all eligible credit after the completion of a successful internal audit of the chain of custody system and completion of a management review of the chain of custody system performance. Eligible credits can be accumulated up to 365 days prior to the initial registration audit. Accumulated credits can be utilized for the sale of products only after successful completion of the registration audit and receipt of the chain of custody certificate from their certification body.

Commented [SFI 8]: Alignment with PEFC. Need a table or guidance on how a certified organization can move from 12 to 24 months.

Commented [SFI 9]: 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.~~

Commented [SFI 10]: Moved into sales section below.

Part 4: Identification of the *Origin*

42.1 ~~2.1~~ Identification at Delivery Level

The *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. X% *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* or X% *SFI Certified Sourcing*
 - iii. X% *Post-Consumer Recycled*
 - iv. X% *Pre-Consumer Recycled*
 - v. X% *SFI Recycled Content*
 - 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. 100% Certified Forest 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 *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: A *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* 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.

Part 5: Sale of Certified Content Products

Commented [SFI11]: New separate section following Requirements for COC Process.

Claim alignment with Section 5 matrix approach

Commented [SFI12]: Aligned with section 5 claims

Commented [SFI13]: New – non timber forest products claim

Commented [SFI14]: Directly from SFI Forest management certified organization.

Commented [SFI15]: 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* 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* 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.)
 - 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. 100% Certified Forest Content
- e. the *certified organization's* chain of custody number.

Commented [SFI16]: Claim alignment. 'SFI' portion of claim not required.

Commented [SFI17]: New – non timber forest products claim

Commented [SFI18]: Directly from SFI Forest management certified organization.

5.3 If the *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 202215-2019 Standards and Rules*).

Commented [SFI19]: 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 *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 [SFI20]: New section and requirement. Aligns with approach from Certified Sourcing Standard.

Part 74: Due Diligence System to Avoid *Controversial Sources*

Commented [SFI21]: Aligns with new DDS for fiber sourcing and certified sourcing.

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 are contributing to regional declines in habitat conservation and species protection (including biodiversity and special sites, threatened and endangered species).
- c. Conversion sources originating from regions experiencing forest area decline.
- 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 22]: 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.~~

74.2.1 The *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* can consider forest based products low risk and exempt from further due diligence when:

- a. Procured 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 with a valid SFI Section 3 (*SFI Fiber Sourcing Standard*) certificate that clearly indicates that the source is within the scope of the certification; or
- c. Procured with a valid SFI Section 4 (*SFI Chain of Custody Standard*), or other *credible chain of custody standard* certificate;
- d. Procured with a valid SFI Section 5 (*SFI Certified Sourcing Standard*) certificate; or
- d. Sourced from recycled forest-based products.

Commented [SFI 23]: Replaces former 4.2 Verification of Purchased Products

74.3 Conducting a Risk Assessment

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

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

74.3.5 The *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 24]: 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 25]: Replaced by new 7.5.

74.4.1 The *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* itself.

74.4.2 The *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 26]: 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* 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 participant has in place to substantially reduce the risk of sourcing forest-based products from *controversial sources*.

74.5.3 Where a *certified organization* receives forest-based products, and then learns these forest-based products may be from *controversial sources*, these forest-based products must be segregated and prevented from entering the chain of custody system. 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 system.

74.5.4 The *certified organization* shall identify the verifiable measures that the *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:

- 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.

74.5.5 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.

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

Note: A ~~certified organization's~~ organization's quality (ISO 9001:2015) or environmental (ISO 14001:2015) 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

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

85.2.2 The ~~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.

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

85.2.4 The ~~certified organization~~ 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).

85.2.5 The ~~certified organization~~ organization shall identify personnel performing work affecting the implementation and maintenance of the chain of custody, and establish and set responsibilities and authorities relating to the chain of custody process:

- raw material procurement and identification of the *origin*;

Commented [SFI 27]: Added to align with PEFC CoC Standard requirement 4.10

- b. product processing covering physical separation or percentage calculation and transfer into output products;
- c. product sale and labeling;
- d. record keeping; and
- e. internal audits and nonconformity control.

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

8.2.6 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* 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 28]: This was an interpretation which is now incorporated into the Standard. (Interpretation #1, Part 3).

85.3 Documented Procedures

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

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

85.4 Record Keeping

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

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

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

85.5.2 Technical Facilities:

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

85.6 Internal Audit and Management Review

8.6.1 The ~~certified organization~~ shall conduct internal audits at 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 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 – 9.6.

85.6.2 The ~~certified organization~~ 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 2021-5-2019 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~~.

Commented [SFI 29]: March 2020 interpretation. Part 3: number 4. Builds in efficiency for certified organizations large multisite certificates.

~~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 30]: Moved to Outsourcing.

~~85.6.37~~ The *certified organization* ~~organization~~ shall have its rationale for remote audits and its sampling procedure audited by its third-party certifier.

~~85.6.48~~ The results of internal audits shall be reported to management for review during the annual management review.

Part 96: Outsourcing Agreements

Commented [SFI 31]: 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* may outsource activities covered by its SFI chain of custody to another entity.

~~96.2~~ Through all stages of outsourcing the *certified organization* shall be responsible for ensuring that all outsourced activities meet the requirements of this standard, including management system requirements. The *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's* SFI chain of custody are physically separated from other material or products.
- ~~b.~~ The *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.

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* has outsourced activities within the scope of its chain of custody, the *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:

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

Commented [SFI 32]: Replaced with new Outsourcing Requirements to align with PEFC.

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 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 *product group*

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

Calculation of the Certification Percentage

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

Simple Percentage

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

Rolling Average Percentage

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

Example of a Three-Month Rolling Average

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

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

Table 2: Example of three-month rolling average

| 1 | 2 | 3 | 4 | 5 | 6 |
|-----------------------------------|---|--|---|---|--|
| No. of the 1-month calcul. period | Volume of certified raw material procured (tons) * | Volume of other raw material (tons) * | Sum of volumes of certified raw material for previous 3 months (tons) | Sum of volumes of other raw material for previous 3 months (tons) | 3-month rolling average percentage |
| j=i | V _c | V _o | V _c (3) | V _o (3) | P _c (3) |
| | | | $V_c(3) = \sum_{j=i}^{i-2} V_{c_j}$ | $V_o(3) = \sum_{j=i}^{i-2} V_{o_j}$ | $P_c = \frac{V_c(3)}{V_c(3) + V_o(3)}$ |
| 1 | 11 | 90 | 11 | 90 | 10.89% |
| 2 | 12 | 90 | 23 | 180 | 11.33% |
| 3 | 13 | 90 | 36 | 270 | 11.76% |
| 4 | 14 | 90 | 39 | 270 | 12.62% |
| 5 | 15 | 90 | 42 | 270 | 13.46% |
| 6 | 16 | 90 | 45 | 270 | 14.29% |
| 7 | 17 | 90 | 48 | 270 | 15.09% |

| | | | | | |
|-----------|----|----|----|-----|--------|
| 8 | 18 | 90 | 51 | 270 | 15.89% |
| 9 | 19 | 90 | 54 | 270 | 16.67% |
| 10 | 20 | 90 | 57 | 270 | 17.43% |
| 11 | 21 | 90 | 60 | 270 | 18.18% |
| Continues | | | | | |

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

Example of calculation given in Table 2:

- [column 4] Volume of certified raw material is calculated as sum of volumes of certified raw material procured in the previous 3 months.
 $Vc(3)_6 = Vc_6 + Vc_5 + Vc_4$; $Vc(3)_6 = 16 + 15 + 14 = \mathbf{45}$ [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 product group | Credit volume for the product group | 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].

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

Total quantity accumulated in the credit account cannot exceed volume credits entered into the volume credit in the previous twelve 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 months [column 2, month 4-15].

$$[4] = [2]_4 + [2]_5 + [2]_6 + [2]_7 + [2]_8 + [2]_9 + [2]_{10} + [2]_{11} + [2]_{12} + [2]_{13} + [2]_{14} + [2]_{15} =$$

$$= 8.56 + 9.28 + 9.99 + 10.70 + 11.41 + 12.12 + 12.83 + 13.54 + 14.25 + 14.96 + 15.68 + 16.38 =$$

$$= \mathbf{149.72 \text{ [tons]}}$$

Use of the Volume Credit

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

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

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

Appendix 2: ~~SFI Chain-of-Custody Certificate Requirements~~

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

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

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

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



- c. The logo of the accreditation firm (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-*

Commented [SFI 33]: Move to Audit Procedures and Auditor Qualifications and Accreditation (Section 9) and provide guidance on FM and FS certificates.

~~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

Commented [SFI34]: This is covered by the term, "other credible chain of custody standards"

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.
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)**

May 1, 2020

Commented [SFI1]: The requirements for use of the “certified sourcing” label is currently located as an Appendix in the Fiber Sourcing Standard. These include requirements for both primary manufacturers as well as secondary manufacturers. A primary manufacturer needs to ensure their facility is certified to the Fiber Sourcing Standard, whereas a secondary manufacturer has a separate audit to ensure they meet the requirements. The Task Group recommends separating the requirements into their own section to better communicate what the “Certified Sourcing” label represents as well as assist with audit efficiencies.

Table of Contents

~~Appendix 1: Rules for Use of SFI-Certified Sourcing Label~~

| | | |
|--|-------------|----|
| 1.1 | SCOPE | 4 |
| 1.2 | PURPOSE | 4 |
| PART 2: NORMATIVE AND INFORMATIVE REFERENCES | | 4 |
| 2.1 | NORMATIVE | 4 |
| 2.2 | INFORMATIVE | 5 |
| PART 3: CREATING A <i>CERTIFIED SOURCING</i> CLAIM | | 5 |
| PART 4: ORGANIZATIONS OUTSIDE THE UNITED STATES AND CANADA | | 7 |
| PART 5: <i>CERTIFIED SOURCING</i> DEFINITION | | 7 |
| PART 6: SALE OF PRODUCTS | | 8 |
| PART 7: DUE DILIGENCE SYSTEM TO AVOID <i>CONTROVERSIAL SOURCES</i> | | 9 |
| PART 8: MINIMUM MANAGEMENT SYSTEM REQUIREMENTS | | 13 |
| PART 9: APPLICATION REQUIREMENTS | | 17 |

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.

Commented [SFI 2]: The new Section 1 will serve as an intro.

Part 1: Scope and Purpose

1.1 Scope

This section describes the requirements for ~~Program-Participants~~*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 with a valid SFI Chain of Custody certificate may use their 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 3]: 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* ~~and secondary producers~~ must meet in order to manufacturer product with a SFI Certified Sourcing claim. use the SFI on-product label.

Commented [SFI14]: Deleted because secondary producers are included in the definition of Certified Organizations.

1.3 Label

The following label applies to this section.



Part 2: Normative and Informative References

2.1 Normative

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

- i. ISO/IEC 17065:2012 - Conformity Assessment - Requirements for bodies certifying product, process and services

- ii. Sections 2 and 3 - *SFI 20~~22~~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.sfiprogram.org:

- i. Section 4 - *SFI 20~~22~~15-2019* Chain of Custody Standard
- ii. Section ~~76~~ - Guidance to *SFI 20~~22~~15-2019* Standards
- iii. Section ~~109~~ - *SFI 20~~22~~15-2019* Audit Procedures and Auditor Qualifications and Accreditation
- iv. ISO 9001:20~~1508~~ Quality management systems – Requirements
- v. ISO 14001:20~~1504~~ Environmental Management Systems - Specification with guidance for use

Part 3: Creating a Certified Sourcing Label Claim

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

If a *primary producer* sources from company-owned or company-controlled lands enrolled in the *SFI program*, those lands must be third-party certified to the *SFI 20~~22~~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 ($\frac{2}{3}$) (by weight) of the wood or wood fiber in the product(s) or manufacturing unit as coming from *certified sourcing*. The other one-third ($\frac{1}{3}$) cannot come from *controversial sources*.

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

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

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

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

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

3.4 *SFI Certified Sourcing Claim*: Fiber that conforms with Objectives 1-10~~3~~ 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 Standard certificate, a secondary producer's SFI 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 ($\frac{2}{3}$) (by weight) of the wood or wood fiber in the product(s) or manufacturing unit as coming from *certified sourcing*. The other one-third ($\frac{1}{3}$) cannot come from *controversial sources*.
- 4.4** A 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 6]: 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 1-1~~3~~ of Section 3 - *SFI 20~~22~~15-2019 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, 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]: Alignment with PEFC 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.

- 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 8]: Alignment with PEFC definition.

Any claims about *post-consumer recycled content* by ~~Program-Participants~~Certified Organizations and *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.

- 5.4** *Certified forest content*, which includes content from specific forest tracts that are third-party certified to conform with *the SFI 2022-15-2019 Forest Management Standard's* Objectives 1-165 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 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 Certified Organization shall ensure that documentation of the certified products clearly states at least the following information:
- Certified organization's identification and SFI Certified Sourcing Standard or SFI 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.

- e. an official *SFI* claim statement:
 - i. SFI X% Certified Sourcing *or* SFI Certified Sourcing

6.3 If the *Certified 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 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*

Commented [SFI9]: This sections aligns with the new DDS and controversial sources definition.

7.1 Definition of *controversial sources*:

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

~~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 10]: Old definition of Controversial Sources

7.2 Access to Information

7.2.1 The *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 *Certified Organization* can consider forest based products low risk and exempt from further due diligence when:

- a. Procured 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 with a valid *SFI* Section 3 (*SFI Fiber Sourcing Standard*) certificate that clearly indicates that the source is within the scope of the certification; or
- c. Procured with a valid *SFI* Section 4 (*SFI Chain of Custody Standard*), or other *credible chain of custody standard* certificate; or
- d. Procured with a valid *SFI* Section 5 (*SFI Certified Sourcing Standard*) certificate; or
- e. Sourced from recycled forest-based products.

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 Conducting a Risk Assessment

Commented [SFI 11]: Replaced with new 7.2 Access to Information

Commented [SFI12]: The revised requirements for Risk Assessment will address Interpretation #2, Part 3.

7.3.1 The *Certified Organization* shall develop and implement a Due Diligence System (DDS) to 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 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.~~

Commented [SFI 13]: Formerly Interpretation #4, Part 2, Appendix 1 – no longer needed as the requirement for a full DDS has addressed this item.

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*.

Commented [SFI 14]: Replaced with 7.3 Conducting a Risk Assessment.

7.4 Substantiated Concerns Due to Organization's Risk Assessment

7.4.1 The *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 *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 *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 *Certified Organization* receives forest-based products, and then learns these forest-based products may be from *controversial sources*, these forest-based products must be segregated and prevented from entering the supply chain. 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 *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.

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 15]: 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 9001:2015~~98~~) or environmental (ISO 14001:2015~~94~~) 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 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 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 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 *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 16]: Added to align with PEFC requirement 4.10

8.2.5 The ~~*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:

- raw material procurement and identification of the *certified sourcing*;
- product sale and labeling;
- record keeping; and
- internal audits and nonconformity control.

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

8.3 Documented Procedures

The *organization's* procedures for the *certified sourcing* 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; and
- 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 *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 appropriate training, education, skills and experience.

8.5.2 Technical Facilities:

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

8.56 Internal Audit and Management Review

8.56.1 The *certified organization* shall conduct internal audits at 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 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.

8.56.2 The *Certified OrganizationProgram-Participant* shall conduct the internal audit in accordance with the following requirements:

Commented [SFI 17]: Interpretation March 2020.
Interpretations for Part 2 - Section 3: Appendix 1, number 5. Builds in efficiency for certified organizations large multisite certificates.

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

Commented [SFI18]: Alignment with SFI COC language edits.

8.56.3 Where the *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 19]: From 2015-2019 CoC 6.1

- a. ~~the certified organization maintains legal ownership of all input material to be included in the outsourced processes;~~
- b. ~~the certified material from the certified organization is 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~~
- c. ~~the certified organization reserves the right for the SFI – accredited certification body to audit the outsourcing contractor or operation.~~

Commented [SFI 20]: From 2015-2019 CoC 6.1

Commented [SFI 21]: From 2015-2019 CoC 6.2.

Commented [SFI 22]: From 2015-2019 CoC 6.1.

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.

8.6.7 The *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.

Part 6 — Outsourcing Agreements

Commented [SFI 23]: As per CoC Task Group discussion – Current CoC Part 6 - Outsourcing section to be paired down to be more in alignment with PEFC requirements.

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.

Commented [SFI 24]: 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 25]: 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 *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 [SFI26]: 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 *Office of Label Use and Licensing*.

Commented [SFI27]: 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 *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 [SFI28]: 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 [SFI29]: Moved to the Label Use section.



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

May 1, 2020

Preface Table of Contents

| | | |
|---------|--|----|
| PART 1: | RULES FOR USE OF <i>SFI</i> ON-PRODUCT LABELS _____ | 4 |
| PART 2: | OFFICE OF LABEL USE AND LICENSING _____ | 6 |
| PART 3: | SFI CLAIMS AND LABELS _____ | 9 |
| PART 4: | GENERAL RULES FOR USE OF <i>SFI</i> ON-PRODUCT LABELS _____ | 19 |
| PART 5: | COMMUNICATING CERTIFICATION AND CERTIFIED PRODUCT _____ | 22 |
| PART 6: | RULES FOR USE OF SFI OFF-PRODUCT MARKS _____ | 25 |
| PART 7: | RULES FOR USE OF <i>SFI</i> WORD MARKS _____ | 26 |
| PART 8: | GENERAL RULES – FOR USE OF THE <i>SFI</i> OFF-PRODUCT MARKS AND WORD MARKS _____ | 27 |

Commented [SFI1]: The new Section 1 will serve as an intro.

~~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 202215-2019 Forest Management Standard, SFI 202215-2019 Fiber Sourcing Standard, SFI 2022 Certified Sourcing Standard and SFI 202215-2019 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 a~~ 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 ~~2022-2019~~ Forest Management Standard, Section 3 - SFI ~~2022-2019~~ 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 ~~2022-2019~~ Forest Management Standard and/or Section 3 - SFI ~~2022-2019~~ Fiber Sourcing Standard.
 - An organization which owns or manages forestlands must be certified to Section 2 - SFI ~~2022-2019~~ 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 ~~2022-2019~~ Fiber Sourcing Standard.
 - An organization which owns or manages forestlands and sources direct from the forest must be certified to Section 2 - SFI ~~2022-2019~~ Forest Management Standard and Section 3 - SFI ~~2022-2019~~ 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.

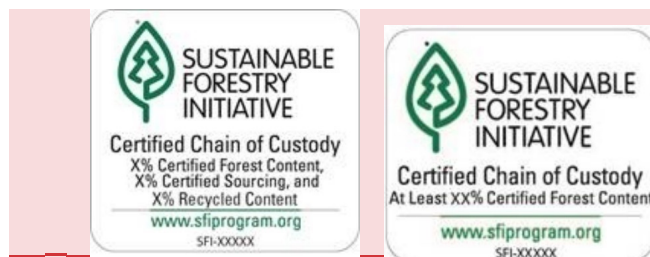
~~1.1 Chain of Custody Label for Volume Credit Method Label~~

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.



Commented [SFI 2]: 1.1 – 1.4 moved into a new section: SFI Labels and Claims. Not deleted.

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 [SFI3]: 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 green/black version, the PMS color is 348.

Commented [SFI 4]: Existing text (2.2) moved to this section.

2.3 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*.

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.

2.7 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.

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. All interpretations will be posted at www.sfioprogram.org.

Commented [SFI7]: Requirements moved from Section 3, Appendix 1 Part 9.

2.9 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.

2.10 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.

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

2.12 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 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 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 4 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 202215-2019 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* label ID number would be on the product when searched in the *SFI* on-line database, the supplier information will read 'Contact SFI Inc. for More Information on this Product (Tel: 202-596-3450)'. *SFI* staff can confirm for the person making the enquiry that the label is legitimate based on information supplied. This second *SFI* label ID number will only be granted for organizations who produce private branded products and request a private number in order to avoid disclosing competitive information. The manufacturer must continue to use their originally assigned *SFI* label ID number for all other products they manufacture and label that do not have competitiveness concerns as described above.

Commented [SFI 9]: Moved from general rules section

In addition to private SFI label ID number issuance to private branded products, the SFI promotional mark can be used with a private 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* label ID number.

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

Part 3: SFI Claims and Labels

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.

3.1 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% certified. There are two labels may be used by any chain of custody *certified 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."

Commented [SFI12]: Moved from 1.1

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

Commented [SFI14]: Moved from 1.2

1.3 Chain of Custody Labels with Mobius Loop

Commented [SFI15]: Included in matrix sequence.

| Claim and/or category of origin included on relevant documentation | Label Options | Who can use this label |
|---|--|---|
| From a supplier using the Average Percent Method: - 70% -100% Certified Forest Content From a supplier using the Volume Credit Method: - Volume Credit or 100% as calculated under the volume credit method. |  <p>The logo is a circular emblem with a stylized tree in the center. The text 'SUSTAINABLE FORESTRY INITIATIVE' is written in a circle around the tree. Below the circle, it says 'Certified Chain of Custody Promoting Sustainable Forestry' and 'www.sfiprogram.org SFI-0001'.</p> | Required certificate: <ul style="list-style-type: none"> SFI Chain of Custody |

| | | |
|---|---|---|
| <p><u>From a supplier using the Average Percentage method:</u></p> <ul style="list-style-type: none"> • <u>At Least X% Certified Forest Content</u>^{1, 2} |  | <p><u>Required certificate:</u></p> <ul style="list-style-type: none"> • <u>SFI Chain of Custody</u> |
| <p><u>From a supplier using the Average Percentage method:</u></p> <ul style="list-style-type: none"> • <u>100% Recycled Content</u>^{3, 4} |  | <p><u>Required certificate:</u></p> <ul style="list-style-type: none"> • <u>SFI Chain of Custody</u> |
| <p><u>From a supplier using the Average Percent Method:</u></p> <ul style="list-style-type: none"> • <u>70% - 100% Certified Forest Content and recycled content</u> • <u>At Least 70% - 100% Certified Forest Content and recycled content</u> <p><u>From a supplier using the Volume Credit Method:</u></p> <ul style="list-style-type: none"> • <u>Volume Credit or 100% as calculated under the volume credit method</u> |  | <p><u>Required certificate:</u></p> <ul style="list-style-type: none"> • <u>SFI Chain of Custody</u> |

¹ 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)

² An *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*. (moved from previous 2.14)

³ Note: Label users can substitute the term “Recycled Content on labels and replace it with pre-consumer recycled and/or post-consumer recycled. (2.16)

⁴ Facilities that utilize 100% recycled content can use the X% label with the average percentage method. They cannot, however, use the X% certified forest content tagline, and must exclude that tagline from the label. (moved from previous 2.17)

From a supplier using the Average Percentage method⁵:

- X% Certified Forest Content⁶
- X% Certified Sourcing⁷
- 100% Recycled Content⁸

Note: If using all three claims in a label, the total must equal 100%. Claims can be switched in order so "X% Certified Sourcing" or "X% Recycled Content" is first.



Required certificate:

- SFI Chain of Custody

From a supplier using the Average Percentage method⁹:

- X% Certified Forest Content¹⁰
- X% Certified Sourcing¹¹
- 100% Recycled Content¹²

Note: If using all three claims in a label, the total must equal 100%. Claims can be switched in order so "X% Certified Sourcing" or "X% Recycled Content" is first.



Required certificate:

- SFI Chain of Custody

⁵ 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. (moved from previous 2.15)

⁶ Note that 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. (moved from previous 2.14)

⁷ Note that SFI Certified Sourcing can only be used in combination with SFI X% Certified Forest Content. It cannot be used alone in the SFI COC 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. (moved from previous 2.26 c)

⁸ Note that 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 the SFI X% Certified Sourcing line is used as applicable to the total claim breakdown. (combined 2.16 and 2.17)

⁹ 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. (moved from previous 2.15)

¹⁰ Note that 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. (moved from previous 2.14)

¹¹ Note that SFI Certified Sourcing can only be used in combination with SFI X% Certified Forest Content. It cannot be used alone in the SFI COC 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. (moved from previous 2.26 c)

¹² Note that 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

From a supplier using the Average Percentage method¹³:

- X% Certified Forest Content¹⁴
- X% Certified Sourcing¹⁵
- 100% Recycled Content¹⁶

Note: If using all three claims in a label, the total must equal 100%. Claims can be switched in order so "X% Certified Sourcing" or "X% Recycled Content" is first.



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 [SFI16]: Moved from 1.3



used with the SFI X% Certified Forest Content line and the SFI X% Certified Sourcing line is used as applicable to the total claim breakdown. (combined 2.16 and 2.17)

¹³ 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. (moved from previous 2.15)

¹⁴ Note that 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. (moved from previous 2.14)

¹⁵ Note that SFI Certified Sourcing can only be used in combination with SFI X% Certified Forest Content. It cannot be used alone in the SFI COC 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. (moved from previous 2.26 c)

¹⁶ Note that 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 the SFI X% Certified Sourcing line is used as applicable to the total claim breakdown. (combined 2.16 and 2.17)

| Claim and/or category of origin included on relevant documentation | Label Options | Who can use this label |
|--|--|--|
| <p>From a supplier using the Average Percent Method:</p> <ul style="list-style-type: none"> 70% - 100% Certified Forest Content and recycled content At Least 70% - 100% Certified Forest Content and recycled content X% recycled content (shown in mobius loop) <p>From a supplier using the Volume Credit Method:</p> <ul style="list-style-type: none"> Volume Credit or 100% as calculated under the volume credit method X% recycled content (shown in mobius loop) |  | <p>Required Certificate:</p> <ul style="list-style-type: none"> SFI Chain of Custody¹⁷ |
| <p>From a supplier using the Average Percentage method:</p> <ul style="list-style-type: none"> At Least X% Certified Forest Content^{18,19} X% recycled content (shown in mobius loop) |  | <p>Required certificate:</p> <ul style="list-style-type: none"> SFI Chain of Custody |

1.4 Certified Sourcing

Commented [SFI17]: 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 [SFI18]: New descriptive language from SFI collateral material.

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

¹⁷ 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)

¹⁸ 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).

¹⁹ 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)

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 content, or fiber from certified forest content. Fiber shall never be sourced from a controversial source.


Commented [SFI19]: Language previously included in 1.4.

Primary and Secondary producers with a valid 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 20]: 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 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 21]: Moved from 2.18

| <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 Certified Sourcing or SFI 100% Certified Sourcing</u> |  | Organizations with a valid <u>SFI certificate to:</u> <ul style="list-style-type: none"> <u>SFI Fiber Sourcing</u> <u>SFI Certified Sourcing</u> <u>SFI Chain of Custody</u> |

3.3 Other SFI Label and Claim Options

Commented [SFI 22]: 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 certification using physical separation for a Non-Timber Forest Product can use the SFI Chain of Custody label with a claim of "100% from a SFI Certified Forest".

| <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> <ul style="list-style-type: none"> <u>SFI Chain of Custody</u> |

3.3.2 SFI Forest Management Label

Organizations with SFI Forest Management certification without SFI Chain of Custody can apply the 100% Certified Forest Content label.

| <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> |  The image shows the SFI 100% Certified Forest Content label. It features a green leaf icon with a tree inside, the text 'SUSTAINABLE FORESTRY INITIATIVE', '100% Certified Forest Content', the website 'www.sfiprogram.org', and the code 'SFI-00001'. | <u>Required certificate:</u> <ul style="list-style-type: none">• <u>SFI Forest Management</u> |

3.3.3 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.

This label is intended for use in the U.S. and Canada and primary manufacturers outside the U.S. and Canada must have valid PEFC COC certification.

The SFI Label Recognizing Global Standards is similar to other 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 COC certificate for relevant manufacturing sites located outside the United States or Canada.
- ii. The Secondary Producer must have a valid PEFC COC and/or SFI COC 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 COC or SFI COC 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 COC certificate.
 - vi. An SFI claim must be passed on and follow all SFI requirements for communicating SFI claims, if the label user holds a valid SFI 2015-2019 certificate.
 - vii. All rules for use of the SFI Label must be followed. This includes SFI's rule that 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 Program Participants certified to SFI 2015-2019 Section 2 (Forest Management) and/or Section 3 (Fiber Sourcing) already paying SFI Program Participant Fees may use the SFI Label Recognizing Global Standards without paying the SFI Label Recognizing Global Standards User Fee as this is covered in their Program Participant 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 Users depend on certification type and location.



Annual Requirements of Non U.S. and Non Canadian Label Users

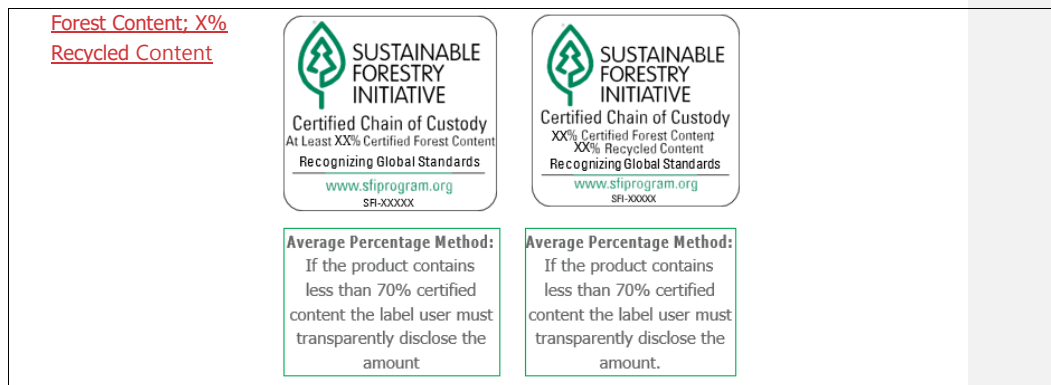
- i. Have a valid PEFC COC or SFI COC certificate and provide a copy of the certificate, including a detail scope of certification if not already detailed on the PEFC COC certificate to SFI Inc.
- ii. Be a primary or secondary producer as defined in SFI Standards and Rules: aAnd manufacture products 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 2015-2019 Forest Management Standard and/or they cannot make claims they are certified to the 2015-2019 SFI Fiber Sourcing Standard.
- ix. SFI Office of Label Use 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 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 COC 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 COC 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 & selling product with PEFC certified content claims to U.S. & 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 2015-2019 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 2015-2019 Forest Management Standard and/or they cannot make claims they are certified to the 2015-2019 SFI Fiber Sourcing Standard.
- SFI Office of Label Use 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 SFI's Office of Label Use & Licensing after successful application for the SFI Label Recognizing Global Standards.

| Claim and/or category of origin included on relevant documentation | Label Options | Who can use this label |
|---|--|---|
| <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: 100% PEFC Certified or SFI 100% Certified Forest Content, SFI 100% as calculated under the volume credit method</u> • <u>Average Percent: X% PEFC Certified; SFI X% Certified</u> | <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 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> | <p>Organizations with a valid SFI certificate to:</p> <p>SFI Chain of Custody AND/OR PEFC Chain of Custody</p> <p><u>and</u></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.

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 348.
- 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 23]: 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.sfiprogram.org), and the *certified 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* on-line database, the supplier information will read 'Contact SFI Inc. for More Information on this Product (Tel: 202-596-3450)'. *SFI* staff can confirm for the person making the enquiry that the label is legitimate based on information supplied. This second *SFI* label ID number will only be granted for organizations who produce private branded products and request a private number in order to avoid disclosing competitive information. The manufacturer must continue to use their originally assigned *SFI* label ID number for all other products they manufacture and label that do not have competitiveness concerns as described above.

4.7 For products where a supplier or other party in the supply chain prefers their own 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 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.

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

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

- d. If all the products in a product line are not certified, the label must accurately state this (e.g., "this label 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 24]: Moved into Part I

~~24.12~~ 9 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 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 certification.

Commented [SFI 25]: Broker situation. 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 26]: 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 certified, the *certified organization* shall provide customers with written information confirming the supplier's certified status, an official *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 *certified organization* approved to use the *SFI* on-product label can use either the color, black and white, or reversed style labels. Where one-color print is being used, the *SFI* label may be the same color as the rest of the product.

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

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

Part 35: Communicating Certification and Certified Product

~~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.

Commented [SFI 27]: Moved to Specific Office of Label Use & Licensing Section

Commented [SFI 28]: Included in claims & labels section & matrix guidance

Commented [SFI 29]: Moved into Part 1

Commented [SFI 30]: Moved into Part 1

Commented [SFI31]: New section specific on communications and promoting products

- 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 [SFI32]: Moved from earlier in this section.

532.2 30 The following taglines-statements can be used in combination with *SFI* on-product labels and with promotional materials that may or may not include the *SFI* label. The *SFI* website (www.sfiprogram.org) can be added to any of these taglines.²⁰

Commented [SFI 33]: SFI Communications Team provided additional and new statements about certification. Updated statements are more focused on topic and interest.

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.
- ~~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

²⁰ 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.

- 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 animals

- 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

- 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

- 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)

- 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 34]: Moved to Part 1

Part 63: Rules for Use of SFI Off-Product Marks

Commented [SFI 35]: This section may see updates from SFI communications team. Also more incorporation into the new communications section.

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

SFI Licensed Off-Product Marks:



Commented [SFI 36]: 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 20~~2215-2019~~ Forest Management*, *SFI 20~~2215-2019~~ Fiber Sourcing Standards*, and/or the *SFI 20~~2215-2019~~ 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 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 (Good For You, Good For Our Forests®) may be placed beneath the off-product mark.
- 463.4** The *SFI* label identification number must be added under the logo mark. The numbering system is as follows: SFI-00000. The *SFI* ~~Program Participants~~Certified Organizations 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*.
- 463.5** ~~Program Participants~~Certified Organizations must seek approval from the *SFI Office of Label Use and Licensing* for use of the off-product marks.

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®

547.1 Use of the word marks may only be used by *Program-Participant's 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 2022-15-2019 Fiber Sourcing Standard* 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 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 ®, 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.

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

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.sfiprogram.org) or the *Program-Participant's Certified Organization's* website with a hotlink to the *SFI* website:

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

547.6 *Program-Participant's 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-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 participation in the *SFI program*, both to employees and to those outside of the organization.
- c. On business letterhead, business cards, and invoices.

- d. In annual reports, provided there is a reference to the *SFI Inc.* website (www.sfiprogram.org).
- 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-product.
- g. On a company website with a hotlink to the *SFI* website (www.sfiprogram.org).

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

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 a off-product or word mark is displayed.

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

- a. A *label user* may use any one color in the presentation of the Logo Marks. If you choose to use green, the PMS is 348.
- b. The off-product mark font is Vag Rounded Light. The off-product mark may not be recreated using any other fonts or styles of these fonts. The font sizes must remain in the same proportions as the off-product mark provided in camera-ready or electronic file form.
- c. The off-product mark may appear within a photographic image or illustration.
- d. The off-product mark may not be combined with any other logo or image in such a way as to create a third logo or mark.
- e. The tree/leaf portion of the off-product mark may not be displayed by itself, but must always be accompanied with SUSTAINABLE FORESTRY INITIATIVE as set out above.
- f. The off-product mark must always be accompanied by the participant's *SFI* label ID number. The *SFI* label ID number shall be added under the mark.

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

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

658.8 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.

658.9 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 (www.sfiprogram.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*.



**Guidance to *SFI* ~~2015-2019~~2022 Standards
and Rules
(Section 76)**

May 1, 2020

Table of eContents

| | |
|--|------|
| INTRODUCTION | 3 |
| 1. GUIDANCE FOR THE SFI 2022 FOREST MANAGEMENT STANDARD | 3 |
| OBJECTIVE 1. FOREST MANAGEMENT PLANNING | 54 |
| OBJECTIVE 2. FOREST HEALTH AND PRODUCTIVITY | 9 |
| OBJECTIVE 4. CONSERVATION OF BIOLOGICAL DIVERSITY | 109 |
| OBJECTIVE 8. RECOGNIZE AND RESPECT INDIGENOUS PEOPLES' RIGHTS | 2018 |
| OBJECTIVE 9: CLIMATE SMART FORESTRY | 2119 |
| OBJECTIVE 10. LEGAL AND REGULATORY COMPLIANCE (AND OBJECTIVE 4 OF SFI FIBER SOURCING STANDARD | 2826 |
| OBJECTIVE 12. TRAINING AND EDUCATION (AND OBJECTIVE 6 IN SFI 2022 FIBER SOURCING STANDARD) | 3028 |
| 2. SFI 2022 FIBER SOURCING STANDARD | 3632 |
| 3. SFI 2022 FIBER SOURCING STANDARD, SFI 2022 CHAIN OF CUSTODY STANDARAND SFI 2022 CERTIFIED SOURCING STANDARD | 5032 |
| 4. SFI AUDIT PROCEDURES | 5235 |
| 5. SFI IMPLEMENTATION COMMITTEES | 5536 |
| 6. TRANSITION TO THE SFI 2022 STANDARDS AND RULES | 5738 |

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* program; thus this document may be updated over time.

1. Guidance for the SFI 2022 Forest Management Standard

2. Application of the SFI 20~~22~~15-2019 Forest Management Standard, and SFI 20~~22~~15-2019 Fiber Sourcing Standards and SFI 2022 Chain of Custody Standard

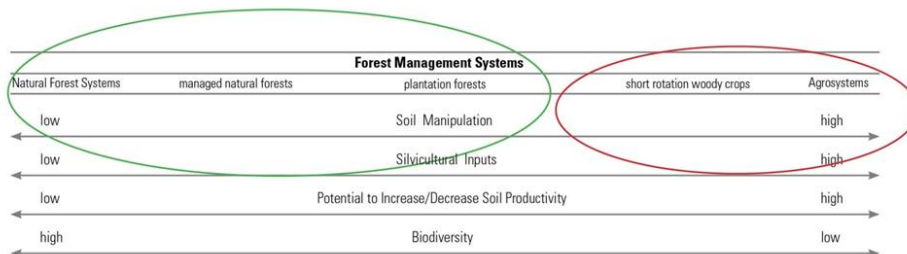
Scope of the SFI 2022 Forest Management and SFI 2022 Fiber Sourcing Standards

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 2015-2019/2022 Standards* (Adapted from Burger, 2002¹).

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.



Objective 1. Forest Management Planning

SFI 2015–2019 Forest Management Standard Objective 1: Long-term Sustainable Harvest Levels

3.1—Determining the Most Appropriate Geographic Scale

Objective 1 Performance Measure 1.1 requires long-term harvest levels that are sustainable and consistent with appropriate *growth and yield models*. Indicator 1.1.1 lists items required in forest management planning “at a level appropriate to the size and scale of the operation”, with 1.1.1(d) requiring that “*biodiversity* at the *landscape* scale” be factored into forest management planning decision-making. From these requirements it can be inferred that a 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

An 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 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 *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.

3.3—Temporal Scale

It is SFI's expectation that certification bodies shall audit sustainable harvest levels based on the criteria specified in Performance Measure 1.1, taking into account the maintenance of *landscape level biodiversity*, and confirming that any increases in planned harvest level(s) are consistent with the SFI ~~Program Participant's~~ *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.

3.4—Record Retention

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

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

4.—~~SFI 2015–2019 Forest Management Standard Objective 1:~~ Conversion

4.1—Conversion of One *Forest Cover Type* to Another *Forest Cover Type*

The intent of Performance Measure 1.2 is to outline the limitations on conversion and the due diligence process to be followed when converting to a different *forest cover type*. Limitations exist where the conversion is unlawful, threatens rare and ecologically ~~significant~~ *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 Organization~~ *Program Participant* intends to convert from one *forest cover type* to another *forest cover type*, the ~~Certified Organization~~ *Program Participant* is expected to demonstrate proficiency of assessment of the conditions outlined in *Indicator 1.2.2*.

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

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

I4.2—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 1.2.1 are met, then the *Certified Organization* must further meet the conditions and justifications noted under 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 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 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, 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 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.

1.2.2d notes the need for "appropriate consultation" with local communities, Indigenous People, and other *stakeholders* who could be affected by such activities. 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.

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.

~~4.32~~ 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* label (see definition of *conversion sources*).

~~4.32.1~~ Scope of Certification

Notwithstanding the tenets listed in Section ~~4.32.2~~ 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 ~~4.32.2.2~~ below) – are included in the scope of the *SFI 2022-2015-2019 Forest Management Standard* certificate.

~~4.32.2~~ 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.

~~4.32.3~~ — 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 percent of the harvested volume).

Objective 2. Forest Health and Productivity

~~5. SFI 2015–2019 Forest Management Standard Objective 2:~~ Prohibited Chemicals

The intent of Performance Measure 2.2 is to *minimize* the chemical use required to achieve management *objectives* while ensuring the protection of employees, the public and the environment; including *wildlife* and *aquatic habitats*. To ensure these results are achieved, the use of forest management pesticides must follow federal, state and local laws; 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.

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
http://www.who.int/ipcs/publications/pesticides_hazard_2009.pdf

Indicator 2.2.~~65~~: 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).

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>

Objective 4. Conservation of Biological Diversity

~~6. SFI 2015–2019 Forest Management Standard Objective 4:~~ 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 4.1, should inform efforts to maintain or advance *biodiversity conservation* at multiple scales, including *landscape* scale. Indicator 4.1.3 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 (US) 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.

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, 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 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 US 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, 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.

6.1—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 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* can use the NatureServe database to identify species and communities for *protection*. Learn more about NatureServe *Conservation Status Assessments* at <https://www.natureserve.org/biodiversity-science/publications/natureserve-conservation-status-assessments-methodology-assigning> www.natureserve.org/publications/ConsStatusAssess_StatusFactors.jsp.

6.1.1—NatureServe Resources for Global and Occurrence Ranks

Identification and *protection* of *critically imperiled* and *imperiled species* and communities is a step-wise process. First, NatureServe determines the global rank, which reflects the rarity/imperilment of the species or community. Then it assesses the estimated viability, or

probability of persistence, of particular occurrences of *critically imperiled* and *imperiled* species and communities. A viable species or community is one that is of sufficient quality to likely survive *long-term*. Clearly, little *conservation* benefit is gained unless protected occurrences have a good likelihood of *long-term* survival.

NatureServe inventory and *conservation* activities focus on locating, maintaining records on, and working with partners to conserve viable occurrences of *conservation* elements. NatureServe/ Natural Heritage Programs rank viability of element occurrences (community or species) using standard methodologies to yield an element occurrence ranking. A standard set of Element Occurrence Rank Specifications is developed and maintained for each element, and then applied against individual occurrences of the element.

The basic element occurrence ranks are:

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

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

Under the *SFI 20222015-2019 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’sCertified Organization’s* discretion.

Element occurrences with poor estimated viability (D) would not be protected under the *SFI 2015-20152022 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 2015-20192022 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-ParticipantsCertified Organizations* are encouraged to seek additional information on occurrence ranking from NatureServe (www.natureserve.org/prodServices/eodraft/5.pdf) <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 Values (FECV)*, provide the foundation for *landscape* scale mapping and planning that incorporates ecosystems into sustainable forest management for *Program-Participants Certified 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, 3.2.2, 3.2.3, 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 2.3), 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 Values* (Indicator 4.2.2, Performance Measure 4.4).

Forest Composition

Forest composition is closely linked to abiotic factors like soil, microclimate, and moisture availability. Forest managers tend to think of composition at three levels: 1) *forest health* and *productivity* (e.g., high growth rates, drought resistant, disease resistance) of planting or regeneration stock (the “genetic” level”); 2) *stand* level considerations including tree species composition, management of competing vegetation, and structural retention practices

(Indicator 4.1.2); and 3) *landscape* scale considerations (across ownerships or across multiple ownerships - Indicators 4.1.3, 4.1.4) in terms of *forest cover types* or other land cover classes.

Forest Structure

Within forest *stands*, structure refers to a number of characteristics, including the physical arrangement of trees, snags, and down woody debris. Within a *stand* and depending on the situation, ~~Program Participants~~*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 special sites* (Indicators 4.1.5, 4.1.6, Performance Measure 4.3, Objective 6). At larger scales, like multiple forest *stands*, forest structure is often based on differences in size/density or stand age (in even-aged management systems), as portrayed by a *land classification* system (Indicator 4.1.3). This *land classification* system often includes information on *riparian zones* and the locations of *special sites* and *wetlands* (Indicators 3.2.2, 3.2.3). At even larger scales (e.g., *landscapes*), forest managers tend to portray the diversity of size, density, or age classes in management blocks, across entire ownerships, or in some instances across multiple ownerships (Indicator 4.1.3).

Connectivity

Integration of connectivity into sustainable forest management occurs through *protection of riparian zones* (Performance Measure 3.2), provision of diverse *forest cover types* and structures (Indicators 4.1.2, 4.1.3), and *protection of other ecologically important sites* (Indicators 4.1.5, 4.1.6, Performance Measure 4.3, Objective 6). Connectivity can be assessed at multiple scales and can be thought of as structural or functional. As the labels imply, structural connectivity refers to *forest cover types* or *habitats* physically touching, providing the ability of genes and species to move through the managed forest *landscape*. Functional connectivity refers to *forest cover types* or *habitats* that are not physically touching but are arranged in a *landscape* such that genes and species can move. The ~~SFI 2015-2019~~*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 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, Significant Species of Concern and Invasive Species~~
~~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~~ exotic plants and animals*.

~~7.1—Wildlife Habitat Diversity~~

Performance Measure 4.1 in the *SFI ~~2015–2019~~ 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~~*. “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.

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). It is recognized that lists of “special concern species,” “rare species,” “species of greatest conservation need,” or similarly described lists have been published by state/provincial or federal agencies or others. It is not the intent of this indicator to imply that any particular species on such lists become a requirement under this indicator, rather such lists may serve as a source of information on potential significant species of concern.~~

~~I~~ ~~When determining whether or not a species is significant, a Certified Organization Program Participant may consider rarity, regional importance, and~~

Commented [SFI 1]: Moved below

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.

The intent is for *conservation* to occur on *Certified Organization/Program-Participant* lands. *Program-Participants* 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 a 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).

7.3—Invasive Species

Exotic Plants and Animals

Indicator 4.1.7 addresses *invasive species-exotic plants 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 4.1.6 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 Program-Participants Certified Organizations should emphasize these as priorities in their programs. Forest practices that reduce the abundance of *invasive species-exotic plants and animals* are preferred if they can be addressed within the context of the *SFI Program-Participant's 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

8. ~~SFI 2015-2019 Forest Management Standard~~—Indigenous Peoples’ Rights

8.1—Aboriginal Title

SFI 2015-2019~~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

Forest Management Standard Indicator 8.2.1 e. requires a *certified 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 organizations* with forest 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, *certified organizations* are encouraged to implement communications programs that build on regulated requirements and are aimed at supporting open, respectful and locally relevant communication with *Indigenous Peoples*.

Certified 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 external consultation and engagement activities who can advise *certified organizations* on appropriate protocols.

Where community-endorsed communications protocol does not already exist, *certified 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 and capacity of each party. 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.

Objective 9: Climate Smart Forestry ~~**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 *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 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 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.

It is important to note that the scope and scale at which *certified organizations* may address some of these objectives will depend on the size and complexity of their operations. For example, larger forest land owners and managers may have the capability to conduct a more

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

complex inventory of greenhouse gas emissions and harvest removals whereas it is reasonable 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.

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 *certified 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 2015⁶) or can be adapted from similar approaches (CoastAdapt 2020⁷).

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 *certified 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).

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).

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>

⁸ KPMG 2014, Sustainable Insight: The essentials of materiality assessment.

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.

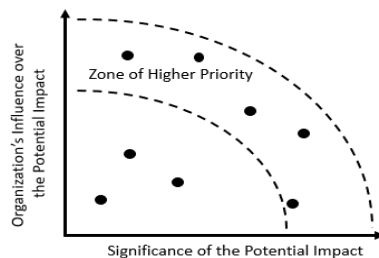


Figure 1: Prioritization of climate-related risks to a certified organization based on the significance of the potential impact and the organization's ability to influence the risks.

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. 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.

Table 1: A non-exhaustive list of Regional Adaptation 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/dwqgb/documents/wd-14-02.pdf |
| U.S. Southeast | UE EPA Region 4 Adaptation Implementation Plan | https://www3.epa.gov/climatechange/Downloads/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_PreparingForFuture_FinalEng.pdf |
| U.S. | Climate Hubs – U.S. Department of Agriculture | https://www.climatehubs.usda.gov/ |

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 have the capability to conduct a more holistic adaptation plan and incorporate a broader range of options, whereas it is reasonable to expect that smaller land owners and managers may have a narrower range of feasible options for purposes of developing an adaptation strategy.

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;
- Selecting the correct equipment size (most efficient machine for the job);
- Finding alternative uses for logging waste to minimize open burning; and/or
- Modifications to site preparation techniques.

Indicator 9.2.2 - 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. Larger forest land owners and managers may have the capability to conduct a full inventory of greenhouse gas emissions whereas it is reasonable to expect that smaller land owners and managers can make use of regional averages for greenhouse gas emissions estimates for purposes of quantifying GHG emissions and informing forest management operations.

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, Silvatierra), 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.

| <u>Tool</u> | <u>Country, State/Province</u> | <u>Description</u> | <u>Source</u> |
|---|---------------------------------------|--|----------------|
| <u>CBM-CFS3</u> | <u>Canada (all)</u> | <u>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)</u> | <u>Link</u> |
| <u>Generic Carbon Budget Model (GCBM)</u> | <u>Canada (all)</u> | <u>The GCBM is the next generation, fully spatial version of the CBM-CFS3 that the federal government is currently using for various internal research and collaborative projects.</u> | <u>Contact</u> |
| <u>FORECAST model</u> | <u>Canada (BC, AB, SK, S. ON, NS)</u> | <u>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.</u> | <u>Link</u> |

| | | | |
|--|--------------------------------|---|----------------------|
| 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 | US | 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 | US | 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 | US 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 | US | The Carbon Calculation Tool 4.0, <i>CCTv40.exe</i>, 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 | US | Generates user-specified reports on forest inventory estimates, including forest carbon stocks and changes in dry biomass over time, using US Forest Inventory and Analysis (FIA) data. | Link |

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.

Objective 10. 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 *Illegal Logging* when sourcing from regions outside of the United States and Canada.

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

Indicator 12.1.1. Process to assess the risk that the *Program Participant's fiber sourcing program* could acquire material from *illegal logging* such as consulting information from the World Resources Institute Forest Legality Risk Tool, the World Bank Legal Rights Index, or Transparency International.

SFI ~~2022~~2015-2019 Forest Management Standard Objective 109 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.

Commented [SFI 2]: This objective to be removed to be replace by a new Objective 11 with a full Due Diligence System.

~~SFI 202215-2019~~ Forest Management Standard Performance Measure ~~109.1~~ and ~~SFI 20222015-2019~~ Fiber Sourcing Standard Performance Measure 4.1.

~~Program Participants~~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*.

~~SFI 202215-2019 Fiber Sourcing Standard Indicator 4.1.4:~~

~~Program to assess the risk that the Program Participants fiber-sourcing program could acquire material from illegal logging by considering some of the following:~~

- ~~a. communications with suppliers;~~
- ~~b. independent research;~~
- ~~c. contract documentation; and~~
- ~~d. maintain records;~~

The definition of *illegal logging* is intended to cover intentional violations, such as timber theft from areas that are precluded from logging, falsification of official documents, avoidance of harvest payments and duties, and deliberate removal of trees from the land without the legal right to do so. The definition is not intended to cover isolated occurrences of legal infractions such as unintentional trespass over a property line (for private ownership) or unit boundaries (for public ownership), violation of roadway laws, or minor contract disputes. As stated in ~~SFI 2015-2019~~2022 Forest Management Standard Objective ~~109~~ 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.

Commented [SFI 3]: Indicator 4.1.4 has been removed replaced by a full DDS in Objective 10 of the Fiber Sourcing Standard.

~~13.~~—ILO Core Conventions

~~SFI 2015-2019~~2022 Forest Management Standard Performance Measure ~~109.2~~ 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 ~~109.2~~ and 4.2 for independent contractors and for ~~Program Participants~~Certified Organizations.

Application of ~~SFI 2015-2019~~2022 Forest Management Standard Performance Measure ~~109.2~~ 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 *Program Participant*, *SFI Inc.* and the *SFI ILO* Task Force. Information received will be reviewed every 6 months by the *SFI ILO* Task Force which will develop recommendations to the *SFI Inc.* Board of Directors for resolution of any significant problems identified.
- Indicators ~~109.2~~ and 4.2 shall only apply to the core conventions not fully covered by existing U.S. or Canadian law.

- Right to Organise (No. 87)
- Right to Organise and Collective Bargaining (No. 98)
- Discrimination (111).
- In addition, any ILO related issue that is being addressed through a formal grievance process or before any of the agencies established by the U.S. National Labor Relations Act (NLRA), the appropriate Provincial Labour Code or Act, or the courts until those processes are completed, 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 109.2 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 109.2.2 through the inconsistent practices procedures outlined in the *SFI* Public Inquiries and Official Complaints (Section 11) requirements, item 3.
- All information collected through the inconsistent practices process will be reviewed every 6 months by the *SFI ILO* Task Force which will develop recommendations to the *SFI Inc.* Board of Directors for resolution of any significant problems identified.
- Indicator 109.2.2 shall only apply to the core conventions not fully covered by existing U.S. or Canadian law.
 - Right to Organise (No. 87)
 - Right to Organise and Collective Bargaining (No. 98)
 - Discrimination (111).
- In addition, any ILO related issue that is being addressed through a formal grievance process or before any of the agencies established by the U.S. National Labor Relations Act (NLRA), the appropriate Provincial Labour Code or Act, or the courts until those processes are completed will not be subject to review, consideration or recommendations by the *SFI ILO* Task Force nor by the *SFI Inc.* Board of Directors.

Public forest landowners in states (Alabama, North Carolina and Virginia) that currently have laws prohibiting bargaining with their public employees shall be "grandfathered in" as meeting the requirements in indicator 109.2.2 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 124) requirements to aid in resolution of any issues that may be identified.

Objective 12. Training and Education (and Objective 6 in SFI 2022 Fiber Sourcing Standard)

~~11.~~ Use of Qualified Logging Professionals and Certified Logging Professionals Companies

~~11.1~~ Use of Qualified Logging Professionals

Logger training is a very effective tool in promoting sustainable forest management, and has been a key component of the *SFI program* since its inception. The *SFI ~~2015-2019~~2022 Forest Management Standard* strengthens requirements for logger training with revisions to *Indicators*, ~~121.1.5~~, ~~121.2.1~~ and ~~121.2.2~~ and the *SFI ~~2015-2019~~ 2022 Fiber Sourcing Standard* does the same with *Indicators* 3.1.1, 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."

"*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 ~~and periodic continuing education~~ that address:

- a. awareness of *sustainable forestry principles* and the *SFI program*;
- b. *best management practices*, including streamside management and road construction, maintenance and retirement;
- ~~c. reforestation, invasive exotic plants and animals, forest resource conservation, aesthetics and special sites;~~
- ~~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 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~~
- ~~k. awareness of emerging technologies.~~

"~~SFI 2022-2019~~ Forest Management Standard indicator 1~~2~~1.2.2 and ~~SFI 2015-219-2022~~ Fiber Sourcing Standard indicator 6.2.2 - ~~The SIC-approved wood-producers training programs shall have a continuing education component with coursework that supports the current logger training programs, safety and the principles of sustainable forestry."~~

~~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, exotic plants and animals, 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.

~~SFI 2022-2015-2019~~ Forest Management Standard Indicator 1~~2~~1.1.5 and ~~SFI 2015-2019-2022~~ Fiber Sourcing Standard Indicators 3.1.1 require ~~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 2022-2015-2019~~ Fiber Sourcing Standard indicator 6.1.5 says that ~~Program-Participants~~ Certified Organizations will use written agreements requiring the use of *qualified logging 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.~~

Where the Certified Organization cannot contract with qualified logging professionals or certified logging companies or they should strive to contract with loggers in the process of completing a SIC-approved logger training program, with allowances for turnover in the logging workforce, availability, timing and length of training programs, other wood suppliers (defined as a person who or organization that infrequently supplies wood fiber on a small scale, such as farmers and small-scale land-clearing operators), and availability of *qualified logging professionals* and

Commented [SFI 4]: This has also been moved into the Fiber Sourcing Standard Indicator 6.1.6.

certified logging companies locally. 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. Where the *Certified OrganizationProgram Participant* identifies a region where the availability of *qualified logging professionals or certified logging companies* is not sufficient to meet the expectations of *SFI 2015-20192022 Forest Management Standard* indicator 12.1.5 and *SFI 2015-20192022 Fiber Sourcing Standard* indicator 6.1.5, the *Certified OrganizationProgram Participant* will develop a program, individually or collaboratively, to address this shortage.

11.2—Certified Logging CompaniesProfessionals

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.

Commented [SFI 5]: New guidance to outline the requirements for *Certified Logging Company* application process, including provision for an appeal process.

SFI Inc. recognizes the potential and value in promoting the use of *certified logging professionals*, and the *SFI 2015-2019 Forest Management Standard* Performance Measure 11.1 and the *SFI 2015-2019 Fiber Sourcing Standard* Performance Measures 3.1 and 6.1 encourages their use

~~"SFI 2015-2019 Forest Management Standard indicator 11.1.2 and SFI 2015-2019 Fiber Sourcing Standard indicator 6.1.2— List of qualified logging professionals and certified logging professionals and maintained by Program Participant, state or provincial agency, loggers' association or other organization."~~

~~"SFI 2015-2019 Forest Management Standard indicator 11.1.5 and SFI 2015-2019 Fiber Sourcing Standard Indicator 3.1.1 require Program Participants Certified Organizations to develop a program for the purchase of their raw material from logging professionals who have completed training programs. The SFI 2015-2019 Fiber Sourcing Standard indicator 6.1.5 says that Program Participants Certified Organizations will use written agreements requiring the use of qualified logging professionals."~~

~~Certified logging professional programs are not in widespread use. The SFI 2015-2019 Standards and Rules recognizes these limitations while encouraging their use by Program Participants Certified Organizations where they are available and after consideration of other factors involved in developing contractual relationships. Certified logging professionals are those professionals who have completed SFI Implementation Committee approved training programs and who have also successfully completed and are members in good standing of a credible certified logging professional program recognized by the SFI Implementation Committee.~~

~~SFI Implementation Committees will review, when requested, certified logging professional programs to determine if they meet the criteria in SFI 2015-2019 Forest Management Standard indicator 11.2.3 and SFI 2015-2019 Fiber Sourcing Standard indicator 6.2.3. This process is identical to the one currently in use by SFI Implementation Committees for evaluating credible logger training programs.~~

~~11.2.3 and 6.2.3. Participation in or support of SFI Implementation Committees to establish criteria for recognition of logger certification programs, where they exist, that include:~~

- ~~a. — completion of SFI Implementation Committee recognized logger training programs and meeting continuing education requirements of the training program;~~
- ~~b. — independent in the forest verification of conformance with the logger certification program standards;~~
- ~~c. — compliance with all applicable laws and regulations including responsibilities under the U.S. Endangered Species Act, the Canadian Species at Risk Act and other measures to protect wildlife habitat;~~
- ~~d. — use of best management practices to protect of water quality;~~
- ~~e. — logging safety;~~
- ~~f. — compliance with acceptable silviculture and utilization standards;~~
- ~~g. — aesthetic management techniques employed where applicable; and~~
- ~~h. — adherence to a management or harvest plan that is site specific and agreed to by the forest landowner.~~

Commented [SFI 6]: Replaced by new guidance at 11.2

Expectations for On-site Supervision by Qualified Logging Professional or Certified Logging Company

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. require 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 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 environmental and legal risks inherent with a logging site can vary. When assessing whether a logging site needs a trained supervisor “onsite regularly” it is the knowledge of such risks that needs to be 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 assessment. Using this assessment, 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.

2. SFI 2022 Fiber Sourcing Standard

Objective 2. Adherence to *Best Management Practices*

9. ~~SFI 2015–2019 Fiber Sourcing Standard—Objective 2:~~ *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.

10. ~~SFI 2015–2019 Fiber Sourcing Standard—Objective 11:~~ *Biodiversity Hotspots and High biodiversity Wilderness Areas*

Objective 11 of the *SFI 2015-2019 Fiber Sourcing Standard* calls for *fiber sourcing policies* that promote *conservation of forests and biodiversity* in areas outside of the United States and Canada identified as *biodiversity hotspots* and *high biodiversity wilderness areas*.

Objective 11. To promote the *conservation of biological diversity, biodiversity hotspots and high biodiversity wilderness areas* in *fiber sourcing programs*.

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

Indicator:

1. *Fiber sourcing* from areas outside the United States and Canada promotes *conservation of biological diversity*, utilizing information from the following sources:
 - a. *biodiversity hotspots* and *high biodiversity wilderness areas* as identified by Conservation International; and
 - b. *rare species and habitat* information derived from organizations such as the World Resources Institute, *Alliance for Zero Extinction*, World Wildlife Fund, and International Union for Conservation of Nature, and NatureServe.

This document provides additional information drawn from World Resources Institute, Conservation International, the *Alliance for Zero Extinction*, World Wildlife Fund, the International Union for Conservation of Nature and NatureServe to aid *SFI Program Participants* *Certified Organizations* in implementing these requirements.

Areas identified by any of these organizations may be wholly or partially within the United States and Canada. For the purposes of the *SFI 2015-2019 Forest Management Standard*, these areas are addressed by NatureServe or equivalent processes to identify *critically imperiled* and *imperiled* species and communities in North America (see earlier section regarding Objective 4 in the *SFI 2015-2019 Forest Management Standard: Conservation of Biological Diversity*).

Compliance with the *SFI 2015-2019 Fiber Sourcing Standard* does not mean that that *Program Participants* *Certified Organizations* must cease all raw material or procurement activities from all forests within these areas. Rather, the emphasis is on seeking assurance that fiber and logs are secured from areas harvested legally, and avoiding actions that serve to cause or encourage further destruction of remaining original primary vegetation. To this end, *Program Participants* *Certified Organizations* procuring fiber from within identified areas of high *biodiversity* should be aware of the designation and work to avoid actions that may detrimentally affect those *habitats*. Working to increasingly meet fiber and wood production needs from plantations and managed forests enhances efforts to *protect* remaining biologically diverse *habitats*. *Program Participants* *Certified Organizations* can work with *conservation organizations*, government entities and others to provide additional guidance on aligning business and *conservation* objectives within these regions.

10.1—*Biodiversity Hotspots and High-Biodiversity Wilderness Areas*

Since 2002, the *SFI program* has relied on Conservation International's definitions of *biodiversity hotspots* and *high biodiversity wilderness areas* (formerly major tropical wilderness areas) to identify areas of potential concern for *Program Participants* *Certified Organizations* who

source fiber from overseas. Conservation International (www.conservation.org) seeks to empower societies to responsibly and sustainably care for nature for the well-being of humanity through a strong foundation of science, partnership and field demonstration. Conservation International maintains a list of global priority areas with exceptional biological value, and works to *protect* them.

10.1.1 Biodiversity Hotspots

The *biodiversity hotspots* hold especially high numbers of endemic species, yet their combined area of remaining *habitat* covers only 2.3 percent of the Earth's land surface. Each hotspot faces extreme threats and has already lost at least 70 percent of its original natural vegetation. Over 50 percent of the world's plant species and 42 percent of all terrestrial vertebrate species are endemic to the 34 *biodiversity hotspots*.

Africa and Madagascar

(http://www.conservation.org/explore/africa_madagascar/pages/priorities.aspx)

CAPE FLORISTIC REGION

Evergreen fire dependent shrublands characterize the *landscape* of the Cape Floristic Region.

COASTAL FORESTS OF EASTERN AFRICA

Though tiny and fragmented, the forest remnants that make up the Coastal Forests of Eastern Africa contain remarkable levels of *biodiversity*.

EASTERN AFROMONTANE

The mountains of the Eastern Afromontane hotspot are scattered along the eastern edge of Africa, from Saudi Arabia in the north to Zimbabwe in the south.

GUINEAN FORESTS OF WESTERN AFRICA

The lowland forests of West Africa are home to more than a quarter of Africa's mammals, including more than 20 species of primates.

HORN OF AFRICA

The arid Horn of Africa has been a renowned source of biological resources for thousands of years.

MADAGASCAR & THE INDIAN OCEAN ISLANDS

Madagascar and its neighboring island groups have an astounding total of eight plant families, four bird families, and five primate families that live nowhere else on Earth.

MAPUTALAND-PONDOLAND-ALBANY

Maputaland-Pondoland-Albany, which stretches along the east coast of southern Africa below the Great Escarpment, is an important center of plant endemism.

SUCCULENT KAROO

The Succulent Karoo of South Africa and Namibia boasts the richest succulent flora on earth, as well as remarkable endemism in plants.

Asia-Pacific (http://www.conservation.org/explore/priority_areas/hotspots/asia-pacific/Pages/asia-pacific.aspx)

EAST MELANESIAN ISLANDS

Once largely intact, the 1,600 East Melanesian Islands are now a hotspot due, sadly, to accelerating levels of *habitat* loss.

HIMALAYA

The Himalaya Hotspot is home to the world's highest mountains, including Mount Everest.

INDO-BURMA

Encompassing more than two million square kilometers of tropical Asia, Indo-Burma is still revealing its biological treasures.

JAPAN

The islands that make up the Japanese Archipelago stretch from the humid subtropics in the south to the boreal zone in the north, resulting in a wide variety of climates and ecosystems.

MOUNTAINS OF SOUTHWEST CHINA

With dramatic variations in climate and topography, the Mountains of Southwest China support a wide array of *habitats* including the most endemic-rich temperate flora in the world.

NEW CALEDONIA

An island the size of New Jersey in the South Pacific Ocean, New Caledonia is the home of no less than five endemic plant families.

NEW ZEALAND

A mountainous archipelago once dominated by temperate rainforests, New Zealand harbors extraordinary levels of endemic species.

PHILIPPINES

More than 7,100 islands fall within the borders of the Philippines hotspot, identified as one of the world's biologically richest countries.

POLYNESIA-MICRONESIA

Comprising 4,500 islands stretched across the southern Pacific Ocean, the Polynesia-Micronesia hotspot is the epicenter of the current global extinction crisis.

SOUTHWEST AUSTRALIA

The forest, woodlands, shrublands and heath of Southwest Australia are characterized by high endemism among plants and reptiles.

SUNDALAND

The spectacular flora and fauna of the Sundaland Hotspot are succumbing to the explosive growth of industrial *forestry* in these islands.

WALLACEA

The flora and fauna of Wallacea are so varied that every island in this hotspot needs secure protected areas to preserve the region's *biodiversity*.

WESTERN GHATS & SRI LANKA

Faced with tremendous population pressure, the forests of the Western Ghats and Sri Lanka have been dramatically impacted by the demands for timber and agricultural land.

Europe and Central Asia

(http://www.conservation.org/explore/europe_central_asia/pages/priorities.aspx)

CAUCASUS

The deserts, savannas, arid woodlands and forests that comprise the Caucasus hotspot contain a large number of endemic plant species.

IRANO-ANATOLIAN

Forming a natural barrier between the Mediterranean Basin and the dry plateaus of Western Asia, the mountains and basins that make up the Irano-Anatolian Hotspot contain many centers of local endemism.

MEDITERRANEAN BASIN

The flora of the Mediterranean Basin is dramatic. Its 22,500 endemic vascular plant species are more than four times the number found in all the rest of Europe.

MOUNTAINS OF CENTRAL ASIA

Comprising two of Asia's major mountain ranges, the Mountains of Central Asia were known to early Persians as the "roof of the world."

North and Central America

(http://www.conservation.org/explore/priority_areas/hotspots/north_central_america/Pages/north_central_america.aspx)

CALIFORNIA FLORISTIC PROVINCE

The California Floristic Province is a zone of Mediterranean-type climate and has the high levels of plant endemism characteristic of these regions.

CARIBBEAN ISLANDS

The Caribbean Islands support exceptionally diverse ecosystems, ranging from montane cloud forests to cactus scrublands, which have been devastated by deforestation and encroachment.

MADREAN PINE-OAK WOODLANDS

Encompassing Mexico's main mountain chains, and isolated mountaintop islands in Baja California and the southern United States, the Madrean Pine-Oak Woodlands is an area of rugged mountainous terrain, high relief and deep canyons.

MESOAMERICA

The Mesoamerican forests are the third largest among the world's hotspots. Their spectacular endemic species include quetzals, howler monkeys and 17,000 plant species.

South America

(http://www.conservation.org/explore/priority_areas/hotspots/south_america/Pages/south_america.aspx)

ATLANTIC FOREST

The Atlantic Forest of tropical South America boasts 20,000 plant species, 40 percent of which are endemic.

CERRADO

The Cerrado region of Brazil, comprising 21 percent of the country, is the most extensive woodland savanna in South America.

CHILEAN WINTER RAINFALL VALDIVIAN FOREST

A virtual continental island bounded by the Pacific Ocean, the Andes Mountains and the Atacama Desert, the Chilean Winter Rainfall Valdivian Forest harbors richly endemic flora and fauna.

TROPICAL ANDES

The richest and most diverse region on Earth, the Tropical Andes region contains about a sixth of all plant life in less than one percent of the world's land area.

TUMBES-CHOCÓ-MAGDALENA

Tumbes-Chocó-Magdalena is bordered by two other hotspots: Mesoamerica to the north and the Tropical Andes to the east.

10.1.2 — ~~High Biodiversity Wilderness Areas~~

(http://www.conservation.org/explore/priority_areas/wilderness/Pages/default.aspx)

High biodiversity wilderness areas are areas where the vegetation is still over 70 percent intact.

Amazonia

Spanning nine South American countries, the Amazonia wilderness is unlike any other, supporting more than 40,000 species of plants, with three quarters of them found nowhere else.

Congo Basin

Seven African nations share the second largest expanse of tropical wilderness in the world. Unlike other *landscapes* in the region, a great portion of the remote Congo Basin forests have remained intact.

New Guinea

The world's biggest tropical island and its outlying islands contain the largest remaining wilderness in the entire Asia-Pacific. New Guinea and its neighbors are home to thousands of species known to science, and possibly many yet to be discovered.

North American Deserts

This arid, mostly desert region covering northern Mexico and the southwestern United States contains more unique species than any other desert on the planet, including the majority of all known cactus species.

Miombo Mopane Woodlands and Savannas of Southern Africa

Quite possibly the single largest block of dry woodlands in the world, this wilderness region stretches across 10 countries, supporting large numbers of *wildlife* and people who depend on its natural resources.

10.2—Resources for the Conservation of Biological Diversity

The following table provides information on each organization referenced in Indicator 11.1.1.b in the *SFI 2015-2019 Fiber Sourcing Standard*. This information is intended to provide background information on each resource and internet links are provided for further details.

| Organization and website | Overview of organization and goals | How sites are classified | For more information |
|---|--|--|---|
| <p><i>Alliance for Zero Extinction (AZE)</i></p> <p>(http://www.zeroextinction.org)</p> | <p><i>AZE</i> is a joint global initiative of 52 <i>biodiversity conservation</i> organizations, aimed to prevent extinctions by identifying and safeguarding key sites where species are in imminent danger of disappearing. Its goal is to create a front line of defense against extinction by eliminating threats and restoring <i>habitat</i> to allow species populations to rebound. The purpose of the Alliance is to identify sites in most urgent need of <i>conservation</i>, and to act together to prevent species extinctions.</p> | <p><i>AZE</i> has identified the last remaining sites for the world's most highly threatened species, 93 percent of which are threatened primarily by <i>habitat</i> destruction.</p> <p>The data-gathering process was performed over a period of many months with input from regional experts, as well as experts in the five <i>AZE</i> taxa (mammals, birds, reptiles, amphibians and conifers) from around the world. The data was verified using existing databases such as the IUCN Red List, BirdLife International's global database, and the Global Amphibian Assessment. <i>AZE</i> scientists, working in collaboration with an international network of experts, have so far identified 595 such sites that must be effectively protected to prevent the extinction of 794 of the world's most threatened species including mammals, birds, some reptiles (crocodilians, iguanas, turtles and tortoises), amphibians and conifers (many sites have more than one <i>AZE</i> "trigger species" confined to them). Additionally, <i>AZE</i> uses the following criteria to identify priority sites (a site must meet all three to qualify): Endangerment, Irreplaceability, and Discreteness.</p> | <p>The <i>Alliance for Zero Extinction</i> has released an updated set of sites, coinciding with the 2010 meeting of the parties on the Convention on Biological Diversity in Nagoya, Japan</p> |

| Organization and website | Overview of organization and goals | How sites are classified | For more information |
|---|---|---|---|
| <p>International Union for the Conservation of Biodiversity (IUCN)</p> <p>(http://www.iucn.org/what/biodiversity/)</p> | <p>IUCN's work on <i>biodiversity</i> includes comprehensive research on the status of <i>biodiversity</i> and thousands of individual animal and plant species; action to protect specific species; managing and restoring natural areas; national parks and other protected areas; and promoting the sustainable use of natural resources. IUCN also provides the knowledge, standards and tools for <i>biodiversity conservation</i> for governments, community organizations, the United Nations and business. The IUCN Species Programme, working with the IUCN Species Survival Commission, has for more than four decades been assessing the <i>conservation</i> status of species, subspecies, varieties and even selected subpopulations on a global scale in order to highlight taxa threatened with extinction, and therefore promote their <i>conservation</i>.</p> | <p>The IUCN Red List of Threatened Species™ provides taxonomic, <i>conservation</i> status and distribution information on plants and animals that have been globally evaluated using the IUCN Red List Categories and Criteria. The main purpose of the IUCN Red List is to catalog and highlight those plants and animals that are facing a higher risk of global extinction (i.e., those listed as Critically Endangered, Endangered and Vulnerable). The IUCN Red List also includes information on plants and animals that are categorized as Extinct or Extinct in the Wild; on taxa that cannot be evaluated because of insufficient information (i.e., are Data Deficient); and on plants and animals that are either close to meeting the threatened thresholds or that would be threatened were it not for an ongoing taxon-specific <i>conservation</i> programme (i.e., are Near Threatened).</p> | <p>Access the <i>conservation</i> status of species here:</p> <p>http://www.iucnredlist.org/</p> <p>A how-to guide to the IUCN Red List:</p> <p>http://www.iucnredlist.org/documents/redlist_web_site_users_guide.pdf</p> |
| <p>World Resources Institute (WRI) Intact Forest Landscapes</p> <p>(http://www.intactforests.org/)</p> | <p>An Intact Forest Landscape (IFL) is an unbroken expanse of natural ecosystems within the zone of current forest extent, showing no signs of significant human activity, and large enough that all <i>native biodiversity</i>, including viable populations of wide-ranging species, could be maintained. The IFL concept and its technical definition were introduced to help create, implement and monitor <i>policies</i> concerning the human impact on forest <i>landscapes</i> at the regional or country levels. The essence of the approach is to use high spatial resolution satellite information to establish the boundaries of large undeveloped forest areas, and use these boundaries as a baseline for monitoring. Developed by a group of non-governmental environmental organizations (Greenpeace, World Resources Institute, Global Forest Watch, Biodiversity Conservation Center, International Socio-Ecological Union, and Transparent World), the IFL concept, mapping and monitoring algorithms have been used both in</p> | <p>An IFL is an unbroken expanse of natural ecosystems within the zone of current forest extent, showing no signs of significant human activity and large enough that all <i>native biodiversity</i>, including viable populations of wide-ranging species, could be maintained. Although all IFL are within the forest zone, some may contain extensive naturally tree-less areas, including grasslands, <i>wetlands</i>, lakes, alpine areas and ice. This definition builds on the definition of Frontier Forest developed by WRI (Bryant et al., 1997).</p> <p>Technically, an IFL is defined as a territory within today's global extent of forest cover which contains forest and non-forest ecosystems minimally influenced by human economic activity, with an area of at least 500 km² (50,000 ha) and a minimal width of 10 km (measured as the diameter of a</p> | <p>The global IFL map can be found here:</p> <p>http://www.intactforests.org/world.map.html</p> |

| Organization and website | Overview of organization and goals | How sites are classified | For more information |
|--|--|--|--|
| | regional and global forest monitoring projects and in scientific research. | circle that is entirely inscribed within the boundaries of the territory); Areas with evidence of certain types of human influence are considered disturbed, and consequently not eligible for inclusion, e.g., settlements; transportation infrastructure such as roads, railways, pipeline and power transmission lines; agriculture and timber production; industrial activities during the last 30 to 70 years, such as logging; mining, oil and gas exploration and extraction and peat extraction. | |
| World Wildlife Fund (WWF) (http://www.worldwildlife.org/science/ecoregions/global200.html) | WWF uses the best available scientific knowledge to preserve the diversity and abundance of life on Earth and the health of ecological systems, by: <ul style="list-style-type: none"> protecting natural areas and wild populations of plants and animals, including endangered species; promoting sustainable approaches to the use of renewable natural resources; and promoting more efficient use of resources and energy and the maximum reduction of pollution WWF's Global 200 attempts to identify a set of ecoregions whose <i>conservation</i> would achieve the goal of saving a broad diversity of the Earth's ecosystems. These ecoregions include those with exceptional levels of <i>biodiversity</i> , such as high species richness or endemism, or those with unusual ecological or evolutionary phenomena. WWF, in collaboration with the National Geographic Society developed an interactive map and descriptions of the Global 200 available through a Wild World website. | WWF researchers analyzed global patterns of <i>biodiversity</i> to identify a set of the Earth's terrestrial, freshwater and marine ecoregions that harbor exceptional <i>biodiversity</i> and are representative of its ecosystems. They placed each of the Earth's ecoregions within a system of 30 biomes and biogeographic realms to facilitate a representation analysis. <i>Biodiversity</i> features were compared among ecoregions to assess their irreplaceability or distinctiveness. These features included species richness, endemic species, unusual higher taxa, unusual ecological or evolutionary phenomena, and the global rarity of <i>habitats</i> . This process yielded 238 ecoregions—the Global 200—comprising 142 terrestrial, 53 freshwater and 43 marine priority ecoregions. Ecoregions were also assigned a <i>conservation</i> status, with those most at risk assigned "critical" or "endangered." | Global 200 maps can be found at (http://www.nationalgeographic.com/wildworld/) Descriptions of each Global 200 ecoregion: http://www.nationalgeographic.com/wildworld/profiles/g200_index.html WWF Wildfinder Tool: http://worldwildlife.org/science/wildfinder/ |

~~11.— Use of Qualified Logging Professionals and Certified Logging Professionals~~

~~11.1— Use of Qualified Logging Professionals~~

Logger training is a very effective tool in promoting sustainable forest management, and has been a key component of the *SFI program* since its inception. The *SFI 2015-2019 Forest Management Standard* strengthens requirements for logger training with revisions to *Indicators*, 11.1.5, 11.2.1 and 11.2.2 and the *SFI 2015-2019 Fiber Sourcing Standard* does the same with *Indicators* 3.1.1, 6.1.5, 6.2.1 and 6.2.2.

"SFI 2015-2019 Fiber Sourcing Standard indicator 3.1.1. Program to promote the use of qualified logging professionals, certified logging professionals (where available) and qualified resource professionals."

*"SFI 2015-2019 Forest Management Standard indicator 11.1.5 and SFI 2015-2019 Fiber Sourcing Standard indicator 6.1.5—Program Participants 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*."*

*"SFI 2015-2019 Forest Management Standard indicator 11.2.1 and SFI 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* training courses and periodic continuing education that address:*

- a. — awareness of *sustainable forestry principles* and the *SFI program*;*
- b. — *best management practices*, including streamside management and road construction, maintenance and retirement;*
- c. — *reforestation, invasive exotic plants and animals, forest resource conservation, aesthetics and special sites*;*
- d. — awareness of responsibilities under the U.S. Endangered Species Act, the Canadian Species at Risk Act, and other measures to *protect wildlife habitat* (e.g., *Forests with Exceptional Conservation Value*);*
- e. — awareness of rare forested natural communities as identified by provincial or state agencies, or by credible organizations such as NatureServe, The Nature Conservancy, etc.*
- f. — logging safety;*
- g. — U.S. Occupational Safety and Health Administration (OSHA) and Canadian Centre for Occupational Health and Safety (CCOHS) regulations, wage and hour rules, and other provincial, state and local employment laws;*
- h. — transportation issues;*
- i. — business management;*
- j. — public *policy* and outreach; and*
- k. — awareness of emerging technologies.*

*"SFI 2022 2015-2019 Forest Management Standard indicator 11.2.2 and SFI 2015-219 Fiber Sourcing Standard indicator 6.2.2—The *SIC* approved *wood producers* training programs shall*

have a continuing education component with coursework that supports the current logger training programs, safety and the *principles of sustainable forestry*."

Program is defined in the *SFI 2015-2019 Standards and Rules* as an organized system, process or set of activities to achieve an *objective* or *performance measure*.

SFI 2022-2019 Forest Management Standard Indicator 11.1.5 and *SFI 2015-2019 Fiber Sourcing Standard* Indicators 3.1.1 require *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 2022-2019 Fiber Sourcing Standard* indicator 6.1.5 says that *Program Participants* Certified Organizations will use written agreements requiring the use of *qualified logging professionals*. They should strive to achieve 100 percent of their raw material deliveries from *qualified logging professionals*, or loggers in the process of completing a *SIC* approved logger training program, with allowances for turnover in the logging workforce, availability, timing and length of training programs, other wood suppliers (defined as a person who or organization that infrequently supplies wood fiber on a small scale, such as farmers and small scale land clearing operators), and availability of *qualified logging professionals* locally. This 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. 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 Forest Management Standard* indicator 11.1.5 and *SFI 2015-2019 Fiber Sourcing Standard* indicator 6.1.5, the *Certified Organization* *Program Participant* will develop a *program*, individually or collaboratively, to address this shortage.

11.2—Certified Logging Professionals

SFI Inc. recognizes the potential and value in promoting the use of *certified logging professionals*, and the *SFI 2015-2019 Forest Management Standard* Performance Measure 11.1 and the *SFI 2015-2019 Fiber Sourcing Standard* Performance Measures 3.1 and 6.1 encourages their use

"*SFI 2015-2019 Forest Management Standard* indicator 11.1.2 and *SFI 2015-2019 Fiber Sourcing Standard* indicator 6.1.2—List of *qualified logging professionals* and *certified logging professionals* and maintained by *Program Participant*, state or provincial agency, loggers' association or other organization."

"*SFI 2015-2019 Forest Management Standard* indicator 11.1.5 and *SFI 2015-2019 Fiber Sourcing Standard* Indicator 3.1.1 require *Program Participants* Certified Organizations to develop a *program* for the purchase of their raw material from logging professionals who have completed training programs. The *SFI 2015-2019 Fiber Sourcing Standard* indicator 6.1.5 says that *Program Participants* Certified Organizations will use written agreements requiring the use of *qualified logging professionals*."

Certified logging professional programs are not in widespread use. The *SFI 2015-2019 Standards and Rules* recognizes these limitations while encouraging their use by *Program Participants* Certified Organizations where they are available and after consideration of other

factors involved in developing contractual relationships. *Certified logging professionals* are those professionals who have completed *SFI Implementation Committee* approved training programs and who have also successfully completed and are members in good standing of a credible *certified logging professional program* recognized by the *SFI Implementation Committee*.

SFI Implementation Committees will review, when requested, *certified logging professional programs* to determine if they meet the criteria in *SFI 2015-2019 Forest Management Standard* indicator 11.2.3 and *SFI 2015-2019 Fiber Sourcing Standard* indicator 6.2.3. This process is identical to the one currently in use by *SFI Implementation Committees* for evaluating credible logger training programs.

11.2.3 and 6.2.3. Participation in or support of *SFI Implementation Committees* to establish criteria for recognition of logger certification programs, where they exist, that include:

- a. completion of *SFI Implementation Committee* recognized logger training programs and meeting continuing education requirements of the training program;
- b. independent in the forest verification of conformance with the logger certification program standards;
- c. compliance with all applicable laws and regulations including responsibilities under the U.S. Endangered Species Act, the Canadian Species at Risk Act and other measures to protect wildlife habitat;
- d. use of best management practices to protect of water quality;
- e. logging safety;
- f. compliance with acceptable silviculture and utilization standards;
- g. aesthetic management techniques employed where applicable; and
- h. adherence to a management or harvest plan that is site specific and agreed to by the forest landowner.

11.3—Expectations for On-site Supervision by and Certified Logging Companies

SFI 2022 Forest Management Standard Indicator 12.3.1 i. and *SFI 2022 Fiber Sourcing Standard* Indicator 6.1.6 c. require 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 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 environmental and legal risks inherent with a logging site can vary. When assessing whether a logging site needs a trained supervisor “onsite regularly” it is the knowledge of such risks that needs to be 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 assessment. Using this assessment, 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.

12.—Illegal Logging

The *SFI program* has strong existing measures in the *SFI 2015-2019 Standards and Rules* to avoid sourcing fiber from *illegal logging*. These measures are reinforced by the *SFI Policy on Illegal Logging* (September 2008). These measures address the issue of *illegal logging* from sources within the United States and Canada and off shore.

The United States Lacey Act, as amended May 22, 2008, makes it unlawful to import, export, transport, sell, receive, acquire, or purchase in interstate or foreign commerce any plant, with some limited exceptions, taken, possessed, transported or sold in violation of the laws of the United States, a State, an Indian tribe, or any foreign law that protects plants from removal or that regulates the removal of plants and products made from illegally removed plants. The European Union Timber Regulation (EUTR), applied since March 3, 2013, prohibits illegally harvested timber, or products derived from such timber, to be brought into the EU and creates due diligence obligations for operators who place timber and timber products on the EU market.

SFI 2015-2019 Fiber Sourcing Standard Objective 12 has the requirements for avoidance of *controversial sources* including *Illegal Logging* when sourcing from regions outside of the United States and Canada.

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

Indicator 12.1.1. Process to assess the risk that the *Program Participant's fiber sourcing program* could acquire material from *illegal logging* such as consulting information from the World Resources Institute Forest Legality Risk Tool, the World Bank Legal Rights Index, or Transparency International.

SFI 2015-2019 Forest Management Standard Objective 9 and *SFI 2015-2019 Fiber Sourcing Standard* Objective 4 requires legal and regulatory compliance with applicable federal, provincial, state and local laws and regulations.

SFI 2022-2019 Forest Management Standard Performance Measure 9.1 and *SFI 2015-2019 Fiber Sourcing Standard* Performance Measure 4.1:

Program Participants 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*.

SFI 2022-2019 Fiber Sourcing Standard Indicator 4.1.4:

Program to assess the risk that the *Program Participants* Certified Organizations *fiber sourcing program* could acquire material from *illegal logging* by considering some of the following:

- a. — communications with suppliers;
- b. — independent research;
- c. — contract documentation; and
- d. — maintain records.

The definition of *illegal logging* is intended to cover intentional violations, such as timber theft from areas that are precluded from logging, falsification of official documents, avoidance of

harvest payments and duties, and deliberate removal of trees from the land without the legal right to do so. The definition is not intended to cover isolated occurrences of legal infractions such as unintentional trespass over a property line (for private ownership) or unit boundaries (for public ownership), violation of roadway laws, or minor contract disputes. As stated in *SFI 2015-2019 Forest Management Standard* Objective 9 and *SFI 2015-2019 Fiber Sourcing Standard* Objective 4, *Program Participants Certified Organizations* are required to comply with applicable federal, provincial, state and local laws and regulations.

13. ILO Core Conventions

SFI 2015-2019 Forest Management Standard Performance Measure 9.2 and *SFI 2015-2019 Fiber Sourcing Standard* Performance Measure 4.2 addresses differences in U.S. labor law and the ILO core conventions. Additional guidance is provided here for application of 9.2 and 4.2 for independent contractors and for *Program Participants Certified Organizations*.

Application of *SFI 2015-2019 Forest Management Standard* Performance Measure 9.2 and *SFI 2015-2019 Fiber Sourcing Standard* Performance Measure 4.2 for independent contractors operating on lands owned or controlled by *Program Participants 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 *Program Participant*, *SFI Inc.* and the *SFI ILO Task Force*. Information received will be reviewed every 6 months by the *SFI ILO Task Force* which will develop recommendations to the *SFI Inc.* Board of Directors for resolution of any significant problems identified.
- Indicators 9.2 and 4.2 shall only apply to the core conventions not fully covered by existing U.S. or Canadian law.
- Right to Organise (No. 87)
- Right to Organise and Collective Bargaining (No. 98)
- Discrimination (111).
- In addition, any ILO related issue that is being addressed through a formal grievance process or before any of the agencies established by the U.S. National Labor Relations Act (NLRA), the appropriate Provincial Labour Code or Act, or the courts until those processes are completed, 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 Forest Management Standard* Performance Measure 9.2 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 9.2.2 through the inconsistent practices procedures outlined in the *SFI* Public Inquiries and Official Complaints (Section 11) requirements, item 3.

- ~~All information collected through the inconsistent practices process will be reviewed every 6 months by the *SFI ILO* Task Force which will develop recommendations to the *SFI Inc.* Board of Directors for resolution of any significant problems identified.~~
- ~~Indicator 9.2.2 shall only apply to the core conventions not fully covered by existing U.S. or Canadian law.~~
- ~~Right to Organise (No. 87)~~
- ~~Right to Organise and Collective Bargaining (No. 98)~~
- ~~Discrimination (111).~~
- ~~In addition, any ILO related issue that is being addressed through a formal grievance process or before any of the agencies established by the U.S. National Labor Relations Act (NLRA), the appropriate Provincial Labour Code or Act, or the courts until those processes are completed will not be subject to review, consideration or recommendations by the *SFI ILO* Task Force nor by the *SFI Inc.* Board of Directors.~~

Public forest landowners in states (Alabama, North Carolina and Virginia) that currently have laws prohibiting bargaining with their public employees shall be "grandfathered in" as meeting the requirements in indicator 9.2.2 but must still participate in the information gathering process with their *certification bodies* (for independent contractors) and the inconsistent practices process in item 8.4 of the *SFI* Public Inquiries and Official Complaints (Section 11) requirements to aid in resolution of any issues that may be identified.

3. SFI 2022 Fiber Sourcing Standard, SFI 2022 Chain of Custody Standard and SFI 2022 Certified Sourcing Standard

14.—*SFI Due Diligence System for Assessment Risk of Sourcing from Controversial Sources 2015–2019 Chain of Custody Standard and SFI On-Product Label Use*

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 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 & 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, State, Provincial or 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 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
 - 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 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 policy on genetically modified trees via 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) 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 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.

4. 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 202215-2019 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 202215-2019 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 202215-2019 Forest Management Standard are required to obtain SFI 202215-2019 Fiber Sourcing Standard certification. Organizations with multiple forest management units/tenures and multiple manufacturing facilities have 2 years to ensure certification to the respective SFI Standards.

Commented [SFI 7]: From SFI January 2016 Interpretation #1, Part 6

Primary Producers with SFI Chain of Custody and SFI Fiber Sourcing Certification

1.2 - Additional Requirements Per the requirements in the SFI 202215-2019 Chain of Custody Standard (1.2 Additional Requirements), requires primary producers must also to conform to the SFI 202215-2019 Fiber Sourcing Standard if they choose to get certified to the SFI 202215-2019 Chain of Custody Standard.

However, we understand the work requirements needed to obtain a certification to the SFI 202215-2019 Fiber Sourcing Standard, and given this work requirement, primary producers have 2 years to ensure certification to the SFI 202215-2019 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 8]: From SFI August 2016 Interpretation #3, Part 6

14.2—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. Those The scoped-in organizations are subject to sample audits. Certification bodies shall follow guidelines in Section 9 SFI 2022 Audit Procedures and Auditor Qualifications and Accreditation - Appendix 1, for "multi-site organizations." If the Certified Organization Program Participant scopes in primary producers,

the ~~Certified Organization Program Participant~~ is also responsible for all ~~SFI Implementation Committee~~ related activity for that company.

14.1—Defining the *Product Group*

~~SFI 2015–2019 Chain of Custody Standard at Part 3.2.1 and Appendix 1 allows an organization to define the *product group(s)* for which the certification percentage is calculated. The *product group* should be identified for specific products or groups of products. The organization should include in one *product group* only products 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.~~

14.3—Exemption from *SFI Chain of Custody*

~~An organization (such as a warehouse or distribution center) that passes on *SFI* certified material/product does not need an *SFI* chain of custody system provided the *SFI* certified material/product is in its original packaging and the material/product is identified with an *SFI* chain of custody on product label.~~

14.4—Eligibility of Credits—Volume Credit Method

~~An organization using the Volume Credit method can start counting all eligible credit after the completion of a successful internal audit of the chain of custody system and completion of a management review of the chain of custody system performance. Eligible credits can be accumulated up to 365 days prior to the initial registration audit. Accumulated credits can be utilized for the sale of products only after successful completion of the registration audit and receipt of the chain of custody certificate from their *certification body*.~~

14.5—*Controversial Sources* and De Minimis Amounts

~~Organizations wishing to utilize de minimis amounts of materials sourced from outside of the United States and Canada in their product(s) must conform to the requirements of the *SFI 2015–2019 Fiber Sourcing Standard, Appendix 1: Part 6—Due Diligence System to Avoid *Controversial Sources** or~~

the ~~SFI 2015–2019 Chain of Custody Standard Part 4 – Due Diligence System to Avoid Controversial Sources.~~

~~145–~~5. *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 the *SFI program* and make important contributions in assuring *SFI Standard* conformance and *SFI program* recognition. The state, provincial and regional *SFI Implementation Committees* are semi-autonomous committees reflecting significant geographic and organizational diversity. This flexible, grassroots infrastructure is a fundamental strength of the *SFI program* and its goal to promote responsible *forestry* across all forest ownerships.

The definition of *SFI Implementation Committee (SIC)* in Section 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 the *SFI program*, including sustainable forest management."

The *SFI Implementation Committee* governance document for reviewed for relevance to the current *SFI program*, and to ensure consistency with the *SFI ~~2015–2019:2022 Standard and Rules~~*. The *SFI Implementation Committee* governance document will be updated in conjunction with future *SFI Standard* revisions, and may also be reviewed between scheduled revisions if there are significant *SFI program* changes.

Some key elements from the governance document and how they relate to the *SFI ~~2022–2015–2019 Standards~~* are included here.

Vision Statement

SFI Implementation Committees (SICs) are an integral part of the *SFI program* and play a vital role in promoting training and landowner outreach, maintaining integrity of the *SFI program* and supporting and promoting responsible *forestry* and the *SFI program* at local levels.

Mission Statement

The Memorandum of Understanding (MOU) defines the *SIC* Mission, ensuring *SIC* goals and priorities are based on recommendations from the *SIC* Governance Review Ad-hoc Committee. The MOU clarifies both the *SIC* mission and supports obligations for *SFI ~~Program Participants~~Certified Organizations* as follows:

- I. Overall *SIC* Mission – Effectively facilitate or manage at a state, provincial or regional level the *programs* and alliances which support the growth of sustainable forest management through the *SFI program*.
- II. Core *SIC* Mission – Priorities for all *SICs*:
 - a. Training & Education – Establish criteria and identify delivery mechanisms for *qualified logging professional, qualified resource professional* and

wood producer training, and defining what it means to be “SFI trained.”⁹
Establish criteria for recognition of *certified logging companies*~~professional programs~~, where they exist.¹⁰

- b. Inconsistent Practices – Establish protocols for addressing, investigating, and responding to *SFI Standard* nonconformity allegations and inconsistent practices, and allegations regarding non-~~Certified Organization~~*Program-Participant* forest management practices.¹¹
- c. Landowner Outreach – Focus landowner outreach efforts on education and technical assistance.¹²
- d. Informational Resources — Focus informational resource efforts on increasing *SFI program* recognition, awareness and support with groups, such as local opinion leaders and *forestry* resource professionals.¹³
- e. Annual Reporting — Submit the *SIC* Annual Progress Report to *SFI Inc.*
- f. *SFI Program* Integrity¹⁴ -- Protect the integrity of the *SFI program* by:
 - a) ensuring proper *SIC* service mark usage;
 - b) alerting *SFI Inc.* when improper communications or misleading claims are observed;
 - c) avoiding the appearance of participation or compliance by non-*SFI Program-Participants*~~Certified Organizations~~; and
 - d) avoiding appearance of *third-party certification* by non-certified *SFI Program-Participants*~~Certified Organizations~~.

III. Secondary *SIC* Mission – Below are priorities which may be determined by each *SIC*; however, individual participants may choose not to participate or support these *objectives*.

- a. Training & Education — Provide delivery mechanisms for *qualified logging professional*, and *qualified resource professional*, and *wood producer* training to address *SFI program* needs not adequately provided by other *programs*.
- b. Market Outreach – Sponsor active market outreach efforts in local communities that may include *paid* advertising.
- 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 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-Participants~~*Certified organization's* *sustainable forestry programs*.¹⁵
- e. Research – Promote *forestry* research, science and technology, upon which sustainable forest management decisions are based.¹⁶

⁹ *SFI 202215-2019 Standard* Indicator 121.2.1 & 12.2.2 (FM) and 6.2.1 & 6.2.2 (FS).

¹⁰ *SFI 202215-2019 Standard* Indicator 121.32.13 (FM) and 6.32.13 (FS).

¹¹ *SFI 202215-2019 Standard* Performance Measure 132.3 (FM) and 7.3 (FS).

¹² *SFI 202215-2019 Standard* Indicators 132.1.1 and 132.2.1 (FM) and 7.1.1 and 7.1.2 (FS).

¹³ *SFI 202215-2019 Standard* Performance Measure 132.2 (FM) and 7.2 (FS).

¹⁴ *SFI 202215-2019 Standard* Indicators 132.3.1 and 132.3.2 (FM) and 7.3.1 and 7.3.2 (FS).

¹⁵ *SFI 202215-2019 Standard* Performance Measure. 119.2 (FM) and 8.1 (FS).

¹⁶ *SFI 202215-2019 Standard* Objective 119 (FM) and Objective 5 (FS).

SIC Organization

SICs are semi-autonomous committees reflecting significant geographic and organizational diversity. This flexible, grassroots infrastructure is a fundamental strength of the *SFI* program and our goal to promote *sustainable forestry* across all ownerships.

SIC Participation

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* where significant operations exist, i.e. majority of forestland owned and/or fiber procured. The expectation is that *Program Participant's Certified Organizations* with facilities within the scope of an *SFI 2015-2019 2022 Fiber Sourcing Standard* certificate will support all the *SICs* in the regions, states or provinces where they procure fiber. However, there may be regions, states or provinces where a *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.

156-6. Transition to the SFI 2022 15-2019 Standards and Rules

Changes adopted by the *SFI Inc.* Board of Directors to the *SFI Standards* must be incorporated into a *Program Participant's Certified 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 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-ParticipantsCertified 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-ParticipantsCertified 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 Standard and/or the ~~2015-2019~~2010-2014 SFI Chain of Custody Standard or the SFI ~~2015-2019~~2022 Standards and Rules at the ~~Program-ParticipantsCertified Organizations~~ 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 87)

May 1, 2020

Table of Contents

| | |
|--|---|
| 1. SFI POLICY ON ILLEGAL LOGGING | 3 |
| 2. SFI POLICY ON FOREST TREE BIOTECHNOLOGY | 4 |

Part 1: SFI Policy on Illegal Logging¹

The *SFI program* has strong existing measures in the *SFI 2022-15-2019 Forest Management Standard*, *SFI 2022-15-2019 Fiber Sourcing Standard*, *SFI 2022 Certified Sourcing Standard* and the *SFI 2022-15-2019 Chain of Custody Standard* to avoid illegal sources of supply. This appendix covers the issue as to whether an organization can certify one operation to the *SFI 2022-15-2019 Fiber Sourcing Standard* (Section 3, Appendix 1), the *SFI 2022 Chain of Custody Standard* (Section 4) or *SFI 2022 Certified Sourcing Standard* (Section 5) or 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 *2010-2014 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).
 - "Affiliate" means any person or entity that directly or indirectly controls, is controlled by, or is under common control with the proposed licensee.

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.

- “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 Biotechnology⁵

The *SFI program* has strong existing measures in the *SFI 20~~22~~15-2019 Forest Management Standard* and the *SFI 20~~22~~15-2019 Fiber Sourcing Standard* regarding research on genetically ~~modified engineered~~ 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 engineered~~ trees via *forest tree biotechnology* change, *SFI Inc.* will proactively review and update the *SFI 20~~22~~15-2019 Standards and Rules* language and this *policy* as necessary.

Commented [SFI 2]: Adopting the term ‘genetically modified’ trees to align with PEFC terminology.

- A. *SFI Inc.* recognizes that *forest tree biotechnology* offers the potential to prevent the loss of tree species like the American Chestnut due to devastating diseases and to further improve the quality and *productivity* of trees, their resistance to insects and disease and to grow trees with characteristics that allow them to be more efficiently manufactured into building products, paper and to provide feedstock for bioenergy.
- B. *SFI Inc.* recognizes that genetically ~~modified engineered~~ forest trees are not approved for commercial *plantings* in the United States and Canada and, even if approved in the future, it will take many years for fiber from genetically ~~modified engineered~~ forest trees to reach manufacturing facilities.
- C. *SFI Inc.* realizes that much research is still being conducted to study the ecological cost benefits of genetically ~~modified engineered~~ trees and regulations concerning forest biotechnology continue to evolve. As such research and regulations develop; *SFI Inc.* will review to understand the impacts of genetically ~~modified engineered~~ trees from an ecological perspective.
- D. *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 engineered~~ trees until December 31, 20~~22~~15:

“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-modified trees indicates that impacts on human and animal health and the environment are equivalent

⁵ As approved by the *SFI Board of Directors* December 5, 2013.

⁶ 5.1.2 (FS) and 10.1.2 (FM). Research on genetically ~~modified engineered~~ trees via *forest tree biotechnology* shall adhere to all applicable federal, state, and provincial regulations and international protocols.

Definition: As commonly used, *forest tree biotechnology* encompasses structural and functional studies of genes and genomes (including development and application of genetic markers); various methods of vegetative reproduction such as micro-propagation, tissue culture, and somatic embryogenesis; and genetic engineering (GE), which is the physical manipulation and asexual insertion of genes into organisms.

⁷ PEFC ST 1003:2018~~9~~, Sustainable Forest Management-Requirements, 85.4.7.

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 20~~22~~¹⁵."

- E. Given the issues identified in item (b) regarding legal approval and lack of commercialization and in item (d) regarding PEFC requirements for endorsement of the *SFI program*, the use of fiber from genetically ~~modified engineered~~ trees via *forest biotechnology* is not approved for use in *SFI* labeled products.
- F. The *SFI 20~~22~~¹⁵ 2019 Standards and Rules* requirements regarding research on genetically ~~modified engineered~~ trees via *forest tree biotechnology* will remain in place.
- G. *SFI Inc.* will proactively review and update the *SFI 20~~22~~¹⁵ 2019 Standard and Rules* language and this *policy* as necessary.



SFI Standards Development and Interpretations Process **(Section 98)**

May 1, 2020

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.

Table of Contents

| | |
|--|-----------|
| <u>1. PROCEDURES FOR <i>SFI</i> STANDARDS REVISION</u> | <u>3</u> |
| <u>1.1 NORMATIVE REFERENCES</u> | <u>3</u> |
| <u>1.2 SFI STANDARDS-SETTING PRINCIPLES</u> | <u>3</u> |
| <u>1.3 ROLES AND RESPONSIBILITIES</u> | <u>3</u> |
| <u>1.4 PROCEDURES</u> | <u>7</u> |
| <u>SFI STANDARDS REVISION PROCESS TABLE 1</u> | <u>11</u> |
| <u>SFI STANDARDS REVISION PROCESS TABLE 2</u> | <u>12</u> |
| <u>4. INTERPRETATIONS</u> | <u>16</u> |

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

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.sfiprogram.org or publicly available so interested parties can follow developments during and after the process.

1.3.1 Roles Actors and Responsibilities

The *SFI* Board of Directors is responsible for standard development and revision and will convene the Forum of Stakeholders. The *SFI* Board of Directors, Resources Committee and the External Review Panel (independent oversight role) and other stakeholders groups identified in the stakeholder mapping exercise. The constitute the Forum and will be structured to ensure that the revision process includes economic, environmental and social representation equally. Any individual can suggest candidates to for the the nominations committee Forum of Stakeholders. 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 Revision¹.

1.3.1.1 *SFI* Board

Commented [SFI 1]: This text is now redundant given the additional details in the rest of Section 9.

¹Section 8 – *SFI* Standards Development and Interpretations Process is publicly available and can be found on the SFI website.

SFI Board members include representatives of environmental, *conservation*, social professional and academic groups, independent professional loggers, small family forest owners, public officials, labor and the forest products industry. The 18 member *SFI* Board of Directors has representatives from the main geographic regions of the U.S. and Canada and includes:

- Six directors from non-profit environmental / *conservation* organizations representing the environmental sector;
- Six directors from community or social interest groups such as universities, labor, independent professional loggers, family forest owners or government agencies representing the social sector, and
- Six directors from the forest, paper and wood products industry or other for-profit forest ownership or management entities representing the economic sector.

SFI Board members are invited by the Board Nominations Committee to participate as directors and must be approved by the full Board. The Board is a voluntary Board.

1.31.2 *SFI* Resources Committee

Each *SFI Inc.* Board member appoints one person from their organization (or other organization they may choose) to serve on the *SFI Inc.* Resources Committee (RC) or the Board member may choose to represent themselves on the Resources Committee. As such, the Resources Committee has the same equal representation of social, environmental and economic interests and geographical scope as the *SFI Inc.* Board.

1.31.3 *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 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.

1.34.4 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 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 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

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 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.

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.

SFI Inc. will initiate a standard revision process every 5 years regardless of the information gathered from the gap analysis. 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:

- forest owners;
- business and industry;
- indigenous people;
- non-government organizations;
- scientific and technological community; and
- workers and trade unions.

Other groups shall be added if relevant to the scope of standard-setting activities.

Disadvantaged *stakeholders* and key *stakeholders* will be identified and any constraints to their participation in standard-setting activities will be addressed.

SFI Inc. will review the standard-setting process based on feedback received in response to the public announcement.

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.

Commented [SFI 8]: Incorporated from PEFC ST 1001, clause 8.3

Commented [SFI 9]: Aligns with ST 1001, clause 8.4 and 8.5 in PEFC (procedures for NOT revising a standard).

Commented [SFI 10]: Alignment with PEFC ST 1001, clause 6.2.1

Commented [SFI 11]: Alignment with PEFC ST 1001, clause 6.2.2.

Commented [SFI 12]: Alignment with PEFC ST 1001, clause 6.3.2

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.

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, trade associations, landowner associations, academia and all other *stakeholders* shall be invited to participate in the review process. The start of the standards review process and all subsequent public review periods shall be communicated publicly to all interested *stakeholders* with an invitation to provide comments on the standards and standard setting process.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~~ 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.sfiprogram.org/wp-content/uploads/SFI-Inc-Bylaws-2013.pdf>~~http://www.sfiprogram.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 ~~during the first quarter of the second review year,~~ followed by an additional 60 day public comment period to allow all *stakeholders* an opportunity to provide additional comments regarding proposed changes.

This draft will also be presented and discussed with *SFI Program Participants* and all other *stakeholders* at regional workshops ~~or via webinars~~ conducted by ~~the Forum and SFI Inc.~~ throughout the U.S. and Canada. All *stakeholders* who have commented on proposed changes or who have proposed changes to the *SFI Standards* shall use this opportunity to raise any concerns regarding their comments and the manner in which the *SFI Standards* Review *Task Group* addressed their comments or suggested changes.

Formal complaints regarding the disposition of comments ~~and standard-setting activities~~ shall be submitted in writing to the External Review Panel Secretariat (<https://www.sfiprogram.org/erp/>~~http://sfierp.org/erpfag~~) for review.⁶ The ERP shall

Commented [SFI 13]: Aligns with PEFC ST 1001, clause 6.5

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.

⁶ The ERP process for reviewing complaints is posted on the ERP website.

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 *Program Participants* have one year to fully implement new and revised *SFI Standards* elements adopted by the *SFI Board of Directors Forum*.

~~*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.

Printed copies of the standard will be available to participants 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.

SFI Standards Revision Process Table 1

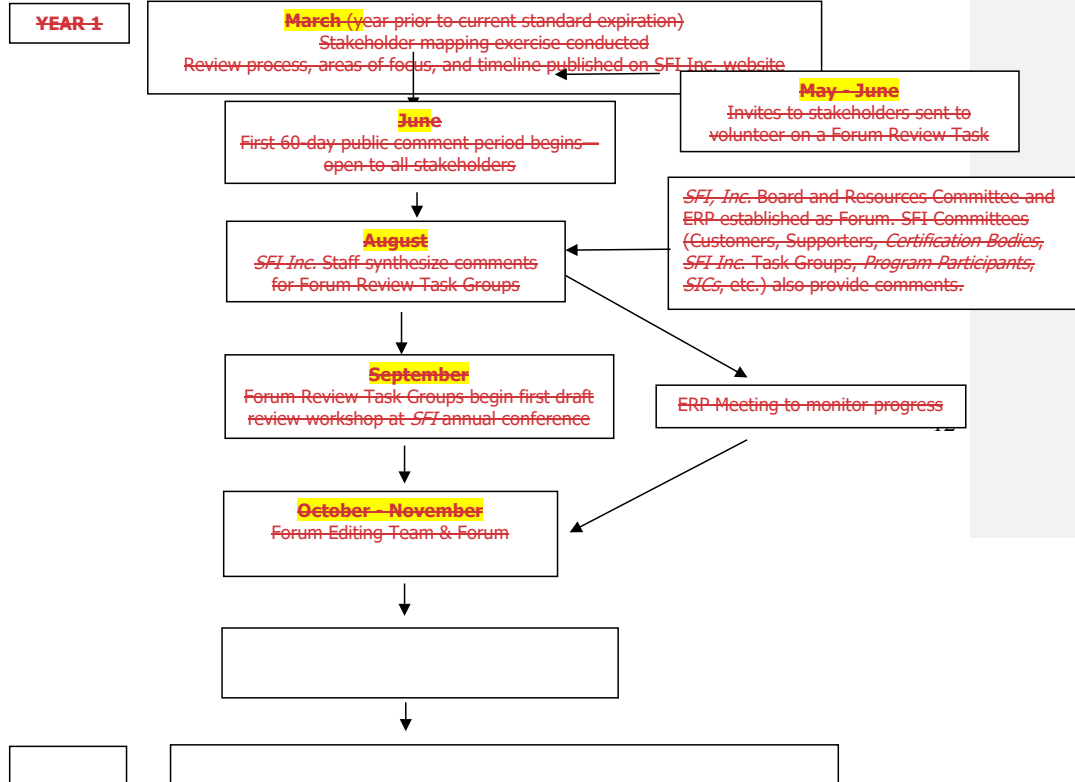
| Duration (in months) and order of the steps in the SFI Standards Revision Process (Table 1 of 2) (Process 2019-Dec 2020) | 2019 | | | | 2020 | | | | | | | | | | | | 2021 | | | | | | | | | | | | 2022 |
|--|---------|-----|-----|-----|------|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|------|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|------|
| | 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-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 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

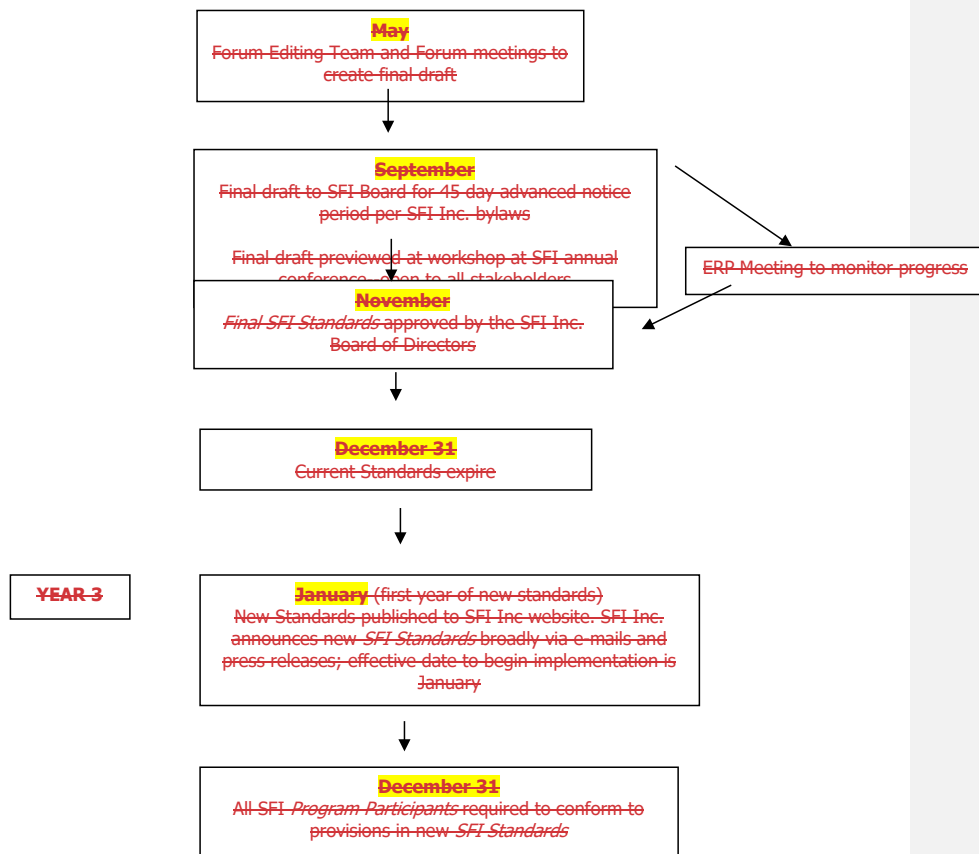
SFI Standards Revision Process Table 2

Figure 1: Procedure Used For SFI Standards Revision

| 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 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. | | | | |

Commented [SFI 16]: To be replaced with a chart showing timeline for key steps/phases in the revision process.

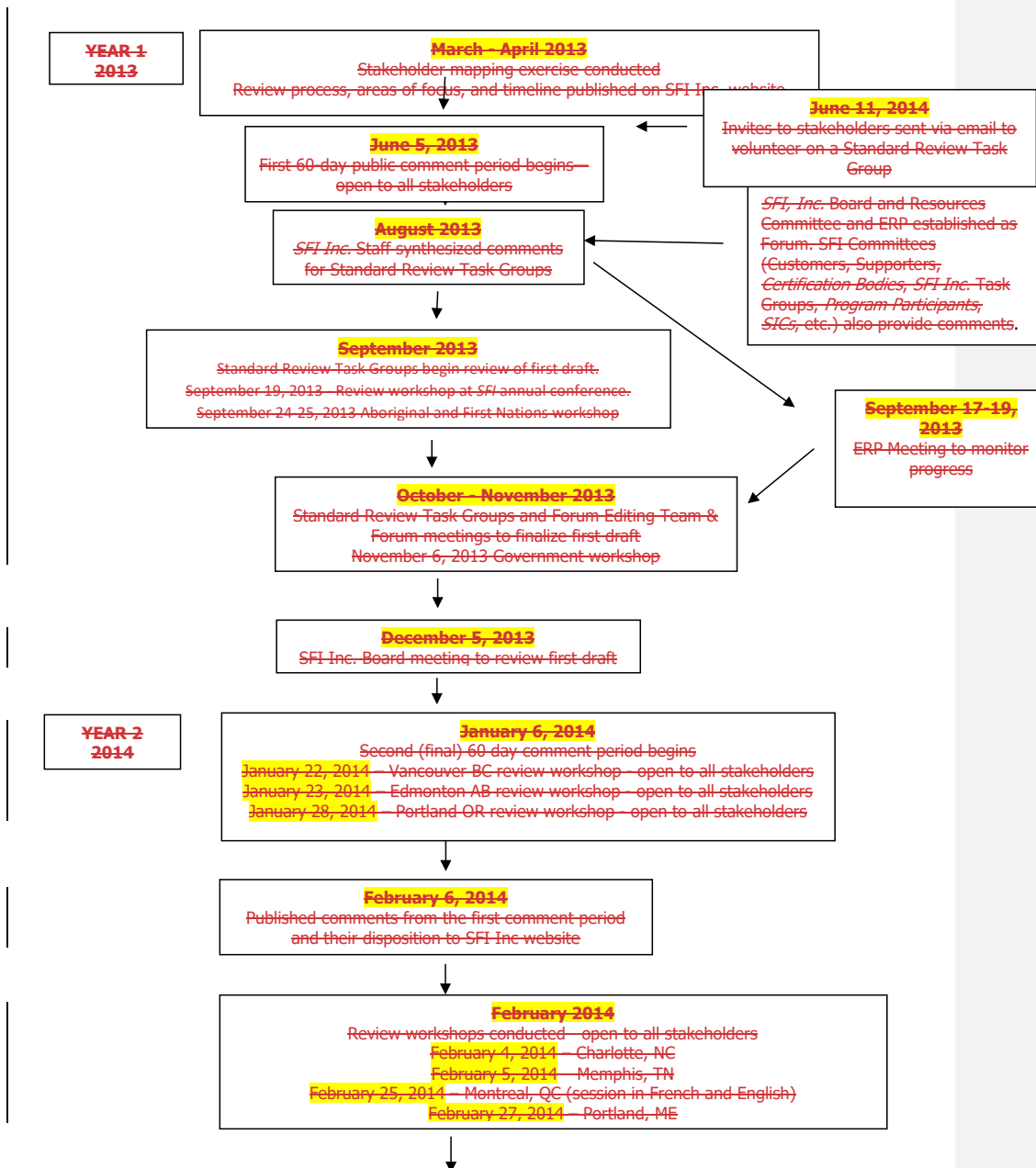


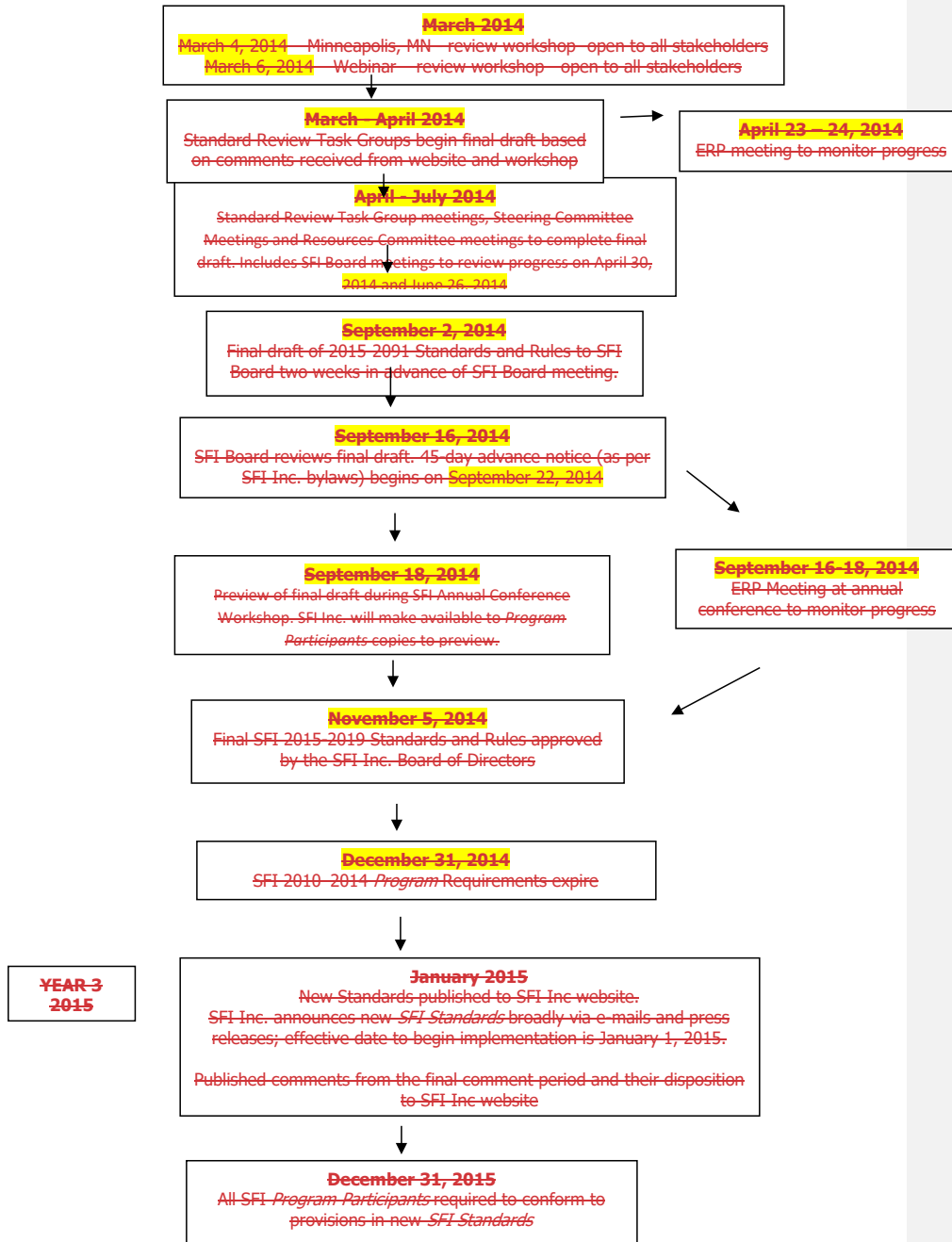


2. Development of the SFI 2015–2019 Standard

Figure 2: Procedure Used for the 2015–2019 SFI Standards Development

Commented [SFI 17]: Recommend removing. Much of what is here (process, timeline) is or will be available via the website. That wasn't really the case in 2014.





34. 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 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)***

May 1, 2020

Table of Contents

| | |
|--|----|
| INTRODUCTION | 3 |
| 1. SCOPE | 3 |
| 2. NORMATIVE REFERENCE | 3 |
| 3. TERMS AND DEFINITIONS | 4 |
| 4. PROCEDURES FOR IMPLEMENTING THE <i>PRINCIPLES</i> FOR <i>SFI</i> AUDITING | 4 |
| 5. <i>SFI</i> AUDIT ACTIVITIES | 4 |
| 6. COMPETENCE AND EVALUATION OF <i>CERTIFICATION BODIES</i> | 8 |
| 7. ACCREDITATION OF <i>CERTIFICATION BODIES</i> | 9 |
| APPENDIX 1: AUDITS OF MULTI-SITE ORGANIZATIONS | 11 |
| INTRODUCTION | 11 |
| 1. SCOPE | 11 |
| 2. REFERENCES | 11 |
| 3. PROCEDURES FOR IMPLEMENTING AUDITS OF MULTI-SITE ORGANIZATIONS | 12 |
| 4. COMPETENCE AND EVALUATION OF <i>CERTIFICATION BODIES</i> | 18 |
| 5. PUBLIC COMMUNICATION AND CLAIMS REGARDING MULTI-SITE CERTIFICATES | 19 |
| 6. OFFICIAL COMPLAINTS | 19 |
| APPENDIX 2: AUDITS OF GROUP CERTIFICATION ORGANIZATIONS | 20 |
| 1. SCOPE | 20 |
| 2. REFERENCES | 20 |
| 3. GROUP CERTIFICATION ORGANIZATIONS | 20 |
| 4. EVALUATING THE GROUP CERTIFICATION ORGANIZATION PERFORMANCE | 23 |
| APPENDIX 3: <i>SFI</i> CERTIFICATE REQUIREMENTS | 25 |

Introduction

All certification, recertification and surveillance audits to Sections 2, ~~and 3, 4 and 5~~ 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*.

~~All certification, recertification and surveillance audits to Section 3—Appendix 1: Rules for Use of SFI Certified Sourcing Label and Section 4 in the SFI 2015-2019 Standards and Rules shall be conducted by certification bodies accredited by the American National Standards Institute (ANSI) or the Standards Council of Canada to conduct SFI certifications.~~

Information related to the accreditation process can be found on the websites of ANSI-ASQ National Accreditation Board (www.anab.org), the American National Standards Institute (www.ansi.org) or the Standards Council of Canada (www.scc.ca).

Accredited *certification bodies* that provide certification services for *SFI* Sections 2 and 3 are required to maintain audit processes and conduct audits consistent with the requirements of:

- International Organization for Standardization (ISO) 17021:2015~~1~~ (Conformity assessment – Requirements for bodies providing audit and certification of management systems; and
- ISO TS 17021-2 (Part 2: Competence requirements for auditing and certification of environmental management systems).

Accredited *certification bodies* that provide certification services for *SFI* Section 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 ISO 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 17021:2015~~1~~, ISO TS 17021-2 and ISO 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 17021:2015~~1~~, ISO 17021-2 and ISO 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 5 *Standards*.

2. Normative Reference

Certification bodies and *auditors* conducting third-party audits to *SFI* Sections 2 and 3 in the *SFI 2022:15-2019 Standards and Rules* document must conform to the requirements of ISO

17021:2015~~1~~ and ISO 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 17065:2012. In addition, all *certification bodies* and *auditors* conducting third-party audits to *SFI* Sections 2, 3, ~~or~~ 4 or 5 in the *SFI 202215-2019 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 4~~, IAF MD 5, IAF MD 11, etc.).

3. Terms and Definitions

Definitions of terms can be found in the Section 13 of the *SFI 202215-2019 Standards and Rules* document.

4. Procedures for Implementing the Principles for *SFI* Auditing

ISO 17021:2015~~1~~ 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 an ~~*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* or *Certified Sourcing Standard* cannot be issued

by the *certification body* until the applicant has become an *SFI Program Participant*. It should be noted that the *SFI 2022-2019 Standards and Rules* is a publicly available document and, as such, anyone who wants to can offer their "opinion" on an organization's conformance to it. However, because "Sustainable Forestry Initiative" and "SFI" are registered service marks, an entity would infringe on this ownership in violation of the federal intellectual property laws if they were to use the service marks in a public claim about the "opinion" without becoming an *SFI Certified Organization*.

5.2 Certification of Multiple Sites

ISO 17021: 2015⁵⁴ 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 17021:2015* Clause 9.1.5 that is subject to the specific requirements of relevant standards.

Within the context of the *SFI Sections 2 and 3 SFI 2022-2019 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 2022-2019 Sections 2 and 3 Standard Indicators*

Program-Participants *Certified Organizations*, with consent of the *certification body*, may substitute or modify *indicators* in *SFI 2022-2019 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 2022-2019 Sections 2 and 3 Standards performance measures and indicators* and with the *principles of sustainable forestry*, and that the changes are appropriate for specific local conditions and circumstances and the *Program-Participant's Certified Organization's* scope of operation.

Additional *indicators* beyond those identified in the *SFI 2022-2019 Sections 2 and 3 Standards*, if included by the *Program Participant*, shall be audited like all other *indicators*.

5.4 Determination of Conformance

5.4.1 The *certification body* shall assess conformance to each element of the *SFI 2022-2019 Sections 2 and 3 Standards'*, *objectives*, *performance measures* and *indicators* within the scope of the audit. *SFI 2022-2019 Standards'* elements are *objectives*, *performance measures* and *indicators*. The introduction (Section 1) to the *SFI 2022-2019 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 2022-2019 Forest Management Standard* and the *SFI 2022-2019 Fiber Sourcing Standard*.

5.4.2 The *certification body* shall assess conformance to each element of the *SFI 2022-2019 Chain of Custody Standard* and *SFI 2022 Certified Sourcing Standard* requirements within the scope of the audit. The preface to the *SFI 2022-2019 Chain of Custody Standard* and *SFI 2022 Certified Sourcing 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 2022-2019 Standards Sections 2 and 3 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 2022-2019 Standards Sections 2 and 3 program* requirements on the ground and *SFI 2022-2019 Chain of Custody Standard of SFI 2022 Certified Sourcing 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 17065:2012.

Commented [SFI 1]: 2015-2019 Interpretation #2, Part 6.

5.5 SFI Technical Audit Report to the Program Participant

The ISO document 17021:2015~~54~~ at 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:

- a. the audit plan;
- b. a description of the audit process used;
- c. the number of *auditor* days used to conduct the audit, including both on-site and off-site audit activities;
- d. information regarding any meetings or correspondence between the *audit team* and government agencies, community groups, affected *Indigenous Peoples* and *conservation* organizations;
- e. documentation of the rationale for the substitution or modification of any *indicators*;
- f. a schedule for surveillance and recertification;
- g. any specific focus areas for the next audit visit.

See Section 1~~10~~ 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, 4 and 5 Standards* 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 ISO/IEC 17021:~~2015~~ for more information.

In order to *minimize* disruptions in operations due to the transfer of certified forestlands and or facilities from one ~~certified-Certified OrganizationProgram-Participant~~ to another, the SFI Office of Label Use and Licensing will honor current SFI certifications for the forestlands and or facilities involved in the transfer for a period of 90 days for SFI product labeling purposes provided:

- a. The parties involved request this grace period in writing prior to the transfer of the assets with documentation confirming that there will not be significant variation in the current operations, environmental management systems, personnel, etc. during the transfer.
- b. The party receiving the assets must provide documentation demonstrating the timeline for obtaining their new SFI certification from an accredited *certification body*.
- c. The party desiring to utilize the SFI product labels must be in full conformance with Sections 2, 3, ~~4~~ 4.5 and Section ~~65~~ of the SFI ~~2022-15-2019~~ Standards and Rules.

6. Competence and Evaluation of Certification Bodies

6.1 Qualifications of Audit Teams

Audit teams shall have the competence (knowledge and skills) to conduct an audit in accordance with the *principles* of auditing. The *certification body* shall select *audit team* members appropriate to the scope, scale and geography of the operation being audited. Additionally, at least one member of the *audit team* shall have knowledge of *forestry* operations in the region undergoing the audit, at least one member shall have knowledge of applicable laws and regulations, at least one member shall have knowledge of the socio-demographics and cultural issues in the region, and at least one member shall be a professional forester as defined by the Society of American Foresters (SAF), the Canadian Institute of Forestry, or licensed or registered by the state(s) or province(s) in which the certification is conducted. For forest management audits, the *audit team* shall have expertise that includes plant and *wildlife* ecology, *silviculture*, forest modeling, forest operations, occupational safety and health, international labor standards, and hydrology. One specialist per discipline is not required to meet any of the above requirements.

6.2 Qualifications of Auditors

ISO document 17021:2015~~1~~ at Section 7.1 and Section 7.2 addresses general competence requirements for *certification bodies* providing audit and certification of management. This is supplemented by the environmental management system-specific competence requirements contained in ISO 17021-2 and ISO 19011:2018 Guidelines for auditing management systems.

In addition to the competence requirements contained in ISO 17021:2015~~1~~ and ISO 17021-2 and ISO 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 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 2022-2024 Standards*.

An *auditor* who maintains Certified Forester, Registrar Accreditation Board, or Canadian Environmental Certification Approvals Board sustainable forest management *auditor* (EP(EMSLA)) certification, or equivalent, shall be considered to have fulfilled continuing education requirements.

7. Accreditation of Certification Bodies

The *SFI program* requires *certification bodies* to be accredited in order to conduct *SFI certifications* and issue certificates.

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 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*

Formatted: Tab stops: 1.27 cm, Left

Formatted: Font: Not Italic

Formatted: Font: Bold

Formatted: Indent: Left: 0 cm

Formatted: Font: Bold

Formatted: Indent: Left: 1.27 cm, First line: 1.27 cm

Formatted: Indent: Left: 2.54 cm, Hanging: 1.27 cm, Numbered + Level: 1 + Numbering Style: a, b, c, ... + Start at: 1 + Alignment: Left + Aligned at: 0.63 cm + Indent at: 1.27 cm

Formatted: Indent: Left: 2.54 cm, Hanging: 1.27 cm, Numbered + Level: 1 + Numbering Style: a, b, c, ... + Start at: 1 + Alignment: Left + Aligned at: 0.63 cm + Indent at: 1.27 cm

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 5.1 of the *SFI Audit Procedures* and *Auditor Qualifications* and Accreditation document and provides additional normative guidance for *certification bodies* wishing to audit multi-site organizations on a sample basis.

1. Scope

Audits of multi-site organizations applying a sampling approach to assess conformance with:

- 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 20~~22~~15-2019 Chain of Custody Standard
- iv. Section 5 – SFI 2022 Certified Sourcing Standard
- v. Section ~~65~~ - *Rules For Use Of SFI On-Product Labels and Off-Product Marks*

2. References

IAF Mandatory Document for The Certification of Multiple Sites Based on Sampling Issue 1 (IAF MD1: 20~~1807~~) – (Normative for *SFI 20~~22~~15-2019 Standards Sections 2 and 3*, Informative for *SFI 20~~22~~15-2019 Standard Sections 4 and 5*.)

IAF Mandatory Document for Duration of QMS and EMS Audits Issue 1 (IAF MD 5: 20~~1509~~) – (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.~~

Commented [SFI 2]: Moved to Section 14 Definitions

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 as the basis for sampling shall meet the eligibility criteria established in IAF-MD1, including but not limited to the following:

- a. The processes at all sites have to be substantially of the same kind and have to be operated to similar methods and procedures.
- b. The organization's management system shall be under a centrally controlled and administered plan and be subject to central management review and all relative sites (including the central administration function) shall be subject to the organization's internal audit *program*.
- c. It shall be demonstrated that the central office of the organization has established a management system in accordance with the *SFI 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;
- vi. Changes to aspects and associated impacts for environmental management systems and
- vii. Different legal requirements.

34.1.2 A Central Function¹ shall be established that shall:

- a. represent the multi-site organization in the certification process, including communication and relationship with the certification body;
- 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 2015-2019 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;²
- 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 3]: Adapted from PEFC ST 2002-2020

Commented [SFI 4]: Moved from 4.1.2 below.

¹ The Central Function comprises the system of processes and procedures necessary to manage the multi-site organization and is not a physical location.

² Annual performance data on overall organizational conformance implies that all sites have been internally audited, or monitored, prior to the initial audit and subsequent audit.

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 5]: Moved from 4.1.2 f. below

Commented [SFI 6]: Moved from 4.1.2 f. below

34.1.42 Multi-Site Organizations using alternate approaches to sampling provided for in Section 10, clause 5.24 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:

- a. The alternate sampling approach must be accompanied by a written justification demonstrating that the same level of confidence in conformity with the *SFI 202215-2019 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 Function³ 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 202215-2019 Forest Management Standard*) the forest area associated with each participating site;~~

³The Central Function comprises the system of processes and procedures necessary to manage the multi-site organization and is not a physical location.

- v. maintain an internal audit or monitoring *program* sufficient to ensure overall organizational conformance with the relevant standard;⁴
 - 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 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

⁴Annual performance data on overall organizational conformance implies that all sites have been internally audited, or monitored, prior to the initial audit and subsequent audit.

~~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~~

~~35.21 Sampling Approaches~~

~~35.21.1 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.~~

~~35.21.2 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;⁵⁶~~
- ~~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 audits⁷~~
 - ~~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~~

Commented [SFI 7]: Incorporated into new Appendix 2 – Audits of Group Certification Organizations

⁵ 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.

⁶ 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.

⁷Where n = the number of sites within the stratum.

- g. In addition to site audits, the central function shall be audited on an annual basis.⁸

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~~ of the *SFI 202215-2019 Standards and Rules* document.
 - ~~Every five years Triennial basis~~ for re-certification audits of conformance with the *SFI Section 2, 3, 4 and 5 of the SFI 202215-2019 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 17021:2011 Section 9.1.4 Determining audit time, IAF-MD5 and (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.⁹

35.65 Audit Reporting

⁸Auditing 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.

⁹ For example, where Operation A has a *minor nonconformity* raised in 202215, it will be necessary to close this out in 202316 regardless of whether Operation A was scheduled to be one of the sites sampled in 202316. As a result, the sampling strategy will need to include a process for closing out open site-level nonconformities.

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
 - i. 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*;
- 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.

46. Competence and Evaluation of Certification Bodies

Commented [SFI 8]: 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*

46.1 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 2022-15-2019* Section 2 and Section 3 requirements, *certification bodies* shall prepare a summary audit report that, in addition to the requirements of *SFI Communications and Public Reporting* (Section 1.10) in the *SFI 2022-15-2019 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

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.¹⁰

Commented [SFI 9]: This section does not address interpretations or public inquiries.

¹⁰ 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.

Appendix 2: Audits of Group Certification Organizations **[Normative]**

1. Scope

Audits of group certification organizations applying a sampling approach to assess conformance with:

- i. Section 2 - *SFI 2022 Forest Management Standard*
- ii. Section 3 - *SFI 2022 Fiber Sourcing Standard*
- iii. Section 4 - *SFI 2015-2019 Chain of Custody Standard*
- iv. Section 5 – *SFI Certified Sourcing Standard*
- v. Section 6 - *Rules for Use Of SFI On-Product Labels and Off-Product Marks*

2. References

IAF Mandatory Document for Duration of Quality, Environmental and Occupational Health and Safety Management Systems (IAF MD 5: 2019) – (Informative).

3. Group Certification Organizations

Commented [SFI 10]: Requirements adapted from PEFC ST 1002-2018 Group Forest Management Certification.

3.1 Group certification organizations formed to achieve SFI 2022 Standards certification shall meet the requirement for the group manager (central function) in 3.3.1 and the group members in 3.3.2 below. Group certification organizations formed to achieve SFI 2022 Forest Management Standard 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 participants 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 requirements in the group management system;
 - c. to continuously improve the group management system;
 - d. to continuously support the improvement of the sustainable management of the land/forests by the 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
- 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 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 members of the group;
- 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 certification group 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 participant 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 acting 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, whether in connection with formal audits or reviews or otherwise related or with implications for the management system;
- 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 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, whether in connection with formal audits or reviews or otherwise related or with implications for the management system;
- 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 Internal Audit

4.1.1 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.

4.1.2 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 Nonconformity, corrective and preventative action

4.2.1 When a nonconformity occurs, the group manager shall implement corrective action and mitigate the impacts to the extent possible;

4.2.2 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.

4.2.3 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.

4.2.4 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.

4.3 Management review and Continual Improvement

4.3.1 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.

4.3.2 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.

4.3.3 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 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~~2022 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 ~~20215-2019~~ Forest Management Standard, the SFI 2022 Fiber Sourcing Standard, the SFI 2022 Chain of Custody Standard or the SFI 2022 Certified Sourcing Standard*, 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 or SFICOC*," 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 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 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*.



**Communications and Public Reporting
(Section 110)**

May 1, 2020

Table of Contents

PREPARING AND SUBMITTING A PUBLIC REPORT – SFI 2022 FOREST MANAGEMENT
STANDARD _____ 3

PREPARING AND SUBMITTING A PUBLIC REPORT – SFI 2022 FIBER SOURCING STANDARD _ 5

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 20~~2215-2019~~ Forest Management Standard*. The summary audit report will be posted on the *SFI Inc.* website (www.sfiprogram.org) for public review.

1. The *certification body* shall prepare the *SFI 20~~2215-2019~~ 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 6 - 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

- e. a description of the audit team. This shall include the names and professional qualifications of the lead auditor, all *audit team* members and any *technical experts* who participated in the audit. This may include the names and affiliations of any audit observers and an explanation of their role;
- f. the dates the audit was conducted and completed. This shall include the number of auditor days spent to conduct the audit, broken down by auditor time spent off and on-site. This shall include the specific woods operations visited if there is more than one operation/region associated with the certificate, 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.

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 1-11~~3). The summary audit report will be posted on the *SFI Inc.* website (www.sfiprogram.org) for public review.

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 audits;

This shall include:

- an outline of the manufacturing operations within the scope of the certificate (including the types of mills and their relative reliance of procurement for their fiber needs);
- a general description of the *fiber sourcing* program, specifically indicating whether or not the organization has a *purchased stumpage* program;
- a general description of the *verifiable monitoring system* in place and
- an outline of the area from which fiber is procured.

- e. a summary of the *Certified Organization's* assessment for *Forests with Exceptional Conservation Values* within its *wood and fiber supply area*.

- f. 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 1~~2~~1)**

May 1, 2020

Table of Contents

| | |
|---|---|
| INTRODUCTION | 3 |
| 1. PUBLIC INQUIRIES REGARDING INCONSISTENT PRACTICES | 3 |
| 2. OFFICIAL COMPLAINTS QUESTIONING THE VALIDITY OF A CERTIFICATION TO <i>SFI</i> SECTIONS 2 OR 3 | 4 |
| 3. CHALLENGES OR COMPLAINTS REGARDING <i>SFI</i> ON-PRODUCT LABEL USE (SECTION 6) | 5 |

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* Standard 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, Fiber Sourcing, ~~or~~ Chain of Custody, 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 [SFI 1]: Repeated below under number 2

1. Public Inquiries regarding Inconsistent Practices

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 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 via surveillance or certification audits. The *certification body* shall investigate the validity of the inconsistent practice and the ~~Program Participant's~~ *Certified Organization's* response and resolution of the claim at the time of the next scheduled surveillance audit.

A complainant who believes the issue has not been satisfactorily resolved may provide its original documentation and the response from the ~~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*.

In the event litigation is involved between the 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

The official complaint process is an important component of any legitimate certification *program*, including the *SFI program*. The official complaint process allows individuals or organizations to have their complaint regarding the validity of a certification openly and independently investigated. A complaint does not challenge the credibility or the content of the *SFI 2022-15-2019 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 outlines their concerns in a letter to the ~~Program Participant's~~Certified Organization's certification body.
- 2.1.2** The *certification body* may request additional specifics associated with the concerns and will investigate the issue in accordance with their official complaint procedures that were approved by their accreditation body.
- 2.1.3** If the *certification body* finds a sound basis for the official complaint then it would require the ~~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 the accreditation body that accredited the *certification body*, which is either ANSI-ASQ National Accreditation Body (www.anab.org) or the Standards Council of Canada (www.scc.ca). The accreditation body would then conduct its own investigation into the complaint as the highest authority.
- 2.1.6** In the event litigation is involved between the complainant and the ~~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 2]: 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 3]: 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 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~~)

May 1, 2020

SFI Inc. has developed a process for 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 the *SFI program*. Any modules developed prior to the next standard review process ~~in 2019~~ will be added in this section.



***SFI* Definitions
(Section 143)**

May 1, 2020

The following definitions apply to *italicized* words in the *Requirements for the SFI 2022-2019 Standards and Rules*.

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 1]: Adopt the 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.

Commented [SFI 2]: With the removal of off-shore Fiber Sourcing Objectives in the SFI Fiber Sourcing Standard this organization is no longer referenced in Guidance Section 7.

American Tree Farm System® (ATFS): A national *program* that promotes the sustainable management of forests through education and outreach to private forest landowners.

aquatic habitat: An area where water is the principal medium and that provides the resources and environmental conditions to support occupancy, survival and reproduction by individuals of a given species.

aquatic species: Animals that live on or within water during some stage of their development.

auditor: A person with the competence to conduct an audit (ISO 19011:2002, 3.8).

audit team: One or more *auditors* conducting an audit, supported if needed by *technical experts* (ISO 19011:2002, 3.9).

available regulatory action information: Statistics or regulatory compliance data collected by a federal, state, provincial, or local government agency. Note: Although conformance with laws is the intent, *certification bodies* are directed to look for a spirit and general record of compliance rather than isolated or unusual instances of deviation.

best management practices (BMPs): A practice or combination of practices for *protection* of water quality that is determined by a federal, provincial, state, or local government or other responsible entity, after problem assessment, examination of alternative practices, and appropriate public participation, to be the most effective and practicable (including technological, economic, and institutional considerations) means of conducting a forest management operation while addressing any environmental considerations.

best scientific information: Available factual information that is generally accepted by the broad scientific community. It includes but is not limited to peer-reviewed scientific information obtainable from any source, including government and non-governmental sources, that have been verified by field testing to the maximum extent feasible.

Biodiversity hotspots: A biogeographic *conservation* region with more than 1,500 endemic plant species and less than 30 percent of its historical extent. (Further information can be found under Descriptions of *Biodiversity Hotspots* and *High Biodiversity Wilderness Areas* in Section 6 —Guidance to *SFI 2015-2019 Standards*.)

Commented [SFI 3]: This guidance has been removed from Section 6, definition removed to align.

bioenergy feedstock: Biomass used for the production of renewable energy. Biomass includes any organic products and byproducts derived from trees, plants and other biological organic matter, including limbs, bark and other cellulosic material, organic byproducts from wood pulping, and other biologically derived materials.

biological diversity, biodiversity: The variety and abundance of life forms, processes, functions, and structures of plants, animals and other living organisms, including the relative complexity of species, communities, gene pools and ecosystems at spatial scales that range from local to regional to global.

certification body: An independent *third party* that is accredited by:

- ANSI-ASQ National Accreditation Board (ANAB) as being competent to conduct certifications to the *SFI 2022-15-2019 Forest Management Standard, and SFI Fiber Sourcing Standard, SFI Chain of Custody Standard or SFI Certified Sourcing Standard.*
- 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 Standards.*

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 2022-15-2019 Forest Management Standard*
- Canadian Standards Association (CAN/CSA-Z809)
- Canadian Standards Association (CAN/CSA-Z804)
- *American Tree Farm System (ATFS) individual and group certification*

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, Certified Organizations 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

Commented [SFI 4]: Definition of pre-consumer appears below – do not need it repeated

~~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.*~~

Commented [SFI 5]: This definition to be removed following adoption of the definition for 'certified logging company'.

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 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.*

Commented [SFI 6]: New definition developed by Fiber Sourcing Task Group. Intended to replace definition of *certified logging professional*.

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 7]: Definition adapted from PEFC definition of "certified area". Needed for group forest management certification organizations.

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*, 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:** ~~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* *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 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* *Certified Organizations* and *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

Commented [SFI 8]: Definition of pre-consumer is below in Section 13.

Commented [SFI 9]: Definition of post-consumer is below in Section 13.

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 2022-15-2019 Forest Management Standard* or other *acceptable forest management standards* (e.g., CAN/CSA-Z809, CAN/CSA-Z804, and ATFS); and/or
- *Non-controversial sources:* If the raw material is sourced from outside of the United States and Canada, the organization shall establish adequate measures to ensure that the labeled products do not come from *controversial sources*. See Section 4, Part 4 on the process to avoid *controversial sources*. Up to one third of the supply for *secondary producers* can come from *non-controversial sources* for use of the *Certified Sourcing* label; the other two-thirds must come from the sources defined under the *certified sourcing* definition— fiber that conforms with the *SFI 2022-15-2019 Fiber Sourcing Standard*, and/or *pre-consumer recycled content*, and/or *post-consumer recycled content*, and/or *certified forest content*.

claim period: Time period for which the chain of custody claim applies.

climate change: A change in the state of the climate that can be identified (e.g., by using statistical tests) by changes in the mean and/or the variability of its properties and that persists for an extended period typically decades or longer. *Climate change* may be due to natural internal processes or external 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*, *threatened and endangered species*).~~
- ~~Conversion sources originating from regions experiencing forest area decline.~~
- ~~Forest activities where the spirit of the 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.~~
- ~~Forest activities which are not in compliance with applicable state, provincial or federal laws, particularly as they may relate to:~~

Commented [SFI 10]: Expanded definition aligns with PEFC definition of Controversial Sources.

- ~~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 (including trade in CITES (The Convention on International Trade in Endangered Species of Wild Fauna and Flora) listed 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:

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 United Nations Environment Programme

Commented [SFI 11]: Alignment with the PEFC controversial sources definition.

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.~~

Commented [SFI 12]: Definition edited to align with new definition of controversial sources.

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 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 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 with a high "S-Rank" or "G-Rank" from NatureServe, subject to the discretion of the *Certified Organization*.

Commented [SFI 13]: Forest Management Task Group developed this definition.

economic viability: The economic incentive necessary to keep forest ownerships profitable and competitive, and to keep people gainfully employed.

ecosystem services: Components of nature, directly enjoyed, consumed, or used to yield human well-being.

exotic tree species: A tree species introduced from outside its natural range. This does not include species that have become naturalized in an area and have a naturally reproducing population. (Note: Hybrids of *native* species or *native* plants that have been derived from genetic tree improvement and biotechnology *programs* are not considered exotic species.)

fiber sourcing: Acquisition of roundwood (e.g., sawlogs or pulpwood) and field-manufactured or primary-mill residual chips, pulp and veneer to support a forest products facility.

forest cover type: Classification of a forest *stand* by the dominant tree species or combination of tree species present. Unless required to use a regulatory system of *forest cover type* classification the *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 6 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 6 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 14]: Definition moved from SFI Section 10 – Appendix 2: Audits of 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 15]: 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 16]: 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 17]: 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 2022-2019 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 2022-2019 Standards' objectives and performance measures*.

Indigenous Peoples: Inclusive of all *Indigenous Peoples* residing in Canada and the United States. More specifically, "*Indigenous Peoples*" is defined in the United States as members of federally recognized tribes and in Canada as those peoples that are *recognized/defined* by section 35(2) of the *Constitution Act*, 1982.

Commented [SFI 18]: 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 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 61933 *recognized/registered First Nations/Indian Bands*. The list of *First Nations/Indian Bands* divided by province is found at:
<http://pse5-esd5.aic-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 19]: FAO definition for Integrated Pest Management. Also used by PEFC.

invasive species/exotic plants and animals: Species introduced from another country or geographic region outside its natural range that may have fewer natural population controls in the new environment, becoming a pest or nuisance species.

label users: Any *Program Participant*, label licensee, secondary manufacturer, publisher, printer, retailer or distributor who has obtained a license to use the label; met *Section 5 - Rules For Use Of SFI On-and Off-Product Labels*; and obtained approval from the *SFI Office of Label Use and Licensing* to use the *SFI* on-product label for at least one product or manufacturing unit.

land classification: The process of designating areas of land into classes or strata that are sufficiently homogeneous in their physical, vegetative and development attributes.

landscape: 1. A spatial mosaic of multiple ecosystems, landforms, and plant communities across a defined area irrespective of ownership or other artificial boundaries and repeated in similar form throughout. 2. An area of land characterized by:

- similar biogeoclimatic conditions that influence site potential;
- similar historical disturbance regimes that influence vegetation structure and species composition; and
- sufficient size to provide the range of *habitat* conditions for naturally occurring communities (except for a few megafauna with large spatial needs, e.g., wolves).

lead auditor: An *auditor* appointed to lead an *audit team*. Also referred to as an *audit team leader* (ISO 19011:2018, 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.

local (when used in Objective 109 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 20]: Proposed definition for when local is used in a Forest Management Objective 9 & Fiber Sourcing Objective 4.

long-term: Extending over a relatively long time period – for the *SFI 2022-15-2019 Standards*, this means the length of one forest management rotation or longer.

major nonconformity: One or more of the *SFI 2022-15-2019 Standard(s) performance measures* or *indicators* has not been addressed or has not been implemented to the extent that a systematic failure of a *Program Participant's 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 2022-15-2019 Standard(s) program* implementation which does not indicate a systematic failure to consistently meet an *SFI objective, performance measure* or *indicator*.

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 21]: Definition moved from SFI Section 9 – Appendix 1: Audits of Multi-site Organizations.

native: Species of ecological communities occurring naturally in an area, as neither a direct or indirect consequence of recent human activity.

natural community: Natural communities are combinations of native plants and animals that are regularly found together in particular settings, where human-caused changes to composition have been minimal, or the natural community has recovered from that disturbance. (adopted from the US National Vegetation Classification).

Commented [SFI 22]: New definition recommended by Forest Management Task Group. Adapted from the US National Vegetation Classification.

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 2022-2019 Forest Management Standard* and *SFI 2022-2019 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 2022-2019 Standards* certificates *SFI 2022-2019* Section 5 On-product label use certificates and PEFC ST 2002:2020-2013 Chain of Custody of Forest Based Products-Requirements, February 14-May 24, 2020-13 certificates, and other documents that must be submitted to receive approval for use of the *SFI* on-product labels and claims.

old-growth forests: A forested ecosystem distinguished by old trees and related structural attributes, such as tree size, down woody debris, canopy levels, and species composition. *Program-Participants* *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 23]: PEFC definition, ST 1003.

other credible chain of custody standards: Standards capable of tracking fiber back to a forest certified to the *SFI 2022-2019 Forest Management Standard* or other acceptable standards recognized by the *SFI program*. They include:

- PEFC ST 2002:2020-2013 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* 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 24]: 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.

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.

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.

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 2022-15-2019 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.*

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*.

Commented [SFI 25]: New definition to clarify the use of a frequently used term in the Standards.

Commented [SFI 26]: Moved from underneath the *certified sourcing* definition.

Commented [SFI 27]: PEFC Definition from ST 2002. The CoC Task Group determined this was a more complete definition.

Commented [SFI 28]: Added to the PEFC definition to capture materials from salvage of buildings.

Commented [SFI 29]: Moved from underneath the *certified sourcing* definition.

Commented [SFI 30]: Aligns with PEFC Definition from ST 2002. The CoC Task Group determined this was a more complete definition.

Commented [SFI 31]: Taken from PEFC definition of "product group".

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 historical disturbance patterns, fire risk and *forest health* when determining appropriate *conservation* strategies.

Commented [SFI 32]: 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: Land enrolled in the *SFI program* that is owned or administratively managed by a government entity (federal, state, provincial, county or local), excluding easements or other encumbrances held by a government entity on private land.

purchased stumpage: Standing timber under a contractual agreement that gives the *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 2022-2019 Forest Management Standard* or Objective 6 in the *SFI 2022-2019 Fiber Sourcing Standard*.

- a. Each crew must include a *qualified logging professional* who (1) has completed the *SFI Implementation Committee approved wood producer training program*; (2) is an owner of, employee of, or contracted by the *wood producer*; (3) has direct responsibility and is on-site regularly to consistently carry out the roles and responsibilities of the *qualified logging professional* under the *SFI 2022-2019 Standard(s)* (e.g., safety, protection of soils, streams and other water bodies).
- b. ~~All of the components of an SFI Implementation Committee approved wood producer training program could take several years to carry out.~~ To be considered a *qualified logging professional*, an individual must complete the required training appropriate to their level of responsibility (e.g., owner, supervisor, employee) within the specified time period required by their *SFI Implementation Committee*. *SFI Implementation Committees* have the flexibility to require different training requirements for owners of logging businesses versus training requirements for other employees (e.g., supervisors). Once classified as a *qualified logging professional*, the individual must complete the required *SFI Implementation Committee* maintenance training within the prescribed time period to retain their status as a *qualified logging professional*.

Commented [SFI 33]: 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 ~~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 Custody Standard: The requirements that detail processes for tracking fiber content from *certified forest content*, *recycled 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 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 2022–15–2019 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 34]: 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 35]: 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* with an interest in the subject of the standard.

Commented [SFI 36]: 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 501c(3) non-profit charitable organization, and is solely responsible for maintaining, overseeing and improving the Sustainable Forestry Initiative *program*. *SFI Inc.* directs all elements of the Sustainable Forestry Initiative *program* including the *SFI Standard(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 201892, 3.169).

third-party certification: An assessment of conformance to the *SFI 202215-2019 Standards and Rules* conducted according to the requirements of *SFI* Section 9 *SFI 2015-2019 Audit Procedures and Auditor Qualifications and Accreditation*, and ISO 19011 by a qualified *certification body*.

threatened and endangered: Listed under The U.S. Endangered Species Act or The Canadian Species at Risk Act and listed under applicable state or provincial laws requiring *protection*.

traditional forest-related knowledge: Forest-related knowledge owned and maintained by *Indigenous Peoples* as a result of their traditional use of or tenure on forestland.

varietal seedlings: Genetically identical individuals produced through vegetative reproduction methods, such as micropropagation, tissue culture or somatic embryogenesis.

verifiable monitoring system: A system capable of being audited by a *third party* that includes:

- a. a means to characterize the *Program Participant's 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. a process to identify and use sources of available data (e.g., state or provincial monitoring *programs*, certification status of suppliers) in the use of *best management practices*; and
- c. a method to assess supplier performance, if needed, to supplement available data.

vernal pool: A seasonal *wetland* with sufficient water present during amphibian breeding season, absence of fish, and presence of *wetland* obligate fauna.

visual quality: The seen aspects of both the land and the activities that occur upon it.

visual quality management: Minimization of the adverse visual effects of forest management activities.

wetland: (1) seasonally or permanently water-logged areas characterized by vegetation adapted for life in saturated /flooded conditions; (2) *wetlands* can be forested, shrubby or open and include bogs, fens, swamps, marshes, ~~and~~ shallow open water areas *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 37]: 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 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.