SFI 2022
STANDARDS AND RULES
# TABLE OF CONTENTS

<table>
<thead>
<tr>
<th>SECTION</th>
<th>TITLE</th>
<th>PAGE</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>INTRODUCTION</td>
<td>5</td>
</tr>
<tr>
<td>2</td>
<td>SFI 2022 FOREST MANAGEMENT STANDARD</td>
<td>13</td>
</tr>
<tr>
<td>3</td>
<td>SFI 2022 FIBER SOURCING STANDARD</td>
<td>33</td>
</tr>
<tr>
<td>4</td>
<td>SFI 2022 CHAIN OF CUSTODY STANDARD</td>
<td>47</td>
</tr>
<tr>
<td>5</td>
<td>SFI 2022 CERTIFIED SOURCING STANDARD</td>
<td>65</td>
</tr>
<tr>
<td>6</td>
<td>RULES FOR USE OF SFI ON-PRODUCT LABELS AND</td>
<td>77</td>
</tr>
<tr>
<td></td>
<td>OFF-PRODUCT MARKS</td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>GUIDANCE TO SFI 2022 STANDARDS AND RULES</td>
<td>101</td>
</tr>
<tr>
<td>8</td>
<td>SFI POLICIES</td>
<td>135</td>
</tr>
<tr>
<td>9</td>
<td>SFI STANDARDS DEVELOPMENT AND</td>
<td>141</td>
</tr>
<tr>
<td></td>
<td>INTERPRETATIONS PROCESS</td>
<td></td>
</tr>
<tr>
<td>10</td>
<td>SFI 2022 AUDIT PROCEDURES AND AUDITOR QUALIFICATIONS AND ACCREDITATION</td>
<td>153</td>
</tr>
<tr>
<td>11</td>
<td>COMMUNICATIONS AND PUBLIC REPORTING</td>
<td>171</td>
</tr>
<tr>
<td>12</td>
<td>PUBLIC INQUIRIES AND OFFICIAL COMPLAINTS</td>
<td>177</td>
</tr>
<tr>
<td>13</td>
<td>OPTIONAL MODULES</td>
<td>183</td>
</tr>
<tr>
<td>14</td>
<td>SFI DEFINITIONS</td>
<td>213</td>
</tr>
</tbody>
</table>
### INTRODUCTION

<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>STANDARDS</td>
<td>8</td>
</tr>
<tr>
<td>FOUR CERTIFICATION STANDARDS</td>
<td>8</td>
</tr>
<tr>
<td>SFI LABELS</td>
<td>9</td>
</tr>
<tr>
<td>CONSERVATION</td>
<td>9</td>
</tr>
<tr>
<td>SFI AND CLIMATE SMART FORESTRY</td>
<td>9</td>
</tr>
<tr>
<td>SFI AND CONSERVATION IMPACT</td>
<td>9</td>
</tr>
<tr>
<td>COMMUNITY</td>
<td>10</td>
</tr>
<tr>
<td>INDIGENOUS RELATIONSHIPS</td>
<td>10</td>
</tr>
<tr>
<td>EDUCATION</td>
<td>10</td>
</tr>
<tr>
<td>PROJECT LEARNING TREE</td>
<td>10</td>
</tr>
<tr>
<td>PROJECT LEARNING TREE CANADA</td>
<td>11</td>
</tr>
</tbody>
</table>
It is critical that we work together to ensure the sustainability of our planet. People and organizations are seeking solutions that not just reduce negative impacts but ensure positive contributions to the long-term health of people and the planet. SFI-certified forests and products are powerful tools to achieve shared goals such as climate action, conservation of biodiversity, clean water, and economic development.

SFI standards, when leveraged with our three other pillars of work—conservation, community, and education—provide practical, scalable solutions for markets and communities working to pursue this growing commitment to a sustainable planet. When companies, consumers, educators, and community and sustainability leaders collaborate with SFI, they are making active, positive choices to achieve a sustainable future.

STANDARDS
Through SFI standards, more forests are sustainably managed, which means more effort is put into conserving healthy wildlife, providing clean water, and making more sustainable wood, paper, and packaging products available for consumers and companies. Choosing SFI is a practical choice that helps combat climate change, conserve nature, and increase the number of products in the marketplace that have a positive impact on the planet.

FOUR CERTIFICATION STANDARDS
Getting certified to SFI is one of the best things that organizations can do to support the long-term sustainability of forests and ensure the multitude of benefits that forests provide for future generations. SFI’s standards provide an important solution to the long-term sustainability of our forests. With more than 370+ million acres/150+ million hectares certified by the end of 2021 and tens of millions more positively influenced through fiber sourcing, SFI has the scale and growth trajectory to ensure positive, forest-based outcomes in the marketplace.

• The SFI Forest Management Standard is the largest single forest management certification standard in the world. Among its requirements are measures to protect water quality, biodiversity, wildlife habitat, threatened and endangered species, and forests with exceptional conservation value.

• The SFI Fiber Sourcing Standard is designed for manufacturers that source from a variety of ownerships or that don’t own forestland. It distinguishes SFI from all other forest certification organizations in that it governs how Certified Organizations procure fiber from non certified forest landowners in a responsible way, including avoidance of controversial sources in the supply chain.

• The SFI Chain-of-Custody Standard is an accounting system that tracks forest fiber content through production and manufacturing to the end product. This standard also has measures to avoid controversial sources in the supply chain.

• The SFI Certified Sourcing Standard contains the requirements for Certified Organizations to use the SFI-certified sourcing claim and label. This standard also has measures to avoid controversial sources in the supply chain.

The SFI Standards require third-party independent certification audits by competent and accredited certification bodies for all four standards. All certification bodies must be accredited by a member of the International Accreditation Forum — ANSI-ASQ National Accreditation Board (ANAB) or the Standards Council of Canada (SCC).
SFI LABELS
Once certified, organizations can apply to use SFI on-product labels, which are globally recognized and show customers that products are responsibly sourced. Studies have shown that 52% of consumers are aware of the SFI label and 90% of those, trust it. The SFI on-product labels provide a tool that allows producers to educate the market and consumers to make responsible purchasing decisions. SFI sourcing solutions, from certification through to the SFI label, provide choices that help support a circular economy, green building, resource renewability, and contribute to a sustainable future.

SFI Chain-of-Custody labels tell the consumer that the fiber in the product is from sustainably managed SFI-certified forests and/or that it contains recycled materials. The SFI-certified Sourcing label does not make claims about certified forest content. Rather, it tells the consumer that the fiber in the product was purchased from responsibility managed forestlands. (See a description of all the SFI on-product labels).

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

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

SFI AND CLIMATE SMART FORESTRY
Climate change is consistently identified as a significant threat to the environment, business, and our collective way of life. Forests are universally cited as an essential nature-based solution because forests and forest products provide a significant opportunity to counter the impacts of climate change by sequestering and storing carbon.

Through our standards, our conservation impact work, our environmental education, and our extensive network, SFI has the scale to make a difference on climate change. Certified Organizations act as a driving force in addressing climate change impacts through sound, science-based natural resource management. SFI is in a strong position to elevate the role of sustainable forests in addressing climate change due to our global reach and our focus on communicating the important role forests play in relation to critical global issues.

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

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

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

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

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

INDIGENOUS RELATIONSHIPS

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

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

EDUCATION

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

PROJECT LEARNING TREE

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

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

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

Since 2018, PLT Canada has placed youth in over 3,000 Green Jobs and supported over 200 employers with wage matching across the country. These young people have gained valuable experience that will help them pursue careers as foresters, wildlife biologists, Indigenous knowledge coordinators, hydrologists, park rangers, and much more. Notably, in a traditionally male-dominated sector, PLT Canada has achieved gender balance in job placements. PLT Canada provides important support to Indigenous youth and others facing employment barriers.

Project Learning Tree Canada offers a 50% wage match to employers hiring youth into forest, conservation, and parks jobs. The jobs inspire leadership in forest stewardship, foster a passion for science-based research and education, and help youth gain skills and experience so they can transition successfully into future job markets. Green Jobs are considered positions that contribute positively to increasing sustainability in the forest, conservation, and parks sectors.
SFI 2022 FOREST MANAGEMENT STANDARD

1. GENERAL 16
   1.1 SCOPE 16
   1.2 ADDITIONAL REQUIREMENTS 16
   1.3 REFERENCES 16
   1.4 FOREST MANAGEMENT STANDARD PRINCIPLES 16
   1.5 SFI 2022 FOREST MANAGEMENT STANDARD OBJECTIVES 18
   1.6 SFI 2022 FOREST LAND MANAGEMENT REQUIREMENTS 19
   OBJECTIVE 1. FOREST MANAGEMENT PLANNING 19
   OBJECTIVE 2. FOREST HEALTH AND PRODUCTIVITY 21
   OBJECTIVE 3. PROTECTION AND MAINTENANCE OF WATER RESOURCES 22
   OBJECTIVE 4. CONSERVATION OF BIOLOGICAL DIVERSITY 22
   OBJECTIVE 5. MANAGEMENT OF VISUAL QUALITY AND RECREATIONAL BENEFITS 23
   OBJECTIVE 6. PROTECTION OF SPECIAL SITES 24
   OBJECTIVE 7. EFFICIENT USE OF FIBER RESOURCES 24
   OBJECTIVE 8. RECOGNIZE AND RESPECT INDIGENOUS PEOPLES’ RIGHTS 24
   OBJECTIVE 9. CLIMATE SMART FORESTRY 25
   OBJECTIVE 10. FIRE RESILIENCE AND AWARENESS 26
   OBJECTIVE 11. LEGAL AND REGULATORY COMPLIANCE 26
   OBJECTIVE 12. FORESTRY RESEARCH, SCIENCE AND TECHNOLOGY 27
   OBJECTIVE 13. TRAINING AND EDUCATION 27
   OBJECTIVE 14. COMMUNITY INVOLVEMENT AND LANDOWNER OUTREACH 28
   OBJECTIVE 15: PUBLIC LAND MANAGEMENT RESPONSIBILITIES 29
   OBJECTIVE 16. COMMUNICATIONS AND PUBLIC REPORTING 29
   OBJECTIVE 17. MANAGEMENT REVIEW AND CONTINUAL IMPROVEMENT 30
1.1 SCOPE

What the Forest Management Standard Does
The SFI 2022 Forest Management Standard promotes sustainable forestry based on 13 Principles, 17 Objectives, 41 Performance Measures and 114 Indicators. These requirements include measures to protect water quality, biodiversity, wildlife habitat, threatened and endangered species and Forests with Exceptional Conservation Value.

What the Forest Management Standard Covers
The SFI 2022 Forest Management Standard applies to any Certified Organization that owns or has management authority for forestlands.

Geographic Application of the Forest Management Standard
The SFI 2022 Forest Management Standard applies to organizations in the United States and Canada.

1.2 ADDITIONAL REQUIREMENTS

Certified Organizations with fiber sourcing programs (acquisition of roundwood and field-manufactured or primary-mill residual chips, pulp, and veneer to support a forest products facility), must also conform to the SFI 2022 Fiber Sourcing Standard.

Use of the SFI On-Product labels and claims shall follow Section 6 — 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 — 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 8 — SFI Policies
iv. Section 10 — SFI 2022 Audit Procedures and Auditor Qualifications and Accreditation
v. Section 11 — Communications and Public Reporting
vi. Section 14 — SFI Definitions
vii. Interpretations for the Requirements of the SFI 2022 Standards and Rules

For the purposes of this standard, the relevant definitions given in ISO/IEC Guide 2:2004 apply, together with the definitions in the SFI Definitions (Section 14).

Informative References
i. ISO 14001:2015 Environmental Management Systems — Specification with guidance for use
ii. PEFC ST 1003:2018 Sustainable Forest Management Requirements, November 28, 2018
iii. PEFC ST 1002:2018 Group Forest Management Certification, November 28, 2018
iv. Section 7 — Guidance to SFI 2022 Standards
v. Section 9 — SFI Standards Development and Interpretations Process
vi. Section 12 — Public Inquiries and Official Complaints
vii. Section 13 — Optional Modules

1.4 FOREST MANAGEMENT STANDARD PRINCIPLES

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 private property rights, and to help all private landowners manage their forestland sustainably. In keeping with this responsibility, Certified Organizations shall have a written policy (or policies) to implement and achieve the following principles:
1. **Sustainable Forestry**
   To practice sustainable forestry means meeting the needs of the present while promoting the ability of future generations to meet their own needs by practicing a land stewardship ethic that integrates reforestation and the managing, growing, nurturing and harvesting of trees for useful products, and for the provision of ecosystem services such as the conservation of soil, air and water quality and quantity, climate change adaptation and mitigation, biological diversity, wildlife and aquatic habitats, recreation and aesthetics.

2. **Forest Productivity and Health**
   To provide for regeneration after harvest, maintain the health and productive capacity of the forest land base, and to protect and maintain long-term soil health and productivity. In addition, to protect forests from economically, environmentally or socially undesirable impacts of wildfire, pests, diseases, invasive species and other damaging agents and thus maintain and improve long-term forest health and productivity.

3. **Protection of Water Resources**
   To protect and maintain the water quality and quantity of water bodies and riparian areas, and to conform with forestry best management practices to protect water quality, to meet the needs of both human communities and ecological systems.

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

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 geologically or culturally important in a manner that takes into account their unique qualities.

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

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

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

10. **Community Involvement and Social Responsibility, and Respect for Indigenous Rights**
    To broaden the practice of sustainable forestry on all lands through community involvement, socially responsible practices, and through recognition and respect of Indigenous Peoples’ rights and traditional forest-related knowledge.

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

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

13. **Responsible Fiber Sourcing**
    To use and promote sustainable forestry across a diversity of ownership and management types in the United States and Canada that is both scientifically credible and socially, environmentally, and economically responsible and to avoid sourcing from controversial sources both domestically and internationally.
1.5 SFI 2022 FOREST MANAGEMENT STANDARD OBJECTIVES

A Summary of the SFI 2022 Forest Management Standard Objectives follows:

Objective 1. Forest Management Planning
To ensure forest management plans include long-term sustainable harvest levels and measures to avoid forest conversion or afforestation of ecologically important areas.

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

Objective 2. Forest Health and Productivity
To ensure long-term forest productivity and conservation of forest resources through prompt reforestation, afforestation, deploying integrated pest management strategies, minimized chemical use, soil conservation, and protecting forests from damaging agents.

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

Objective 3. Protection and Maintenance of Water Resources
To protect the water quality and water quantity of rivers, streams, lakes, wetlands, and other water bodies.

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

Objective 4. Conservation of Biological Diversity
To maintain or advance the conservation of biological diversity at the stand- and landscape-level and across a diversity of forest and vegetation cover types and successional stages including the conservation of forest plants and animals, aquatic species, threatened and endangered species, Forests with Exceptional Conservation Value, old-growth forests and ecologically important sites.

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

Objective 5. Management of Visual Quality and Recreational Benefits
To manage the visual impact of forest operations and provide recreational opportunities for the public.

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

Objective 6. Protection of Special Sites
To manage lands that are geologically or culturally important in a manner that takes into account their unique qualities.

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

Objective 7. Efficient Use of Fiber Resources
To minimize waste and ensure the efficient use of fiber resources.

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

Objective 8. Recognize and Respect Indigenous Peoples’ Rights
To recognize and respect Indigenous Peoples’ rights and traditional knowledge.

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

Objective 9: Climate Smart Forestry
To ensure forest management activities address climate change adaptation and mitigation measures.

Why it Matters: Ensures that SFI-certified forests make an important contribution to addressing the effects of climate change.
Objective 10. Fire Resilience and Awareness
To limit susceptibility of forests to undesirable impacts of wildfire and to raise community awareness of fire benefits, risks, and minimization measures.

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

Objective 11. Legal and Regulatory Compliance
To comply with all applicable laws and regulations including, international, federal, provincial, state, and local.

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

Objective 12. *Forestry* Research, Science and Technology
To invest in research, science and technology, upon which sustainable forest management decisions are based.

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

Objective 13. Training and Education
To improve the implementation of sustainable forestry through appropriate training and education programs.

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

Objective 14. Community Involvement and Landowner Outreach
To broaden the practice of sustainable forestry through public outreach, education, and involvement, and to support the efforts of SFI Implementation Committees.

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

Objective 15. *Public Land* Management Responsibilities
To participate and implement sustainable forest management on public lands.

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

Objective 16. Communications and Public Reporting
To increase transparency and to annually report progress on conformance with the SFI Forest Management Standard.

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

Objective 17. Management Review and Continual Improvement
To promote continual improvement in the practice of sustainable forestry by conducting a management review and monitoring performance.

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

### 1.6 SFI 2022 FOREST LAND MANAGEMENT REQUIREMENTS

Objective 1. Forest Management Planning
To ensure forest management plans include long-term sustainable harvest levels and measures to avoid forest conversion or afforestation of ecologically important areas.

**Performance Measure 1.1.** Certified Organizations shall ensure that forest management plans include long-term harvest levels that are sustainable and consistent with appropriate growth-and-yield models.
Indicators:
1. Forest management planning at a level appropriate to the size and scale of the operation, including:
   a. a long-term resources analysis;
   b. a periodic or ongoing forest inventory;
   c. a land classification system;
   d. biodiversity at landscape scales;
   e. soils inventory and maps, where available;
   f. access to and use of growth-and-yield modeling capabilities;
   g. up-to-date maps or a geographic information system (GIS);
   h. recommended sustainable harvest levels for areas available for harvest; and
   i. consideration of non-timber issues such as 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 is used to determine annual and/or periodic harvest levels.
4. Periodic updates of forest inventory and recalculation of planned harvests to account for changes in growth due to productivity increases or decreases, including but not limited to: improved data, long-term drought, fertilization, climate change, changes in forest land ownership and tenure, or forest health.
5. Documentation of forest management (such as: planting, fertilization and thinning) consistent with assumptions in harvest plans.
6. Assessment of the local or regional social, environmental, and economic effects of forest management operations contained in the forest management plan.

**Performance Measure 1.2.** 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.

Indicators:
1. 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 that put any native forest cover types at risk of becoming rare; and
   b. does not create significant adverse impacts on Forests with Exceptional Conservation Value, old growth forests, forest critical to threatened and endangered species, or special sites or ecologically important non-forest eco-systems; and
   c. includes objectives for long-term outcomes that support maintaining native forest cover types and ecological function; and
   d. is in compliance with relevant national and regional policy and legislation related to land use and forest management.

2. A proposed conversion deemed appropriate per 1.2.1, and which has considered impacts relative to scale, may be implemented subject to a landscape 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 the best scientific information.
   b. site productivity, economics, and/or stand quality.
   c. ecological impacts of the conversion at the site and landscape scale, as well as consideration for any appropriate mitigation measures; and
   d. appropriate consultation with local communities, Indigenous Peoples, and other stakeholders who could be affected by such activities.

**Performance Measure 1.3.** Certified Organizations 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.

**Performance Measure 1.4.** Certified Organizations shall not afforest in locations which negatively impact ecologically important natural communities, threatened and endangered species, or native natural communities which could be at risk of becoming rare.
Indicator:
1. Any afforestation activity must include an evaluation of the proposed site to determine the presence of:
   a. ecologically important natural communities, or
   b. threatened and endangered species, or
   c. native natural communities that could be at risk of becoming rare.
2. Afforestation shall not occur on that location if the evaluation determines a negative impact to:
   a. ecologically important natural communities, or
   b. threatened and endangered species, or
   c. native natural communities which could be at risk of becoming rare.

Objective 2. Forest Health and Productivity
To ensure long-term forest productivity, forest health and conservation of forest resources through prompt reforestation, afforestation, deploying integrated pest management strategies, minimized chemical use, soil conservation, and protecting forests from damaging agents.

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

Performance Measure 2.2. 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. Pest management shall be implemented through the use of integrated pest management.
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.
7. Supervision of forest chemical applications by state- or provincially trained or certified applicators.
8. Use of management practices appropriate to the situation, such as:
   a. notification of adjoining landowners or nearby residents concerning applications and chemicals used;
   b. appropriate multilingual signs or oral warnings;
   c. control of public road access during and immediately after applications;
   d. designation of streamside and other needed buffer strips;
   e. use of positive shutoff and minimal-drift spray valves;
   f. aerial application of forest chemicals parallel to buffer zones to limit drift;
   g. monitoring of water quality or safeguards to ensure proper equipment use and protection of streams, lakes, and other water bodies;
   h. appropriate transportation and storage of chemicals;
   i. use of spill response plans and chemical spill kits;
   j. filing of required state or provincial reports; and/or
   k. use of methods to ensure protection of threatened and endangered species.

Performance Measure 2.3. Certified Organizations shall implement practices that 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: retained down woody debris and minimized skid trails).
4. Retention of vigorous trees during partial harvesting, consistent with scientific silvicultural standards for the area.
5. Practices that address harvesting and site preparation to protect soil productivity and soil health.
6. Road construction, skidding layout, and harvest plans designed to minimize impacts to soil productivity and soil health.

Performance Measure 2.4. Certified Organizations shall manage to protect forests from damaging agents, such as environmentally or economically undesirable levels of wildfire, pests, diseases, and invasive species, 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 reduce susceptibility to damaging agents.
3. Participation in, and support of, fire and pest prevention and control programs.

Performance Measure 2.5. 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.

Performance Measure 3.1. Certified Organizations shall meet or exceed all applicable federal, provincial, state and local water quality laws and meet or exceed best management practices.

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.

Performance Measure 3.2. Certified Organizations shall implement water, wetland, and riparian protection programs based on climate, 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 of rivers, streams, lakes, wetlands, other water bodies and riparian areas during all phases of management.
2. Program to protect water quantity during all phases of management.
3. Programs that address wet-weather events in order to maintain water quality such as: forest inventory systems, identification of wet-weather tracts and definitions of acceptable operating conditions.

Objective 4. Conservation of Biological Diversity
To maintain or advance the conservation of biological diversity at the stand- and landscape-level and across a diversity of forest and vegetation cover types and successional stages including the conservation of forest plants and animals, aquatic species, threatened and endangered species, Forests with Exceptional Conservation Value, old-growth forests, and ecologically important sites.

Performance Measure 4.1. Certified Organizations shall conserve biological diversity.

Indicators:
1. Program to incorporate the conservation of biological diversity, including native species, wildlife habitats and ecological community types at stand and landscape levels, through the use of best scientific information including the incorporation of research results.
2. Development of criteria and implementation of practices, as guided by regionally based best scientific information, to retain stand-level wildlife habitat elements such as snags, stumps, mast trees, down woody debris, den trees and nest trees.
3. Program to individually and/or through cooperative efforts such as SFI Implementation Committees, support diversity of native forest cover types and age or size classes that enhance 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.

4. Certified Organizations shall individually and/or through cooperative efforts such as SFI Implementation Committees, participate in or incorporate the results of credible, relevant state, provincial, or regional conservation planning and priority-setting efforts to conserve biological diversity and incorporate the results of these efforts in forest management planning. Credible priority-setting efforts include state and provincial wildlife action plans, state forest action plans, relevant habitat conservation plans, provincial wildlife recovery plans, Indigenous planning processes or ecoregional plans.

5. Program to address conservation of ecologically important species and natural communities.

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

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

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

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

Indicators:
1. Program to protect threatened and endangered species.

2. Program to protect known sites of flora and fauna associated with viable occurrences of critically imperiled and imperiled species and ecological communities, defined as Forests with Exceptional Conservation Value. Programs for protection may be developed independently and/or through cooperative efforts involving SFI Implementation Committees and may include Certifications from managers, cooperation with other stakeholders, or use of easements, conservation land sales, exchanges, or other conservation strategies.

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

Indicators:
1. Use of information such as existing NatureServe or natural heritage data or expert advice in identifying or selecting ecologically important sites for protection.

2. Appropriate mapping, cataloging and management of identified ecologically important sites.

Performance Measure 4.4. Certified Organizations shall apply knowledge gained through research, science, technology, field experience and the results of monitoring of the effectiveness of conservation-related programs to manage wildlife habitat and contribute to the conservation of biological diversity.

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 reputable organizations. Such participation may include providing non-proprietary scientific information, time, and assistance by staff, or in-kind or direct financial support.

2. A program to incorporate data collected, research results and field applications of biodiversity and ecosystem research into forest management decisions.

3. Individually or collaboratively participate in or support research that demonstrates the conservation outcomes resulting from management strategies.

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

Performance Measure 5.1. 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. 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. 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 three years old or five feet (1.5 meters) high at the desired level of stocking before adjacent areas are clearcut, or as appropriate to address operational and economic considerations, alternative methods to reach the performance measure are utilized by the Certified Organization.

Performance Measure 5.4. 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. Certified Organizations shall have a program to identify special sites and manage and protect 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, or consultation with Indigenous Peoples in identifying or selecting special sites for protection.
2. Appropriate mapping, cataloging and management of identified special sites.

Objective 7. Efficient Use of Fiber Resources.
To minimize waste and ensure the efficient use of fiber resources.

Performance Measure 7.1. Certified Organizations shall employ appropriate forest harvesting technology and in-woods manufacturing processes to minimize waste and ensure efficient utilization of forest resources where consistent with other SFI Standard objectives.

Indicator:
1. Program or monitoring system to ensure efficient utilization, using provisions such as:
   a. management of harvest residue (such as slash, limbs, tops) considers economic, social and environmental factors (such as 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 bioenergy markets); or
   d. periodic inspections and reports noting utilization and product separation.

To recognize and respect Indigenous Peoples’ rights and traditional knowledge.


Indicators:
1. Certified Organizations shall develop and implement 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.

Performance Measure 8.2. Certified Organizations with forest management responsibilities on public lands shall confer with Indigenous Peoples whose rights may be affected by the Certified Organization’s forest management practices.

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

Performance Measure 8.3. Certified Organizations are encouraged to communicate with and shall respond to Indigenous Peoples whose rights may be affected by forest management practices on the Certified Organization’s private lands.

Indicators:
1. 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 individually and/or through cooperative efforts involving SFI Implementation Committees or other partners identify and address the climate change risks to forests and forest operations and develop appropriate adaptation objectives and strategies. Strategies are based on best scientific information.

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

Performance Measure 9.2 Certified Organizations shall individually and/or through cooperative efforts involving SFI Implementation Committees or other partners identify and address opportunities to mitigate the effects associated with its forest operations on climate change.
Indicators:
1. Based on best scientific information, Certified Organizations shall identify and address opportunities to enhance the climate benefits associated with forest management operations on the forests they own or manage via effective implementation of the SFI 2022 Forest Management Standard requirements such as:
   a. Objective 2 – Forest Health and Productivity; Objective 10 – Fire Smart Forestry; and/or other silvicultural or operational practices to enhance the climate benefits associated with their forest operations.

2. Based on best scientific information, Certified Organizations shall identify and address opportunities to enhance ecosystem resilience for the forests they own or manage via effective implementation of the SFI 2022 Forest Management Standard requirements including:
   a. prompt reforestation or planned natural reforestation as per Indicator 2.2.1;
   b. adequate regeneration and appropriate actions to correct understocked areas, and
   c. evaluation for afforestation of areas that are not ecologically important, and
   d. protection of desirable or planned advanced regeneration during harvest and the retention of vigorous trees during partial harvest.

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

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

Objective 10. Fire Resilience and Awareness.
To limit susceptibility of forests to undesirable impacts of wildfire and to raise community awareness of fire benefits, risks, and minimization measures.

Performance Measure 10.1 On the forests they own or manage, Certified Organizations shall limit susceptibility to undesirable impacts of wildfire, promote healthy and resilient forest conditions through management techniques, actions and/or policies, and support restoration of forests following wildfire damage.

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

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

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

Objective 11. Legal and Regulatory Compliance.
To comply with all applicable laws and regulations including, international, federal, provincial, state, and local.

Performance Measure 11.1. Certified Organizations shall comply with applicable federal, provincial, state, and local forestry and environmental laws and regulations.

Indicators:
1. Access to relevant laws and regulations.
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 11.2. Certified Organizations shall comply with all applicable social laws at the federal, provincial, state, and local levels in the country in which the Certified Organization 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.

Objective 12. Forestry Research, Science and Technology.
To invest in research, science and technology, upon which sustainable forest management decisions are based.

Performance Measure 12.1. 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 sustainable management of forest resources, and the environmental benefits and performance of forest products.

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

2. Ensure that knowledge gained through research is shared, to the extent possible, to positively influence sustainable forest management.

Performance Measure 12.2. Certified Organizations shall individually and/or through cooperative efforts involving SFI Implementation Committees, associations or other partners develop, contribute to, or use national, state, provincial or regional analyses in support of their sustainable forestry programs.

Indicator:
1. Participation, individually and/or through cooperative efforts involving SFI Implementation Committees and/or associations at the national, state, provincial or regional level, in the development of 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;
   e. social, cultural, or economic benefit assessments; and
   f. landscape-scale biodiversity assessments which clarify the contributory role of sustainable forest management.

Objective 13. Training and Education.
To improve the implementation of sustainable forestry through appropriate training and education programs.

Performance Measure 13.1. Certified Organizations shall require appropriate training of personnel and contractors so that they are competent to fulfill their responsibilities under the SFI 2022 Forest Management Standard.
Indicators:
1. Written statement of commitment to the SFI 2022 Forest Management Standard communicated throughout the organization, particularly to facility and woodland managers, and field foresters.
2. Assignment and understanding of roles and responsibilities for achieving SFI 2022 Forest Management Standard objectives.
3. Staff education and training sufficient to their roles and responsibilities.
4. Contractor education and training sufficient to their roles and responsibilities.
5. Certified Organizations shall have written agreements for the use of qualified logging professionals, or wood producers that have completed training programs and are recognized as qualified logging professionals and/or certified logging companies.

Performance Measure 13.2. Certified Organizations shall work individually and/or through cooperative efforts involving SFI Implementation Committees, logging or forestry associations, or appropriate agencies or others in the forestry community to foster improvement in the professionalism of wood producers specific to qualified logging professionals.

Indicators:
1. Participation in or support of SFI Implementation Committees to establish criteria and identify delivery mechanisms for wood producer core training courses that allow individuals to attain qualified logging professional status. These criteria shall address at least the following:
   a. awareness of sustainable forestry principles and SFI’s work across four pillars: standards, conservation, community, and education;
   b. best management practices, including streamside management and road construction, maintenance, and retirement;
   c. awareness of responsibilities under the U.S. Endangered Species Act, the Canadian Species at Risk Act, Forests with Exceptional Conservation Value (critically imperiled and imperiled species and ecological communities), and other measures to protect biodiversity and wildlife habitat;
   d. logging safety;
   e. U.S. Occupational Safety and Health Administration (OSHA) and Canadian Centre for Occupational Health and Safety (CCOHS) regulations, wage and hour rules, and other provincial, state, and local employment laws, and
   f. other topics identified by Certified Organizations and/or SFI Implementation Committees that improve their responsibilities in meeting the SFI 2022 standards.
2. Participation in or support of SFI Implementation Committees to establish criteria and identify delivery mechanisms for wood producer continuing education training courses that shall be taken by qualified logging professionals at least once every two years to maintain their status. The continuing education training course(s) shall address one or more of the following topics:
   a. awareness of sustainable forestry principles and SFI’s work across four pillars: standards, conservation, community, and education;
   b. best management practices, including streamside management and road construction, maintenance, and retirement;
   c. reforestation, invasive species management, forest resource conservation, aesthetics and special sites;
   d. awareness of rare forested natural communities as identified by provincial or state agencies, or by credible organizations such as NatureServe and The Nature Conservancy;
   e. transportation issues;
   f. business management;
   g. public policy and outreach;
   h. awareness of emerging technologies;
   i. logging safety;
   j. other topics identified by Certified Organization and/or SFI Implementation Committees that improve their responsibilities in meeting the SFI 2022 Standards.

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

Performance Measure 14.1. 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 and/or through cooperative efforts involving SFI Implementation Committees, education and outreach to forest landowners describing the importance and providing implementation guidance on:
a. best management practices;
b. reforestation and afforestation;
c. visual quality management;
d. conservation objectives, such as critical wildlife habitat elements, biodiversity, threatened and endangered species, and 
   forests with exceptional conservation value;
e. management of harvest residue (e.g., slash, limbs, tops) considers economic, social, environmental factors (e.g., organic, and nutrient value to future forests) and other utilization needs;
f. control of invasive species;
g. characteristics of special sites; and
h. reduction of wildfire risk;
i. use of qualified logging professionals, qualified resource professionals and/or certified logging companies;
j. awareness of SFI, and
k. reporting of inconsistent practices.

3. Participation in efforts to support or promote conservation of managed forests through voluntary market-based incentive programs such as current-use taxation programs, forest legacy program, conservation easements federal, state, or provincial cost share programs, or SFI conservation grants.

Performance Measure 14.2. Certified Organizations shall individually and/or through cooperative efforts involving SFI Implementation Committees 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 though programs such as Project Learning Tree.

Performance Measure 14.3. Certified Organizations shall, individually and/or through cooperative efforts including SFI Implementation Committees, establish, at the state, provincial, or other appropriate levels, procedures to address concerns raised by loggers, consulting foresters, employees, unions, stakeholders, the public or other Certified Organizations regarding management that appears inconsistent with the SFI standards principles and objectives.

Indicators:
1. Support for SFI Implementation Committees (e.g., toll-free numbers and other efforts) to address concerns about apparent nonconformance.
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 15: Public Land Management Responsibilities.
To participate and implement sustainable forest management on public lands.

Performance Measure 15.1. 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.

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

Performance Measure 16.1. A Certified Organization 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 Forest Management Standard.
Indicator:
1. The summary audit report submitted by the Certified Organizations (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 that was audited, including its SFI representative;
   d. a general description of the 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 Certified Organization);
   f. the dates the audit was conducted and completed;
   g. a summary of the findings, including general descriptions of evidence of conformity and any nonconformities and corrective action plans to address them, opportunities for improvement, and exceptional management; and
   h. the certification decision.

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

Performance Measure 16.2. Certified Organizations shall report annually to SFI Inc. on their conformance with the SFI 2022 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 Forest Management Standard.

Objective 17. 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 17.1. Certified Organizations shall establish a management review system to examine findings and progress in implementing the SFI 2022 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 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 Forest Management Standard.
## 1. GENERAL

### 1.1 SCOPE

### 1.2 ADDITIONAL REQUIREMENTS

### 1.3 REFERENCES

### 1.4 FIBER SOURCING STANDARD PRINCIPLES

### 1.5 SFI 2022 FIBER SOURCING OBJECTIVES

#### OBJECTIVE 1. BIODIVERSITY IN FIBER SOURCING

#### OBJECTIVE 2. ADHERENCE TO BEST MANAGEMENT PRACTICES

#### OBJECTIVE 3. USE OF QUALIFIED RESOURCE PROFESSIONALS, QUALIFIED LOGGING PROFESSIONALS AND CERTIFIED LOGGING COMPANIES

#### OBJECTIVE 4. LEGAL AND REGULATORY COMPLIANCE

#### OBJECTIVE 5. FORESTRY RESEARCH, SCIENCE AND TECHNOLOGY

#### OBJECTIVE 6. TRAINING AND EDUCATION

#### OBJECTIVE 7. COMMUNITY INVOLVEMENT AND LANDOWNER OUTREACH

#### OBJECTIVE 8. PUBLIC LAND MANAGEMENT RESPONSIBILITIES

#### OBJECTIVE 9. COMMUNICATIONS AND PUBLIC REPORTING

#### OBJECTIVE 10. MANAGEMENT REVIEW AND CONTINUAL IMPROVEMENT

#### OBJECTIVE 11. AVOID CONTROVERSIAL SOURCES
1.1 SCOPE

What the Fiber Sourcing Standard Does
The SFI 2022 Fiber Sourcing Standard promotes responsible forestry based on 13 Principles, 11 Objectives, 29 Performance Measures and 59 Indicators. These fiber sourcing requirements include measures to broaden the practice of biodiversity, use forestry best management practices to protect water quality, provide outreach to landowners and utilize the services of forest management and harvesting professionals.

What the Fiber Sourcing Standard Covers
The SFI 2022 Fiber Sourcing Standard applies to any organization with a fiber sourcing program that acquires roundwood or field-manufactured or primary-mill residual chips to support a forest products facility.

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 2022 Fiber Sourcing Standard.

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 2022 Fiber Sourcing Standard.

Geographic Application of the Fiber Sourcing Standard
The SFI 2022 Fiber Sourcing Standard applies to organizations in the United States and Canada that procure wood domestically or globally.

1.2 ADDITIONAL REQUIREMENTS

Certified Organizations that own or have management authority for forestlands must also conform to the SFI 2022 Forest Management Standard.

Use of the SFI on-product labels and claims shall follow Section 6 — 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 — 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 8 — SFI Policies
iv. Section 10 — SFI 2022 Audit Procedures and Auditor Qualifications and Accreditation
v. Section 11 — Communications and Public Reporting
vi. Section 14 — SFI Definitions
vii. Interpretations for the Requirements for the SFI 2022 Standards and Rules

For the purposes of this standard, the relevant definitions given in ISO/IEC Guide 2:2004 apply, together with the definitions in the SFI Definitions (Section 14).

Informative References
i. ISO 14001:2015 Environmental Management Systems — Specification with guidance for use
ii. PEFC ST 1003:2018 Sustainable Forest Management Requirements, November 28, 2018
iii. Section 7 — Guidance to SFI 2022 Standards
iv. Section 9 — SFI Standards Development and Interpretations Process
v. Section 12 — Public Inquiries and Official Complaints
vi. Section 13 — Optional Modules
1.4 FIBER SOURCING STANDARD PRINCIPLES

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 private property rights, and to help all private landowners manage their forestland sustainably. In keeping with this responsibility, 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 the ability of future generations to meet their own needs by practicing a land stewardship ethic that integrates reforestation and the managing, growing, nurturing and harvesting of trees for useful products, and for the provision of ecosystem services such as the conservation of soil, air and water quality and quantity, climate change adaptation and mitigation, biological diversity, wildlife and aquatic habitats, recreation and aesthetics.

2. Forest Productivity and Health
To provide for regeneration after harvest, maintain the health and productive capacity of the forest land base, and to protect and maintain long-term soil health and productivity. In addition, to protect forests from economically, environmentally and socially undesirable impacts of wildfire, pests, diseases, invasive species, and other damaging agents and thus maintain and improve long-term forest health and productivity.

3. Protection of Water Resources
To protect and maintain the water quality and quantity of water bodies and riparian areas and to conform with forestry best management practices to protect water quality, to meet the needs of both human communities and ecological systems.

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

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 geologically or culturally important in a manner that takes into account their unique qualities.

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

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

9. Training and Education
To improve the practice of sustainable forestry through training and education programs.

10. Community Involvement and Social Responsibility, and respect for Indigenous Rights
To broaden the practice of sustainable forestry on all lands through community involvement, socially responsible practices, and through recognition and respect of Indigenous Peoples’ rights and traditional forest-related knowledge.

11. Transparency
To broaden the understanding of forest certification to the SFI 2022 Fiber Sourcing Standard by documenting certification audits and making the findings publicly available.

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

13. Responsible Fiber Sourcing
To use and promote sustainable forestry across a diversity of ownership and management types in the United States and Canada that is both scientifically credible and socially, environmentally, and economically responsible and to avoid sourcing from controversial sources both domestically and internationally.
1.5 SFI 2022 FIBER SOURCING OBJECTIVES
A summary of the SFI 2022 Fiber Sourcing Standard Objectives follows:

Objective 1. Biodiversity in Fiber Sourcing
To address the practice of sustainable forestry by conserving biological diversity.

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

Objective 2. Adherence to Best Management Practices
To broaden the practice of sustainable forestry through best management practices to protect water quality.

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

Objective 3. Use of Qualified Resource Professionals, Qualified Logging Professionals and Certified Logging Companies
To promote and utilize qualified logging professionals, qualified resource professionals and certified logging companies.

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

Objective 4. Legal and Regulatory Compliance
To comply with all applicable laws and regulations including international, federal, provincial, state, and local.

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

Objective 5. Forestry Research, Science, and Technology
To invest in research, science and technology, upon which sustainable forest management decisions are based.

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

Objective 6. Training and Education
To improve the implementation of sustainable forestry practices through appropriate training and education programs.

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

Objective 7. Community Involvement and Landowner Outreach
To broaden the practice of sustainable forestry through public outreach, education, and involvement and to support the efforts of SFI Implementation Committees.

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

Objective 8. Public Land Management Responsibilities
To participate and implement sustainable forest management on public lands.

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

Objective 9. Communications and Public Reporting
To increase transparency and to annually report progress on conformance with the SFI 2022 Fiber Sourcing Standard.

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

Objective 10. Management Review and Continual Improvement
To promote continual improvement in the practice of sustainable forestry by conducting a management review and monitoring performance.

Why it Matters: Encouraging continual improvement of sustainable forestry practices, a cornerstone of sustainable forestry.
Objective 11. Avoid Controversial Sources.
To manage the risk of sourcing fiber products from controversial sources.

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

### 1.6 SFI 2022 FIBER SOURCING REQUIREMENTS

#### 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 Organizations** shall address conservation of biodiversity, individually and/or through cooperative efforts involving SFI Implementation Committees, through a program that includes one or more of the following:
   a. promotion of biological diversity concepts utilizing information from organizations such as the World Resources Institute, The Nature Conservancy, NatureServe, Conservation International, State Wildlife Action Plans, State Forest Action Plans and assessments;
   b. conducting local and regional level landscape assessments;
   c. involvement with local or regional conservation efforts;
   d. use of relevant information on biological diversity from credible sources (such as those noted above) in approved training and education programs; and
   e. other credible approaches.

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

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

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

#### Performance Measure 2.1. 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. 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.
2. **Program** to address adverse weather conditions.
3. **Certified Organizations** shall clearly define their fiber sourcing policies in writing and make them available to wood producers.
Performance Measure 2.2. Certified Organizations shall, individually or through cooperative efforts monitor the use of best management practices relative to scale.

Indicators:
1. A verifiable monitoring system to:
   a. confirm that harvests of purchased stumpage comply with best management practices;
   b. monitor the use of best management practices by wood producers supplying the Certified Organization; and
   c. evaluate use of best management practices across the wood and fiber supply area.
2. Usage of information from the verifiable monitoring system to maintain rates of conformance to best management practices and to identify areas for improved performance.

Objective 3. Use of Qualified Resource Professionals, Qualified Logging Professionals and Certified Logging Companies.
To promote and utilize qualified logging professionals, qualified resource professionals and certified logging companies.

Performance Measure 3.1. Certified Organizations shall promote the use of qualified logging professionals, qualified resource professionals and/or certified logging companies to improve sustainable forestry through their relationships with wood producers and landowners.

Indicators:
1. Program to promote the use of qualified logging professionals, qualified resource professionals and/or certified logging companies where available.

Performance Measure 3.2. Certified Organizations, through their relationships with wood producers and landowners, shall maximize the delivery of raw materials from qualified logging professionals and/or certified logging companies.

Indicator:
1. List of qualified logging professionals and/or certified logging companies maintained by an Certified Organization, state or provincial agency, loggers’ association, or other organization.
2. Certified Organizations shall have written agreements for the use of qualified logging professionals or wood producers that have completed training programs and are recognized as qualified logging professionals and/or certified logging companies.

Objective 4. Legal and Regulatory Compliance.
To comply with all applicable laws and regulations including international, federal, provincial, state, and local.

Performance Measure 4.1. Certified Organizations shall comply with all applicable federal, provincial, state, and local forestry and related and environmental laws and regulations.

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

Performance Measure 4.2. Certified Organizations shall take appropriate steps to comply with all applicable social laws at the federal, provincial, state, and local levels in the country where the Certified Organization operates.

Indicator:
1. Written policy demonstrating commitment to comply with social laws, such as those covering civil rights, equal employment opportunities, gender equality, diversity inclusion, anti-discrimination and anti-harassment measures, workers’ compensation, Indigenous Peoples’ rights, workers’ and communities’ right to know, prevailing wages, workers’ right to organize, and occupational health and safety which meet the spirit and intent of the International Labour Organization (ILO) Declaration on the Fundamental Principles and Rights at Work (1998).

Objective 5. Forestry Research, Science and Technology.
To invest in research, science and technology, upon which sustainable forest management decisions are based.

Performance Measure 5.1. 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 sustainable management of forest resources, and the environmental benefits and performance of forest products.
Indicators:
1. Financial or in-kind support of research, collaboratives, or knowledge transfer to address key themes of relevance in the region of operations as identified by Certified Organizations local stakeholders, communities and/or Indigenous Peoples. Examples could include, but are not limited to, the following topics:
   a. climate change adaptation and mitigation;
   b. water quality and quantity;
   c. biodiversity, Forests with Exceptional Conservation Value, and species maintenance and recovery;
   d. landscape ecology;
   e. Indigenous traditional ecological knowledge;
   f. ecosystem services or non-timber forest products;
   g. community engagement;
   h. forest health and productivity;
   i. support for Forest Inventory Analysis (FIA);
   j. SFI sponsored conservation research;
   k. the role of forests in the bioeconomy, and
   l. or similar themes which build broader understanding of the benefits and effects of sustainable forest management or sustainable supply chains.
2. Ensure that knowledge gained through research is shared, to the extent possible, to positively influence sustainable forest management.

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

Indicator:
1. Participation, individually and/or through cooperative efforts involving SFI Implementation Committees and/or associations at the national, state, provincial or regional level, in the development of 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. 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. 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. Certified Organizations shall require appropriate training of personnel and contractors so that they are competent to fulfill their responsibilities under the SFI 2022 Fiber Sourcing Standard.

Indicators:
1. Written statement of commitment to the SFI 2022 Fiber Sourcing Standard communicated throughout the organization, particularly to facility and woodland managers, fiber sourcing staff and field foresters.
2. Assignment and understanding of roles and responsibilities for achieving SFI 2022 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.
Performance Measure 6.2. Certified Organizations shall work individually and/or with SFI Implementation Committees, logging or forestry associations, or appropriate agencies or others in the forestry community to foster improvement in the professionalism of wood producers specific to qualified logging professionals.

Indicators:
1. Participation in or support of SFI Implementation Committees to establish criteria and identify delivery mechanisms for wood producer core training courses that allow individuals to attain qualified logging professional status. These criteria must address at least the following:
   a. awareness of sustainable forestry principles and SFI’s work;
   b. best management practices, including streamside management and road construction, maintenance, and retirement;
   c. awareness of responsibilities under the U.S. Endangered Species Act, the Canadian Species at Risk Act, Forests with Exceptional Conservation Value (critically imperiled and imperiled species and ecological communities), and other measures to protect biodiversity and wildlife habitat;
   d. logging safety;
   e. U.S. Occupational Safety and Health Administration (OSHA) and Canadian Centre for Occupational Health and Safety (CCOHS) regulations, wage and hour rules, and other provincial, state, and local employment laws, and
   f. other topics identified by Certified Organizations and/or SFI Implementation Committees that improve their responsibilities in meeting the SFI 2022 Standards.

2. Participation in or support of SFI Implementation Committees to establish criteria and identify delivery mechanisms for wood producer continuing education training courses that shall be taken by qualified logging professionals at least once every two years to maintain their status. The continuing education training course(s) shall address one or more of the following topics:
   a. awareness of sustainable forestry principles and the SFI’s work;
   b. best management practices, including streamside management and road construction, maintenance, and retirement;
   c. reforestation, invasive species management, forest resource conservation, aesthetics and special sites;
   d. awareness of rare forested natural communities as identified by provincial or state agencies, or by credible organizations such as NatureServe or The Nature Conservancy;
   e. transportation issues;
   f. business management;
   g. public policy and outreach;
   h. awareness of emerging technologies;
   i. logging safety; or
   j. other topics identified by the Certified Organization and/or SFI Implementation Committees that improve their responsibilities in meeting the SFI 2022 Standards.

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

Indicators:
1. Support, including financial, for efforts of SFI Implementation Committees.
2. Support individually or and/or through cooperative efforts involving SFI Implementation Committees, education and outreach to forest landowners describing the importance of and providing implementation guidance on:
   a. best management practices;
   b. reforestation and afforestation;
   c. visual quality management;
   d. conservation objectives, such as of critical wildlife habitat elements, biodiversity, threatened and endangered species, and Forests with Exceptional Conservation Value;
   e. management of harvest residue (e.g., slash, limbs, tops) considers economic, social, environmental factors (e.g., organic and nutrient value to future forests) and other utilization needs;
   f. control of invasive species;
   g. characteristics of special sites;
   h. reduction of wildfire risk;
i. use of qualified logging professionals, qualified resource professionals and/or certified logging companies;

j. awareness of SFI, and

k. reporting of inconsistent practices.

3. Participation in efforts to support or promote conservation of managed forests through voluntary market-based incentive programs such as current-use taxation programs, Forest Legacy Program, conservation easements, federal, state, or provincial cost share programs, or SFI Conservation Grants.

4. 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. 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. Certified Organizations shall individually or through cooperative efforts involving SFI Implementation Committee(s) support and promote, at the state, provincial or other appropriate levels, mechanisms for public outreach, education and involvement related to sustainable forest management.

Indicator:
1. Periodic educational opportunities for the public promoting sustainable forestry, such as
   a. field tours, seminars, websites, webinars or workshops;
   b. educational trips;
   c. self-guided forest management trails;
   d. publishing articles, educational pamphlets or newsletters; or
   e. support for national, state, provincial, and local forestry organizations and soil and water conservation districts, and
   f. engaging and supporting teachers and/or students through initiatives such as Project Learning Tree.

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

Indicators:
1. Support for SFI Implementation Committees (e.g., toll-free numbers and other efforts) to address concerns about apparent nonconformance.
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. 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.

To increase transparency and to annually report progress on conformance with the SFI 2022 Fiber Sourcing Standard.

Performance Measure 9.1. An Certified Organization 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 Fiber Sourcing Standard.

Indicator:
1. The summary audit report submitted by the Certified Organization (one copy must be in English), shall include, at a minimum,
   a. a description of the audit process, objectives and scope;
   b. a description of substitute indicators, if any, used in the audit and a rationale for each;
   c. the name of the Certified Organization that was audited, including its SFI representative;
   d. a general description of the Certified organization’s forestland, fiber procurement and/or manufacturing operations included in the audit;
   e. a summary of the Certified Organization’s assessment for Forests with Exceptional Conservation Values within its wood and fiber supply area.
f. 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 the Certified Organization);
g. the dates the audit was conducted and completed;
h. 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
i. the certification decision.

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

Performance Measure 9.2. Certified Organizations shall report annually to SFI Inc. on their conformance with the SFI 2022 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 Fiber Sourcing Standard.

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

Performance Measure 10.1. Certified Organizations shall establish a management review system to examine findings and progress in implementing the SFI 2022 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 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 Fiber Sourcing Standard.

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

Controversial sources are defined as:
- a. Forest activities which are not in compliance with applicable state, provincial, federal, or international laws.
- b. Forest activities which are contributing to regional declines in habitat conservation and species protection (including biodiversity and special sites, Alliance for Zero Extinction sites and key biodiversity areas, threatened and endangered species).
- c. Conversion sources originating from regions experiencing forest area decline.
- 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.
- h. Conflict Timber.
- i. Genetically modified trees via forest tree biotechnology.

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.
   - c. If requested by their customer, provide the information required in a. and b.
2. The Certified Organization can consider fiber low risk and exempt from due diligence when:
   a. Procured from a supplier with a valid SFI Section 2 (SFI Forest Management Standard) certificate, or other acceptable forest management standards, that clearly indicates that the source is within the scope of the certification; or
   b. Procured from a supplier with a valid SFI Section 3 (SFI Fiber Sourcing Standard) certificate that clearly indicates that the source is within the scope of the certification and/or the due diligence system; or
   c. Procured from a supplier with a valid SFI Section 4 (SFI Chain-of-Custody Standard), or other credible chain-of-custody standard certificate and/or due diligence system; or
   d. Procured from a supplier with a valid SFI Section 5 (SFI-certified Sourcing Standard) certificate that clearly indicates that the source is within the scope of the certification and/or due diligence system.

Performance Measure 11.2. The Certified Organization shall individually and/or through cooperative efforts involving SFI Implementation Committee(s) 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 controversial fiber from high-risk areas.

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 an Certified Organization receives fiber, and then learns the fiber is from controversial sources, if possible, the fiber shall be segregated and prevented from entering the supply chain. If fiber has already entered the supply chain and cannot be segregated additional corrective measures shall be implemented to avoid future controversial sources. If subsequent verification demonstrates that the risk of this fiber originating from controversial sources is low, the fiber can re-enter the supply chain.
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 in Performance Measure 11.4 are not considered to be effective in reducing the risk of receiving fiber from controversial sources to low, fiber from these sources shall be avoided.
1.1 SCOPE

What the Chain-of-Custody Standard Does

The SFI 2022 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 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 2022 Chain-of-Custody Standard.

An 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 2022 Chain-of-Custody on-product label.

Geographic Application of the Chain-of-Custody Standard

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

1.2 ADDITIONAL REQUIREMENTS

Primary producers must also conform to the SFI 2022 Fiber Sourcing Standard.

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

Use of the SFI On-Product Labels and claims shall follow Section 6 — Rules for Use of SFI On-Product Labels and Off-Product Marks as well as ISO 14020:2000.

Primary and secondary producers with a valid SFI 2022 Chain of Custody certificate can use their Chain-of-Custody procedures to make PEFC chain of custody claims or apply the PEFC on-product logo provided they comply with the applicable requirements in PEFC ST 2002:2020 – Chain of Custody of Forest and Tree Based Products - Requirements and PEFC ST 2001:2020 - PEFC Trademark Rules.

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 Forest Management Standard
vi. Section 3 — SFI 2022 Fiber Sourcing Standard
vii. Section 4 — SFI 2022 Chain-of-Custody Standard
viii. Section 5 — SFI 2022 Certified Sourcing Standard
ix. Section 6 — Rules for Use of SFI On-Product Labels and Off-Product Marks
x. Section 8 — SFI Policies
xi. Section 10 — Appendix 1: Audits of Multi-Site Organizations
xii. Section 12 — Public Inquiries and Official Complaints
xiii. Section 14 — 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 14).
Informative References
i. ISO 9000:2005 Quality management systems — Fundamentals and vocabulary
ii. ISO 9001:2015 Quality management systems — Requirements
iv. PEFC ST 2002:2020 Chain-of-Custody of Forest and Tree -Based Products — Requirements, February 2020
v. PEFC ST 2001:2020 - PEFC Trademark Rules, February 2020
vi. Section 7 — Guidance to SFI 2022 Standards
vii. Section 10 — SFI 2022 Audit Procedures and Auditor Qualifications and Accreditation

PART 2: PHYSICAL SEPARATION METHOD

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 An Certified Organization that 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 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.

PART 3: PERCENTAGE METHOD AND CREDIT METHOD (MIXED INPUTS)

3.1 GENERAL REQUIREMENTS FOR MIXED 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. Where certified content is mixed with non-certified forest inputs that cannot be clearly identified in the output products, Certified Organizations shall use either the Percentage Method or the Credit Method.

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, sold or transferred.
3.2.3 The product group shall be associated with (i) a single product or (ii) a group of products, which consist of the same or similar input raw material based on, for example, species, sort or substitutability within products (e.g., SPF lumber contains multiple tree species but may be treated as a single product group).

3.2.4 The 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 producers 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 CALCULATION OF THE CERTIFIED PERCENTAGE

3.3.1 The Certified Organization shall calculate the certification percentage separately for each claim period according to the following formula:

\[ P_c = \frac{V_c}{V_c + V_o} \times 100 \]

- \( P_c \) Certification percentage
- \( V_c \) Certified content
- \( V_o \) Other raw material (SFI 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.

3.3.2 The Certified Organization shall calculate the certification percentage based on a single measurement unit used for all raw material covered by the calculation. The Chain-of-Custody 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.

3.3.3 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.

3.3.4 The Certified Organization shall calculate the certification percentage either as a simple or rolling percentage. Refer to Appendix 1 of this document for the definitions of simple and rolling percentage calculations.
3.3.5 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.

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

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

3.4 PERCENTAGE METHOD

3.4.1 The Certified Organization applying the percentage method can claim all the products covered by the claim period, provided that the percentage of certified content is clearly communicated. To use the SFI label, the organization must meet a 70% certified content threshold. If recycled content is not used, then the label must just state, “Promoting Sustainable Forestry.”

3.4.2 If an Certified Organization falls below the 70% certified content threshold, the organization shall be transparent and communicate the actual percentage of certified content.

3.5 CREDIT METHOD

3.5.1 The Certified Organization shall apply the 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 credits. The credits shall be distributed to the output products from the credit account in a way that all products sold as certified are sold as 100% certified.

3.5.2 The Certified Organization shall recognize credits in a single measurement unit used for all raw material inputs and shall enter the 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.

3.5.3 The Certified Organization shall calculate the credits using either:
   a. certification percentage (clause 3.3) and volume of output products (clause 3.5.4) or
   b. input material (certified forest content / pre-consumer recycled / post-consumer recycled) and input/output ratio (clause 3.5.5).

3.5.4 The Certified Organization applying the certification percentage shall calculate the credits by multiplying the volume of output products of the product group by the certified percentage.

3.5.5 The Certified Organization must demonstrate a verifiable ratio between the input material and output products. The 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.

3.5.6 The labels used for the credit method are shown in Section 6. Rules for Use of SFI On-Product Labels and Off-Product Marks.

3.5.7 The Certified Organization can accumulate the SFI certified credits or recycled credits by creating a credit account, which can be used for the next claim period.
   a. The total quantity of credits cumulated at the credit account cannot exceed the sum of credits entered into the credit account during the last 24 months.
   b. An Certified Organization that is using the credit method but has yet to complete its initial certification 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.
PART 4: IDENTIFICATION OF THE ORIGIN

4.1 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. SFI X% Certified Forest Content
   ii. SFI X%, SFI Recycled Content
   iii. SFI X% Pre-Consumer Recycled
   iv. SFI X% Post-Consumer Recycled
   v. SFI X% Certified Sourcing or SFI Certified Sourcing
   vi. SFI Credit or 100% as calculated under the credit method.
   vii. SFI at Least X% Certified Forest Content
   viii. SFI X% from a Certified Forest
   ix. SFI 100% Certified Forest Content - Raw material from a forest certified to an acceptable forest management standard constitutes a claim of 100% certified forest content
   x. The supplier’s SFI 2022 Forest Management Standard, SFI 2022 Chain-of-Custody Standard, SFI 2022 Fiber Sourcing Standard, PEFC Chain-of-Custody Standard, or other acceptable forest management standards certificate number, as 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.

4.2 IDENTIFICATION AT SUPPLIER LEVEL

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

PART 5: SALE OF CERTIFIED CONTENT PRODUCTS

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

1 Primary and secondary producers with a valid SFI 2022 Chain of Custody certificate can use their Chain-of-Custody procedures to make PEFC chain of custody claims or apply the PEFC on-product logo provided they comply with the applicable requirements in PEFC ST 2002:2020 - Chain of Custody of Forest and Tree Based Products – Requirements and PEFC ST 2001:2020 - PEFC Trademark Rules. A matrix on SFI and PEFC category of origin alignments is available in the Guide to the SFI Standards and Rules (Section 7).

2 Primary and secondary producers with a valid SFI 2022 Chain of Custody certificate can use their Chain-of-Custody procedures to make PEFC chain of custody claims or apply the PEFC on-product logo provided they comply with the applicable requirements in PEFC ST 2002:2020 - Chain of Custody of Forest and Tree Based Products – Requirements and PEFC ST 2001:2020 - PEFC Trademark Rules. A matrix with SFI and PEFC category of origin alignments is available in the Guide to the SFI Standards and Rules (Section 7).
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 Credit or 100% as calculated under the credit method.
vii. SFI at Least X% Certified Forest Content
viii. SFI 100% from a Certified Forest
ix. SFI 100% Certified Forest Content
e. the Certified Organization’s Chain-of-Custody number.

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 2022 Standards and Rules).

PART 6: REPORTING REQUIREMENTS

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

Specific examples of proposed SFI on-product label use and related promotional literature to the Office of Label Use and Licensing, in keeping with the Rules for Use of SFI On-Product Labels and Off-Product Marks (Section 6 in the SFI 2022 Standards and Rules document).

PART 7: DUE DILIGENCE SYSTEM TO AVOID CONTROVERSIAL

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 that are contributing to regional declines in habitat conservation and species protection (including biodiversity and special sites, Alliance for Zero Extinction sites and key biodiversity areas, threatened and endangered species).
c. Conversion sources originating from regions experiencing forest area decline.
d. Forest activities where the spirit of the International Labour Organization (ILO) Declaration on Fundamental Principles and Rights at work (1998) are not met.
e. Forest activities where the spirit of the United Nations Declaration on the Rights of Indigenous Peoples (2007) are not met.
f. Fiber sourced from areas without effective social laws
h. Conflict Timber
i. Genetically modified trees via forest tree biotechnology

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.
   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.
c. If requested by their customer, provide the information required in a. and b.

Recycled content is exempt from a due diligence system to address the likelihood of sourcing from controversial sources.

7.2.2 The Certified Organization can consider forest based products low risk and exempt from due diligence when:
a. Procured from a supplier with a valid SFI Section 2 (SFI 2022 Forest Management Standard) certificate, or other acceptable forest management standards, that clearly indicates that the source is within the scope of the certification; or
b. Procured from a supplier with a valid SFI Section 3 (SFI 2022 Fiber Sourcing Standard) certificate that clearly indicates that the source is within the scope of the certification and/or the due diligence system; or
c. Procured from a supplier with a valid SFI Section 4 (SFI 2022 Chain-of-Custody Standard), or other credible Chain-of-Custody standard certificate and/or the due diligence system; or
d. Procured from a supplier with a valid SFI Section 5 (SFI 2022 Certified Sourcing Standard) certificate and/or the due diligence system;

**7.3 DEVELOP AND IMPLEMENT A DUE DILIGENCE SYSTEM**

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

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

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

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

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

**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 Certified 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 Certified Organization has in place to substantially reduce the risk of sourcing forest-based products from **controversial sources**.

**7.5.3** Where an Certified Organization receives forest-based products, and then learns these forest-based products are from **controversial sources**, if possible, these forest-based products shall be segregated and prevented from entering the Chain-of-Custody system. If forest-based product has already entered the Chain-of-Custody system and cannot be segregated additional corrective measures shall be implemented to avoid future **controversial sources**. If subsequent verification demonstrates that the risk of this fiber originating from **controversial sources** is low, these forest-based products can re-enter the Chain-of-Custody system.

**7.5.4** 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.

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

**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.
8.1 GENERAL REQUIREMENTS
The Certified Organization shall operate a management system in accordance with the following elements of the SFI 2022 Chain-of-Custody Standard, which ensure correct implementation and maintenance of the Chain-of-Custody process. The management system shall be appropriate to the type, range and volume of work performed.

Note: An Certified 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.

8.2 RESPONSIBILITIES AND AUTHORITIES FOR CHAIN-OF-CUSTODY

8.2.1 The Certified Organization’s 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.

8.2.2 The Certified Organization’s management shall appoint a member of the management who, irrespective of other responsibilities, shall have overall responsibility and authority for the Chain-of-Custody.

8.2.3 The Certified Organization’s management shall carry out a regular periodic review of the Chain-of-Custody 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 spirt of ILO Declaration on Fundamental Principles and Rights at Work (1998).

8.2.5 The Certified Organization shall identify personnel performing work affecting the implementation and maintenance of the Chain-of-Custody, and establish and set responsibilities and authorities relating to the Chain-of-Custody process:
   a. raw material procurement and identification of the origin;
   b. product processing covering physical separation, percentage calculation, or credit and transfer into output products;
   c. product sale and labeling;
   d. record keeping; and
   e. internal audits and nonconformity control.

8.2.6 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 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.

8.3 DOCUMENTED PROCEDURES
The Certified 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.

8.4 RECORD KEEPING

8.4.1 The Certified 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 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 credit accounts;
   e. records of internal audits, nonconformities that occurred and corrective actions taken;
   f. records of top management’s periodic review of compliance with Chain-of-Custody requirements; and
   g. records of all complaints received from suppliers, customers, and other parties relating to its Chain-of-Custody system.

8.4.2 The Certified 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 Organization shall ensure that all personnel performing work affecting the implementation and maintenance of the Chain-of-Custody shall be competent based on appropriate training, education, skills, and experience.

8.5.2 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.

8.6 INTERNAL AUDIT AND MANAGEMENT REVIEW

8.6.1 The Certified Organization shall conduct internal audits at least annually, and prior to the initial certification audit, covering all requirements of this standard and establish corrective and preventive measures if required.

8.6.2 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 2022 Chain-of-Custody Standard;
   b. Off-site interviews and desk audits are permissible;
   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.

8.6.3 The Certified Organization shall have its rationale for remote audits and its sampling procedure audited by its certification body.

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

8.7 In accordance with clause 8.4.1 g and SFI Section 12, the Certified Organization shall establish procedures for dealing with complaints from suppliers, customers, and other parties relating to its Chain-of-Custody system. If requested by SFI, provide SFI a summary of complaints received.

PART 9: OUTSOURCING AGREEMENTS

9.1 The Certified Organization may outsource activities covered by its SFI Chain-of-Custody to another entity.

9.2 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 clearly identified 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.
   d. Records of inputs/outputs are available.

9.3 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.

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

9.5 Where there are sufficient outsource contractors the internal audit may use a sampling approach for these contractors.
Definition of the Product Group
The SFI 2022 Chain-of-Custody Standard at Part 3.2 and Appendix 1 allows a Certified 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 Certified 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

<table>
<thead>
<tr>
<th>Output products</th>
<th>Input raw material</th>
<th>Chain-of-Custody product group</th>
<th>Units for credit account</th>
</tr>
</thead>
<tbody>
<tr>
<td>Spruce lumber A</td>
<td>Spruce, Pine, Fir (SPF) sawlogs</td>
<td>Spruce, Pine, Fir (SPF) products</td>
<td>Tons of Spruce, Pine, Fir (SPF) sawlogs</td>
</tr>
<tr>
<td>Pine lumber B</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Fir lumber C</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Fir/Spruce/Pine (SPF) chips</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Alder lumber A</td>
<td>Alder sawlogs</td>
<td>Alder products</td>
<td>Tons of Alder sawlogs</td>
</tr>
<tr>
<td>Alder lumber B</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Alder lumber C</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Alder chips</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Alder/Pine/Spruce sawdust</td>
<td>Alder/Spruce/Pine sawdust</td>
<td>Residue products</td>
<td>Tons of Alder/Spruce, Pine Fir (SPF) sawlogs</td>
</tr>
<tr>
<td>Alder/Pine/Spruce bark</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Calculation of the Certification Percentage
The Certified Organization can use two methods to calculate the certification percentage (simple percentage or rolling 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 Certified Organization applying this method must know the percentage of certified content before any product from that product group is sold or transferred.

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

Example of a Three-Month Rolling Percentage
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 Certified Organization starts the Chain-of-Custody and the time period used in rolling percentage calculation is longer than the time period the Chain-of-Custody has been in place, the calculation of the rolling percentage is carried out from the volumes procured since the Chain-of-Custody was established. An example is given in Table 2: The first rolling percentage (month 1) is calculated only from volumes procured in month 1, the second rolling percentage (month 2) is calculated only from volumes procured in months 1 and 2.
Table 2: Example of three-month rolling percentage calculation

<table>
<thead>
<tr>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
<th>6</th>
</tr>
</thead>
<tbody>
<tr>
<td>No. of the</td>
<td>Volume of</td>
<td>Volume of</td>
<td>Sum of volumes</td>
<td>Sum of volumes</td>
<td>3-month rolling</td>
</tr>
<tr>
<td>1 month</td>
<td>certified raw</td>
<td>other raw</td>
<td>of certified raw</td>
<td>of other raw</td>
<td>percentage</td>
</tr>
<tr>
<td>calculation</td>
<td>material procured</td>
<td>material</td>
<td>material for</td>
<td>material for</td>
<td></td>
</tr>
<tr>
<td>period</td>
<td>(tons)*</td>
<td>(tons)*</td>
<td>previous 3 months</td>
<td>previous 3 months</td>
<td></td>
</tr>
<tr>
<td>$j=i$</td>
<td>$V_c$</td>
<td>$V_o$</td>
<td>$V_c(3)$</td>
<td>$V_o(3)$</td>
<td>$P_c(3)$</td>
</tr>
</tbody>
</table>

$V_c(3) = \sum_{j=i}^{i-2} V_c$  
$V_o(3) = \sum_{j=i}^{i-2} V_o$  
$P_c(3) = \frac{V_c(3)}{V_c(3) + V_o(3)}$  

| 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:

a. [column 4] Volume of certified raw material is calculated as sum of volumes of certified raw material procured in the previous 3 months. $V_c(3)_6 = V_{c6} + V_{c5} + V_{c4} = 16 + 15 + 14 = 45$ [tons]

b. [column 5] Volume of other raw material is calculated as sum of volumes of other raw material procured in the previous 3 months. $V_o(3)_6 = V_{o6} + V_{o5} + V_{o4} = 90 + 90 + 90 = 270$ [tons]

c. [column 6] The rolling percentage is calculated according to the formula of chapter 3.3.1: $P_c = \frac{V_c}{V_c + V_o}$  
$Pc_6 = 100 \times \frac{V_c(3)_6}{V_c(3)_6 + V_o(3)_6}$; $Pc_6 = 100 \times \frac{45}{45 + 270} = 14.29\%$

Note: The product group period does not need to be equal to the calculation period if it does not exceed the length of the calculation period.
Credit Accumulation

The Certified Organization can establish a credit account for the input raw material used in the specific product group or for specific products of the product group if 3.5.2 applies.

Table 3: Example of credit accumulation (in tons)

<table>
<thead>
<tr>
<th></th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Number of 1 month’s product group</td>
<td>Credit volume for the product group</td>
<td>Credit account</td>
<td>Maximum credit account</td>
<td>Used credits</td>
</tr>
<tr>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>2</td>
<td>7.78</td>
<td>7.78</td>
<td>7.78</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>3</td>
<td>8.17</td>
<td>15.95</td>
<td>15.95</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>4</td>
<td>8.56</td>
<td>24.51</td>
<td>24.51</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>5</td>
<td>9.28</td>
<td>33.79</td>
<td>33.79</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>6</td>
<td>9.99</td>
<td>43.78</td>
<td>43.78</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>7</td>
<td>10.70</td>
<td>54.48</td>
<td>54.48</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>8</td>
<td>11.41</td>
<td>65.89</td>
<td>65.89</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>9</td>
<td>12.83</td>
<td>90.84</td>
<td>90.84</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>10</td>
<td>13.54</td>
<td>104.39</td>
<td>104.39</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>11</td>
<td>14.25</td>
<td>118.64</td>
<td>118.64</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>12</td>
<td>14.96</td>
<td>133.61</td>
<td>133.61</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>13</td>
<td>15.68</td>
<td>141.50</td>
<td>141.50</td>
<td>5</td>
<td>5</td>
</tr>
<tr>
<td>14</td>
<td>16.38</td>
<td>149.72</td>
<td>149.72</td>
<td>10</td>
<td>10</td>
</tr>
<tr>
<td>15</td>
<td>17.09</td>
<td>156.81</td>
<td>156.25</td>
<td>50</td>
<td>50</td>
</tr>
<tr>
<td>16</td>
<td>17.80</td>
<td>124.62</td>
<td>166.78</td>
<td>50</td>
<td>50</td>
</tr>
<tr>
<td>17</td>
<td>18.51</td>
<td>93.13</td>
<td>175.30</td>
<td>100</td>
<td>100</td>
</tr>
</tbody>
</table>

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

d. [column 2] Includes 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 credits used in the previous month [column 5, month 14] plus credit calculated for the current month [column 2, month 14].

\[ \text{[3]}_{14} \cdot [5]_{14} + [2]_{15} = 149.72 - 5 + 16.38 = 152.88 \text{ (tons)} \]

Total quantity accumulated in the credit account cannot exceed credits entered into the credit in the previous 12 months

\[ \text{[4]} = [2]_{4} + [2]_{5} + [2]_{6} + [2]_{7} + [2]_{8} + [2]_{9} + [2]_{10} + [2]_{11} + [2]_{12} + [2]_{13} + [2]_{14} + [2]_{15} = 152.88 + 149.72 = 302.60 \text{ (tons)} \]

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


Use of the Credit Account

The credit account shall be drawn down as certified sales are made. The number of 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 credit account for different product sales.

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

<table>
<thead>
<tr>
<th>Credit account balance (raw material credits)</th>
<th>Product</th>
<th>Input/output ratio</th>
<th>Volume of certified sales</th>
<th>Reduction to credit account balance</th>
</tr>
</thead>
<tbody>
<tr>
<td>200</td>
<td>A</td>
<td>1/1</td>
<td>20</td>
<td>20</td>
</tr>
<tr>
<td>180</td>
<td>B</td>
<td>4/1</td>
<td>40</td>
<td>160</td>
</tr>
<tr>
<td>20</td>
<td>C</td>
<td>2/1</td>
<td>10</td>
<td>20</td>
</tr>
<tr>
<td>0</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
</tbody>
</table>
1.1 SCOPE
This section describes the requirements for 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. Primary or secondary producers with operations outside of the United States and Canada should refer to Part 4 of this standard.

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 Certificate. This includes Part 7. Due Diligence System to Avoid Controversial Sources and Part 8. Minimum Management System.

1.2 PURPOSE
The purpose of this section is to describe the requirements Certified Organizations must meet to manufacture product with a SFI Certified Sourcing claim.

1.3 LABEL
This label applies to this section.

2.1 NORMATIVE
The following normative SFI standards are referenced in this document and can be found on the SFI Inc. website at www.forests.org:

i. ISO/IEC 17065:2012 — Conformity Assessment — Requirements for bodies certifying product, process and services
ii. Sections 2 and 3 — SFI 2022 Standards and Rules
iii. Section 6 — Rules for Use of SFI On-Product Labels and Off-Product Marks
iv. Section 8 — SFI Policies
v. Section 10 — Appendix 1: Audits of Multi-Site Organizations
vi. Section 14 — SFI Definitions

2.2 INFORMATIVE
The following informative documents are referenced in this section and can be found on the SFI Inc. website at www.forests.org:

i. Section 4 — SFI 2022 Chain-of-Custody Standard
ii. Section 7 — Guidance to SFI 2022 Standards
iii. Section 10 — SFI 2022 Audit Procedures and Auditor Qualifications and Accreditation
iv. ISO 9001:2015 Quality management systems — Requirements
PART 3: CALCULATING THE CERTIFIED SOURCING 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 are from company-owned or company-controlled lands, those lands must be third-party certified to the SFI 2022 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 by weight of the wood or wood fiber in the product(s) or manufacturing unit as coming from certified sourcing. The other one-third cannot come from controversial sources.

3.3 Calculation of percentage for use of the certified sourcing claim or label and information in sales documentation is as follows:

3.3.1 Primary producers shall always demonstrate conformance with the requirements of 3.1, 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.

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 Certified Organization must demonstrate that the requirements of 3.1 and/or 3.2 are met before the claim or label can be used in relation to a specific product group or time period.

3.3.4 A secondary producer may use the certified sourcing claim or label on products from a single manufacturing unit as long as the specific supply for that product(s) or 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 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 the SFI 2022 Certified Sourcing Standard.

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

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

4.4 An 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.
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 1-11 of Section 3 — SFI 2022 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, regrin 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.

Any claims about pre-consumer recycled content by Certified Organizations or label users shall be accurate and consistent with applicable law. 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.

Any claims about post-consumer recycled content by Certified Organizations and label users shall be accurate and consistent with applicable law. 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 Forest Management Standard’s Objectives 1-16 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 7 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:
   a. Certified Organization’s identification and SFI 2022 Certified Sourcing Standard or SFI 2022 Chain-of-Custody Standard certificate number,
   b. manufacturing facility(s) supplying the product(s) covered by the claim,
   c. range of dates for manufacture of the product(s) covered by the claim,
   d. 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 SFI Office of Label Use and Licensing and the Section 6 — Rules for Use of SFI On-Product Labels and Off Product Marks, in the SFI 2022 Standards and Rules document.
PART 7: DUE DILIGENCE SYSTEM TO AVOID CONTROVERSIAL SOURCES

7.1 DEFINITION OF CONTROVERSIAL SOURCES:

a. Forest activities that are not in compliance with applicable state, provincial, federal, or international laws.

b. Forest activities that are contributing to regional declines in habitat conservation and species protection (including biodiversity and special sites, Alliance for Zero Extinction sites and key biodiversity areas threatened and endangered species).

c. Conversion sources originating from regions experiencing forest area decline.

d. Forest activities where the spirit of the International Labour Organization (ILO) Declaration on Fundamental Principles and Rights at work (1998) are not met.

e. Forest activities where the spirit of the United Nations Declaration on the Rights of Indigenous Peoples (2007) are not met.

f. Fiber sourced from areas without effective social laws.


h. Conflict Timber

i. Genetically modified trees via forest tree biotechnology.

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.

c. If requested by their customer, provide the information required in a. and b.

Recycled content is exempt from a due diligence system to address the likelihood of sourcing from controversial sources.

7.2.2 The Certified Organization can consider forest-based products low risk and exempt from due diligence when:

a. Procured from a supplier with a valid SFI Section 2 (SFI 2022 Forest Management Standard) certificate, or other acceptable forest management standards, that clearly indicates that the source is within the scope of the certification; or

b. Procured from a supplier with a valid SFI Section 3 (SFI 2022 Fiber Sourcing Standard) certificate that clearly indicates that the source is within the scope of the certification and/or the due diligence system; or

c. Procured from a supplier with a valid SFI Section 4 (SFI 2022 Chain-of-Custody Standard), or other credible Chain-of-Custody standard certificate and/or due diligence system; or

d. Procured from a supplier with a valid SFI Section 5 (SFI 2022 Certified Sourcing Standard) certificate and/or due diligence system.

7.3 DEVELOP AND IMPLEMENT A DUE DILIGENCE SYSTEM

7.3.1 The Certified Organization shall develop and implement a due diligence system (DDS) to assess and manage the risk of sourcing forest-based products from controversial sources in accordance with the requirements of this standard.

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

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

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

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

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 are from controversial sources, if possible, these forest-based products shall be segregated and prevented from entering the supply chain. If forest-based product has already entered the fiber supply system and cannot be segregated additional corrective measures shall be implemented to avoid future controversial sources. If subsequent verification demonstrates that the risk of this fiber originating from controversial sources is low, 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 2022 Certified Sourcing Standard.

8.1 GENERAL REQUIREMENTS

The Certified 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: A Certified 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.

8.2 RESPONSIBILITIES AND AUTHORITIES FOR CERTIFIED SOURCING

8.2.1 The Certified Organization’s 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 Certified Organization’s 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 Certified Organization’s 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).

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

8.2.6 The **Certified Organization** shall have a system to comply with all applicable social laws at the federal, provincial, state, and local levels in the country in which the **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.

**8.3 DOCUMENTED PROCEDURES**
The **Certified 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 **Certified 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 **Certified Organization** shall keep at least the following:
- records of all suppliers of **certified sourcing** material, including information to confirm requirements at the supplier level are met;
- records of all purchased **certified sourcing** raw material;
- records of all **certified sourcing** products sold;
- records of internal audits, nonconformities which occurred and corrective actions taken; and
- 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 Organization** shall ensure that all personnel performing work affecting the implementation and maintenance of the **certified sourcing** shall be competent based on appropriate training, education, skills and experience.

8.5.2 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 **certified sourcing** to meet the requirements of this standard.

**8.6 INTERNAL AUDIT AND MANAGEMENT REVIEW**

8.6.1 The **Certified Organization** shall conduct internal audits at least annually, and prior to the initial certification audit, covering all requirements of this standard and establish corrective and preventive measures if required.

8.6.2 The **Certified Organization** shall conduct the internal audit in accordance with the following requirements:
- The internal audit shall be undertaken by personnel that have adequate knowledge of the **SFI 2022 Certified Sourcing Standard**;
- Off-site interviews and desk audits are permissible;
- If there have been no inputs or outputs for a site or manufacturing facility over the past year, internal audits are not required;
- If a site or manufacturing facility has had no sales of **SFI certified 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.

8.6.3 Where the Certified Organization 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:
   a. The Certified Organization maintains legal ownership of all input material to be included in the outsourced processes;
   b. The certified sourcing material from the certified organization is clearly identified 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.
   d. Records of inputs/outputs are available.

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

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

8.6.7 The Certified Organization shall have its rationale for remote audits and its sampling procedure audited by its certification body.

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

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

PART 9: APPLICATION REQUIREMENTS

9.1 Primary producers must submit to the SFI Office of Label Use and Licensing:
   9.1.1 A copy of their annual SFI 2022 Forest Management Standard and/or SFI 2022 Fiber Sourcing Standard public audit summary report issued by an SFI certification body.

9.2 Primary or secondary producers outside the United States and Canada must submit to the SFI Office of Label Use and Licensing:
   9.2.1 Specific examples of proposed SFI on-product label use and related promotional literature to the SFI Office of Label Use and Licensing, in keeping with the SFI Section 6 — Rules for Use of SFI On-Product Labels and Off-Product Marks.
RULES FOR USE OF SFI ON-PRODUCT LABELS AND OFF PRODUCT MARKS

PART 1: RULES FOR USE OF SFI ON-PRODUCT LABELS  80
PART 2: OFFICE OF LABEL USE AND LICENSING  80
PART 3: SFI CLAIMS AND LABELS  81
PART 4: GENERAL RULES FOR USE OF SFI ON-PRODUCT LABELS  88
PART 5: Communicating Certification and Certified Product  89
PART 6: RULES FOR USE OF SFI OFF-PRODUCT MARKS  90
PART 7: RULES FOR USE OF SFI WORD MARKS  91
PART 8: GENERAL RULES — FOR USE OF THE SFI OFF-PRODUCT MARKS AND WORD MARKS  92

APPENDIX 1: SFI LABELS AND CLAIMS MATRIX  93
APPENDIX 2: SFI LOGO USE GUIDE  95
**PART 1: RULES FOR USE OF SFI ON-PRODUCT LABELS**

SFI has chain-of-custody labels and an SFI Certified Sourcing label.

Certified chain-of-custody labels track the use of fiber from certified forests, certified sourcing, and recycled material.

The SFI Certified Sourcing label does not make claims about certified forest content. Certified sourcing can include fiber sourced from a company that conforms to Section 2 — SFI 2022 Forest Management Standard, Section 3 — SFI 2022 Fiber Sourcing Standard, from recycled content, or from certified forest content. Fiber shall never be sourced from a controversial source.

**PART 2: OFFICE OF LABEL USE AND LICENSING**

2.1 The Office of Label Use and Licensing shall evaluate and approve applications for use of all SFI on-product labels, shall establish label-use rules and procedures set out in the Rules for Use of SFI On-Product Labels and Off-Product Marks (Section 6 in the SFI 2022 Standards and Rules document), and shall maintain oversight of use of all SFI on-product labels.

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

2.3 A label user shall not use the SFI 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 2022 Standards and Rules document).

2.7 All advertising material must be sent to the SFI 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.

2.8 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.

2.9 The SFI Office of Label Use and Licensing reserves the right to request samples of all uses of the SFI On-Product Labels from time to time.

2.10 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 SFI Section 6, 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.
2.11 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 organization 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 certified organization 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 four issues that year.

2.15 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.

2.16 For private branded products where the certified organization 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 Certified 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.

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.

PART 3: SFI CLAIMS AND LABELS

3.1 SFI CHAIN-OF-CUSTODY LABELS AND CLAIMS

The SFI 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 percentage or the credit method.

The credit method allows a Certified Organizations 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 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.”

The percentage method allows chain of custody Certified Organizations to consistently label all of their products with the percentage labels. To use the “Promoting Sustainable Forestry and Recycled Content” label with the 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 percentage chain of custody method.
**LABEL:** SFI CHAIN-OF-CUSTODY – PROMOTING SUSTAINABLE FORESTRY

**OFFICIAL SFI CLAIMS**

**From a supplier using the Percent Method**
- SFI 70% -100% Certified Forest Content

**From a supplier using the Credit Method**
- SFI Credit
- 100% as calculated under the SFI credit method

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

**REQUIRED CERTIFICATION:**
SFI 2022 CHAIN-OF-CUSTODY

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

**OFFICIAL SFI CLAIMS**

**From a supplier using the Percent Method**
- SFI 70% - 100% Certified Forest Content and recycled content
- SFI At Least 70% - 100% Certified Forest Content and recycled content

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

**From a supplier using the Credit Method:**
- SFI Credit
- 100% as calculated under the SFI credit method

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

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

**REQUIRED CERTIFICATION:**
SFI 2022 CHAIN-OF-CUSTODY

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

**OFFICIAL SFI CLAIMS**

**From a supplier using the Percent Method**
- SFI At Least XX% Certified Forest Content

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

**NOTES:**
- When the “At Least X% Certified Forest Content” label is being applied on solid wood products, the claim must read, “Product Line Contains at Least X% Certified Forest Content”. Artwork for this label is available upon request.
- An SFI Chain-of-Custody 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.

**REQUIRED CERTIFICATION:**
SFI 2022 CHAIN-OF-CUSTODY
LABEL: SFI CHAIN-OF-CUSTODY – 100% RECYCLED CONTENT

OFFICIAL SFI CLAIMS

From a supplier using the Percent Method

- SFI 100% Recycled Content

NOTES:

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

LABEL: SFI CHAIN-OF-CUSTODY – X% CERTIFIED FOREST CONTENT, X% CERTIFIED SOURCING, AND X% RECYCLED CONTENT

OFFICIAL SFI CLAIMS

From a supplier using the Percent Method

- SFI X% Certified Forest Content
- SFI X% Certified Sourcing
- SFI X% Recycled Content

MOBIUS LOOP OPTION

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

NOTES:

- The X% content label must equal all parts to 100%
- If a specific attribute does not apply (e.g., post-consumer recycled content), the Certified Organization must exclude that tagline from the label.
- The “100% certified forest content” claim can be made only when the physical separation method has been used throughout the chain of custody process.
- When using the X% Chain of Custody label, the claims can be switched in order so “X% Certified Sourcing” or “X% Recycled Content” is first. Furthermore, label users can add the words, “At Least” in front of the “X% Certified Forest Content” claim.
- If the content contains less than SFI 10% certified forest content, and is not 100% recycled content, this label cannot be used. The use of this label with the certified forest content claim is contingent on the production batch having at least 10% certified forest content, unless the product is 100% recycled content. An SFI Chain-of-Custody Certified Organization may make a claim of any percentage of recycled content, but use of the label is contingent on the production batch having at least 10% recycled content with the balance of the production batch qualifying for certified forest content and/or SFI certified sourcing.
- SFI Certified Sourcing line can only be used in combination with SFI X% certified forest content. It cannot be used alone in the SFI Chain of Custody label, nor in sole combination with SFI X% recycled content. If the label user wishes to make a “100% certified sourcing claim,” the SFI certified sourcing label must be used.
- The SFI X% Recycled line can only be used on its own if it is at 100%. Pre and Post consumer recycled content can be included in the Recycled Content line. If the SFI X% Recycled Content is less than 100, it must be used with the SFI X% certified forest content line and/or the “SFI X% Certified Sourcing line.” Both are applicable to the total claim breakdown.
- If a chain of custody Certified Organization uses recycled content, they can choose to incorporate a Mobius loop stating the percentage of recycled content in the product. The recycled mobius loop may only be used within the SFI label when the organization is certified to the SFI 2022 Chain of Custody Standard.
- If a chain of custody Certified Organization uses recycled content, they can choose to incorporate a Mobius loop stating the percentage of recycled content in the product.
### 3.2 SFI CERTIFIED SOURCING LABEL AND CLAIM

The SFI Certified Sourcing label and claim do not make claims about certified content. They tell buyers and consumers that Certified Organization is certified to the SFI 2022 Fiber Sourcing Standard, or comes from recycled content, or from a certified forest. All fiber must be from non-controversial sources.

The SFI Certified Sourcing label can be used by any certified organization certified to Section 2 - SFI 2022 Forest Management Standard and/or Section 3 — SFI 2022 Fiber Sourcing Standard. The SFI Certified Sourcing label does not make claims about certified forest content. Eligible inputs that count towards the Certified Sourcing label includes fiber from Section 2 — SFI 2022 Forest Management Standard, fiber from Section 3 — SFI 2022 Fiber Sourcing Standard, fiber from recycled content, or fiber from certified forest content. Fiber shall never be sourced from a controversial source.

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.

Printers that are certified to the SFI 2022 Chain-of-Custody Standard may use their chain of custody procedures to account for product that is approved for the SFI Certified Sourcing Label and label that product with the SFI Certified Sourcing Label. These Certified Organizations must obtain documentation from their suppliers that the product is approved for the SFI Certified Sourcing Label.

**LABEL: SFI CERTIFIED SOURCING**

<table>
<thead>
<tr>
<th>OFFICIAL SFI CLAIMS</th>
</tr>
</thead>
<tbody>
<tr>
<td>SFI Certified Sourcing</td>
</tr>
<tr>
<td>• SFI 100% Certified Sourcing</td>
</tr>
</tbody>
</table>

**REQUIRED CERTIFICATION:**

SFI 2022 CHAIN-OF-CUSTODY, SFI 2022 CERTIFIED SOURCING, AND/OR SFI 2022 FIBER SOURCING

### 3.3 OTHER SFI LABEL AND CLAIM OPTIONS

#### 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.”

**LABEL: NON-TIMBER FOREST PRODUCTS**

<table>
<thead>
<tr>
<th>OFFICIAL SFI CLAIMS</th>
</tr>
</thead>
<tbody>
<tr>
<td>From a supplier using Physical Separation Method</td>
</tr>
<tr>
<td>• SFI 100% from a Certified Forest</td>
</tr>
</tbody>
</table>

**REQUIRED CERTIFICATION:**

SFI 2022 CHAIN-OF-CUSTODY
3.3.2 SFI Forest Management Label

Organizations with SFI 2022 Forest Management certification without SFI Chain-of-Custody can apply the 100% Certified Forest Content label.

**LABEL:** SFI FOREST MANAGEMENT LABEL

**OFFICIAL SFI CLAIMS**

100% Certified Forest Content

**REQUIRED CERTIFICATION:**

SFI 2022 FOREST MANAGEMENT

3.4 USE OF SFI ON-PRODUCT LABELS WITH OTHER CREDIBLE CHAIN-OF-CUSTODY STANDARDS

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

a. the primary producer must be a Certified Organization;

b. the primary producer must be certified to all of the applicable objectives in Section 2 - SFI 2022 Forest Management Standard and/or Section 3 - SFI 2022 Fiber Sourcing Standard.
   - A Certified Organization; which owns or manages forestlands must be certified to Section 2 - SFI 2022 Forest Management Standard.
   - A Certified Organization; which only sources direct from the forest and does not manage the forestlands must be certified to Section 3 - SFI 2022 Fiber Sourcing Standard.
   - A Certified Organization; which owns or manages forestlands and sources direct from the forest must be certified to Section 2 - SFI 2022 Forest Management Standard and Section 3 - SFI 2022 Fiber Sourcing Standard.

c. Primary or secondary producers of wood, wood pulp and/or pulp and paper products certified to the PEFC Chain of Custody standard can use the SFI Labels Recognizing Global Standards label as long as the following criteria are met:
   - The primary producer, if outside the United States and Canada, must have a valid PEFC Chain of Custody certificate for relevant manufacturing sites located outside the United States or Canada.
   - The secondary producer must have a valid PEFC Chain of Custody and/or SFI Chain-of-Custody certificate for relevant manufacturing sites located outside the United States or Canada and manufacture products for Canadian and U.S. markets.
   - Note that at least one organization in the supply chain must meet User Requirements for SFI Label Recognizing Global Standards to use the label on finished products and all rules for use of the SFI Label must be followed.

3.4.1 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 producers outside the U.S. and Canada must have valid PEFC Chain of Custody 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 Chain of Custody certificate for relevant manufacturing sites located outside the United States or Canada.
   ii. The Secondary Producer must have a valid PEFC Chain of Custody and/or SFI Chain-of-Custody 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 valid PEFC Chain-of-Custody or a valid SFI Chain-of-Custody certification.

v. A PEFC claim must be passed on and follow all PEFC requirements for communicating PEFC claims, if the label user holds a valid PEFC Chain-of-Custody 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 2022 Chain of Custody Standard certificate.

vii. All rules for use of the SFI label must be followed. This includes SFI’s rule that 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 an annual progress report survey and SFI Market Survey.

x. The organizations applying the label must seek approval through the SFI Office of Label Use and 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. Certified Organizations certified to SFI 2022 Section 2 (Forest Management) and/or SFI 2022 Section 3 (Fiber Sourcing) already paying Certified Organization 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 Certified Organization dues to SFI.

xiii. SFI Inc. will not license any person or entity to use SFI’s trademarks or labels, and SFI may revoke any license previously granted, if the proposed licensee or an Affiliate of the licensee has been found to have engaged in illegal logging by a government authority in the jurisdiction where the logging occurred. Refer to SFI’s Policy on Illegal Logging for more information.

b. User Requirements for SFI Label Recognizing Global Standards

Requirements for non-U.S. and non-Canadian as well as U.S. and Canadian based SFI Label Recognizing Global Standards users depend on certification type and location.

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

i. Have a valid PEFC Chain-of-Custody or SFI Chain-of-Custody certificate and provide a copy of the certificate, including a detail scope of certification if not already detailed on the PEFC Chain-of-Custody certificate to SFI Inc.

ii. Be a primary or secondary producer as defined in SFI 2022 Standards and Rules and manufacture products for Canadian and U.S. markets.

iii. Sign a licensing agreement for use of the SFI Label Recognizing Global Standards.

iv. Document all label use through a tracking form to help understand the use of the SFI Label Recognizing Global Standards.

v. Complete an SFI annual progress report survey and market survey.

vi. Complete an annual net sales form to determine fees for the use of the SFI Label Recognizing Global Standards.

vii. Pay an annual label use fee to SFI.

viii. Confirm the organization applying for use of the SFI Label Recognizing Global Standards is aware they cannot make claims about their forests being SFI certified to the SFI 2022 Forest Management Standard and/or they cannot make claims they are certified to the SFI 2022 Fiber Sourcing Standard.

ix. SFI Office of Label Use and Licensing and SFI Communications Department must approve any statements the user of the SFI Label Recognizing Global Standards makes to the public.

x. Receive a unique SFI label ID number from SFI’s Office of Label Use and Licensing after successful application for the SFI Label Recognizing Global Standards.

xi. Submit the completed PEFC Chain-of-Custody Auditor Checklist for SFI Label Recognizing Global Standards after a regularly scheduled audit.

Annual Requirements for U.S. and Canadian Label Users

i. Hold a valid SFI Chain-of-Custody certificate.

ii. Source from either:
   - a supplier who meets the Annual Requirements of Non-U.S. and Non-Canadian Users of the SFI Label Recognizing Global Standards.
   - a supplier with manufacturing sites and/or facilities outside the U.S. and Canada exporting and selling product with PEFC certified content claims to U.S. and Canadian SFI Label Recognizing Global Standards users.

iii. If sourcing from a supplier who is not an SFI Label Recognizing Global Standards user, the SFI Label Recognizing Global Standards user must:
   - Sign a licensing agreement for use of the SFI Label Recognizing Global Standards.
   - Document all label use through a tracking form to help understand the use of the SFI Label Recognizing Global Standards.
• Complete an SFI annual progress report and market survey
• Complete an annual net sales form to determine fees for the use of the SFI Label Recognizing Global Standards
• Pay an annual label use fee to SFI (Primary producers with a certificate to the SFI 2022 Forest Management Standard or the SFI 2022 Fiber Sourcing Standard are exempt from the fee).
• Confirm the organizations applying for use of the SFI Label Recognizing Global Standards is aware they cannot make claims about their forests being certified to the SFI 2022 Forest Management Standard and/or they cannot make claims they are certified to the SFI 2022 Fiber Sourcing Standard.
• SFI Office of Label Use and Licensing and SFI Communications Department must approve any statements the user of the SFI Label Recognizing Global Standards plans to make publicly about their use of this label.
• Receive a unique SFI label ID number from the SFI Office of Label Use & Licensing after successful application for the SFI Label Recognizing Global Standards.

LABELS: SFI RECOGNIZING GLOBAL STANDARDS LABELS
In order to use the SFI Label Recognizing Global Standards, the supplier must communicate the category of origin according to SFI Chain-of-Custody and/or PEFC Chain-of-Custody requirements. Verification of involvement in or sourcing from an SFI Label Recognizing Global Standards member is also required.

OFFICIAL SFI CLAIMS
From a supplier using the Credit Method:
• SFI Credit
• SFI 100% as calculated under the credit method
• SFI 100% Certified Forest Content
• 100% PEFC Certified

From a supplier using the Percent Method
• 70% – 100% PEFC Certified
• SFI 70% – 100% Certified Forest Content

NOTES:
• Other acceptable volume credit claims include SFI Volume Credit and SFI 100% as calculated under the volume credit method.

OFFICIAL CLAIMS
from a supplier using the Percent Method
• XX% PEFC Certified
• SFI XX% Certified Forest Content

OTHER CONSIDERATIONS:
• If the product contains less than 70% certified content the label user must transparently disclose the amount.
• The use of this label is contingent on the production batch having at least 10% Certified Forest Content.

OFFICIAL CLAIMS
from a supplier using the Percent Method
• XX% PEFC Certified
• SFI XX% Certified Forest Content
• XX% Recycled Content

OTHER CONSIDERATIONS:
• If the product contains less than 70% certified content the label user must transparently disclose the amount.
• If the content contains less than SFI 10% certified forest content, and is not 100% recycled content, this label cannot be used. The use of this label is contingent on the production batch having at least 10% certified forest content unless the product is 100% recycled content.
PART 4: GENERAL RULES FOR USE OF SFI ON-PRODUCT LABELS

SFI Inc. owns the on-product labels shown in the SFI Standards and SFI Label Generator. The SFI tree/leaf design shown below is registered in the United States, Canada, Mexico, European Union, China, Japan, and South Korea.

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

Qualified certified 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:

4.1 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 SFI.

4.2 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 347C. PMS 348 may also be used.

4.3 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.

4.4 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, and the Certified Organization’s SFI label ID number.

4.5 The SFI label identification number must be added under the SFI 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.

4.6 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 Certified Organizations who produce private branded products and request a private number in order to avoid disclosing competitive information. The certified organizations 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 Certified Organization applying the label, the preferred SFI label ID number can be used. The Certified Organization uses their own procedures and obtains SFI label approval, as relevant.

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

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

4.10 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 producer facility, a publisher, a retailer, or a printer that has qualified for use of the appropriate on-product labels.

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

a. When discussing products produced by a qualified facility, the on-product usage is restricted to either, 1) the statement, “Look for this label on (specified product)” or, 2) in a picture of a product with the label on the product.

b. When promoting the sale of trees or logs grown on certified land by landowners who have the land third-party certified to the SFI 2022 Forest Management Standard.

c. When referencing the products of a company with mills that do not all qualify for the certification mark, this fact must 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”).
4.12 Publishers can work with a certified printer and do not need a separate chain-of-custody certification unless they are printing the publication. If an organization not required to obtain SFI 2022 Chain-of-Custody certification would like to pass on a claim or promote their participation in SFI, they are required to seek SFI 2022 Chain-of-Custody certification.

4.13 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 Certified Organization’s 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.

4.14 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.

PART 5: COMMUNICATING CERTIFICATION AND CERTIFIED PRODUCT

5.1 The following statements can be used in combination with all SFI On-Product Labels and with promotional materials that may or may not include the SFI label. The SFI website can be added to any of these taglines.¹

a. General Benefit Statements
   i. [Certified Organization] believes healthy forests mean a healthy future for us all. That’s why we use SFI-certified products.
   ii. Thank you for supporting...
      • healthy North American forests.
      • healthy American forests.
      • healthy Canadian forests.
   iii. We work to keep forests healthy and communities thriving.
   iv. By choosing SFI certification, we invest in conservation research, community engagement and environmental education.
   v. We choose SFI-certified products because a sustainable supply chain is a smart climate solution.
   vi. 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
   vii. A growing solution to global sustainability challenges.

b. Conservation-Focused Statements
   Water-Focused Statement
   i. SFI helps protect water quality by ensuring practices that promote healthy forests and minimize erosion.
   Climate-Focused Statements
   i. [Certified Organization] chooses SFI-certified products as part of our journey toward [organization’s climate/carbon goal].
   ii. SFI is leading research to better understand how sustainably managed forests help us combat climate change.

   c. Community-Focused Statements
   i. SFI respects Indigenous Peoples’ rights and traditional knowledge and promotes forest-focused collaboration to support certification.
   ii. SFI proudly supports future forest and conservation leaders through environmental education and career development.
   iii. 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 explore green jobs and prepares them to become environmental stewards.

¹ Some statements may be best suited for an SFI chain-or-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.
5.2 The following statements can be used in combination with SFI On-Product Labels that include SFI-certified forest content and with promotional materials that may or may not include the SFI label but are based on supply sourced from SFI-certified forest content. The SFI website can be added to any of these taglines.1

a. General Benefit Statements
   i. [Certified Organization] values sustainably managed forests and the [clean water/wildlife habitat/climate solutions/pick your benefit] they provide.
   ii. SFI-certified forests play an important role in water conservation, healthy animal and plant populations, and climate solutions.
   iii. SFI-certified forests contribute to local, regional, and national conservation goals.

b. Conservation-Focused Statements
   Habitat/Plant and Animal-Focused Statements
   i. [Certified 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 forest 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 declining North American bird populations.

Water-Focused Statement
   i. SFI-certified forests help protect millions of acres of watersheds—which means more clean water across [North America, America, Canada].

Climate-Focused Statements
   i. SFI promotes climate-smart forestry practices.
   ii. SFI certification ensures that working forests and their products reduce the impacts of climate change.

Research (general)-Focused Statements
   i. SFI promotes research to better understand the benefits that sustainably managed forests provide us all.
   ii. SFI supports sustainable forests and healthy communities through grant programs, carefully targeted research, and conservation partnerships.

c. Community-Focused Statements
   i. SFI grants support forest-focused collaborations and partnerships that help to grow a world that values and benefits from sustainably managed forests.
   ii. The SFI standard’s training requirements ensure that SFI-certified forests are managed using leading on the ground sustainability practices.

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

PART 6: RULES FOR USE OF SFI OFF-PRODUCT MARKS

In addition to its on-product labels, SFI Inc. has off-product marks to show alignment with SFI’s mission. SFI Inc. owns all right, title and interest in these off-product marks, and exercises legitimate control over their use.

SFI Licensed Off-Product Marks:

![Sustainable Forestry Initiative (SFI) Off-Product Mark](image)

1 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.
6.1 Off-product marks may only be used by Certified Organizations in good standing whose operations have been certified by an SFI accredited certification body to be in conformance with the SFI 2022 Forest Management, SFI 2022 Fiber Sourcing Standards, and/or the SFI 2022 Chain-of-Custody Standard (for all or a portion of their operations). Any express or implied claim that a Certified Organization is in conformance with the SFI 2022 standard(s) must be substantiated by a current, valid certification by an SFI accredited certification body.

6.2 Off-product marks may be used as described in Part 8 under General Rules for Certified Organizations.

6.3 The tagline mark “Better Choices for the Planet®” may be placed beneath the off-product mark.

6.4 The SFI label identification number must be added under the logo mark. The numbering system is as follows: SFI-00000. The Certified Organization’s unique label ID number is provided by SFI Inc. The label ID number is a different number than the certification number provided by the SFI accredited certification body.

6.5 Certified Organizations must seek approval from the SFI Office of Label Use and Licensing for use of the SFI Off-Product Marks.

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

a. Point of purchase (POP) materials should avoid environmental claims that can be tied to the product. Rather, they should explain the Certified Organization’s voluntary participation in a program for sustainable forest management. Avoid references or suggestions that SFI preserves forests.

b. Avoid promoting any specific attributes of the product(s) bearing the mark when discussing participation in SFI, other than those related to forest management.

c. Certified 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.

7.1 Use of the word marks may only be used by Certified Organizations in good standing whose operations have been certified by an SFI accredited certification body to be in conformance with the SFI 2022 SFI Forest Management Standard, SFI 2022 Fiber Sourcing Standard, the SFI 2022 Chain-of-Custody Standard, and/or the SFI 2022 Certified Sourcing Standard for all or a portion of their operations. Any express or implied claim that a Certified Organization is in conformance with the SFI 2022 standard(s) must be substantiated by a current, valid certification by an SFI accredited certification body.

7.2 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), and then the first use of “SFI” also carries an ® (e.g., SFI®).

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

7.4 The tagline mark (Better Choices for the Planet®) can be used in association with the word marks.
7.5 In addition to the uses described below in Part 8, General Rules for off-product marks the word marks may be used as follows, provided the advertisement or brochure refers to the SFI website or the Certified Organization’s website with a link to the SFI website:

- in advertisements which promote the Certified Organization’s certification to the SFI standard(s); and
- in sales brochures and other similar product promotional items.

7.6 Certified Organizations must seek approval from the SFI Office of Label Use and Licensing for use of the word marks.

PART 8: GENERAL RULES — FOR USE OF THE SFI OFF-PRODUCT MARKS AND WORD MARKS

8.1 The off-product and word marks may be used, subject to the rules in Parts 6 and 7, and as follows:

a. In image advertising that focuses on a summary of company accomplishments or values, on company people, on company financial results or stock performance, on company community activities, or any combination of the above. Such advertising must not promote specific products, tout product attributes, or make value propositions, although generic products may be shown.

b. In communications which explain and/or promote the Sustainable Forestry Initiative program’s services and a company’s use of SFI standards, both to employees and to those outside of the organization.

c. On business letterhead, business cards, and invoices.

d. In annual reports, provided there is a reference to the SFI website.

e. On generic business signs (e.g., vehicles, forest stands, office buildings, and mill sites that are owned or held on a long-term exclusive lease). Vehicles or facilities must be under the Certified Organization’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 link to the SFI website.

8.2 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 the Sustainable Forestry Initiative Inc.”

8.3 In addition to the references to the SFI website required above, companies should consider including a reference to the SFI website in any document where an off-product or wordmark is displayed.

8.4 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 one color in the presentation of the logo marks. If you choose to use green, the PMS is 347C. PMS 348 may also be used.

b. The off-product mark font is Vag Rounded Light. The off-product mark may not be recreated using any other fonts or styles of these fonts. The font sizes must remain in the same proportions as the off-product mark provided in camera-ready or electronic file form.

c. The off-product mark may appear within a photographic image or illustration.

d. The off-product mark may not be combined with any other logo or image in such a way as to create a third logo or mark.

e. The SFI tree shield portion of the off-product mark can be used without the wordmark in certain instances such as social media, watermarks on photographs, and on design materials for a cleaner feel. Variations of the logo are never to be used on product to communicate SFI certification status, or to alter the SFI on-product label and claim.

f. The off-product mark must always be accompanied by the Certified Organization’s SFI label ID number. The SFI label ID number shall be added under the mark.

8.5 The SFI mark is registered with the U.S. Patent and Trademark Office, in Canada, and the European Union, and must be accompanied by a ® to indicate that SFI Inc. owns it, unless otherwise authorized in these rules.

8.6 Any public communication by Certified Organizations or label users shall be accurate and consistent with applicable law and requirements for SFI off-product 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. 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 SFI and a Certified Organization’s participation.
8.7 The SFI Office of Label Use and Licensing reserves the right to refuse any label use that does not align with SFI Inc.’s strategic objective, which is to “ensure the SFI standard is strong, grounded in science, progressive and based on integrity and proven through conservation collaboration resulting in wide market acceptance.”

8.8 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.

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

8.10 SFI Inc. has marketing materials available on the members-only section of the SFI website. Please contact the SFI Office of Label Use and Licensing for access to this section.

8.11 Approval for SFI on product label use and SFI marks should be obtained by using the online label approval system monitored by the SFI Office of Label Use and Licensing.

APPENDIX 1: SFI LABELS AND CLAIMS MATRIX

<table>
<thead>
<tr>
<th>SUPPLIER CERTIFICATION &amp; METHODS</th>
<th>SUPPLIER CLAIM</th>
<th>LABEL OPTION(S)</th>
</tr>
</thead>
<tbody>
<tr>
<td>SFI COC</td>
<td>SFI Credit</td>
<td>Recycled content included in credit</td>
</tr>
<tr>
<td>SFI COC</td>
<td>SFI 100% as calculated under the credit method.</td>
<td></td>
</tr>
<tr>
<td>SFI COC</td>
<td>SFI at Least X% Certified Forest Content</td>
<td></td>
</tr>
<tr>
<td>SFI COC</td>
<td>SFI At Least 70% - 100% Certified Forest Content and recycled</td>
<td></td>
</tr>
<tr>
<td>SUPPLIER CERTIFICATION &amp; METHODS</td>
<td>SUPPLIER CLAIM</td>
<td>LABEL OPTION(S)</td>
</tr>
<tr>
<td>---------------------------------</td>
<td>----------------</td>
<td>-----------------</td>
</tr>
<tr>
<td><strong>PERCENTAGE METHOD (continued)</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>SFI COC</td>
<td>SFI X% Certified Forest Content</td>
<td><img src="www.forests.org" alt="SFI Sustainable Forestry Initiative" /> SFI-00001</td>
</tr>
<tr>
<td></td>
<td>SFI X% Recycled Content</td>
<td><img src="www.forests.org" alt="SFI Sustainable Forestry Initiative" /> SFI-00001</td>
</tr>
<tr>
<td></td>
<td>SFI X% Pre Consumer Recycled</td>
<td><img src="www.forests.org" alt="SFI Sustainable Forestry Initiative" /> SFI-00001</td>
</tr>
<tr>
<td></td>
<td>SFI X% Post Consumer Recycled</td>
<td><img src="www.forests.org" alt="SFI Sustainable Forestry Initiative" /> SFI-00001</td>
</tr>
<tr>
<td></td>
<td>SFI X% Certified Sourcing</td>
<td><img src="www.forests.org" alt="SFI Sustainable Forestry Initiative" /> SFI-00001</td>
</tr>
<tr>
<td>SFI COC</td>
<td>SFI X% Certified Sourcing</td>
<td><img src="www.forests.org" alt="SFI Sustainable Forestry Initiative" /> SFI-00001</td>
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<td>SFI Certified Sourcing</td>
<td><img src="www.forests.org" alt="SFI Sustainable Forestry Initiative" /> SFI-00001</td>
<td></td>
</tr>
<tr>
<td>SFI 100% from a Certified Forest</td>
<td><img src="www.forests.org" alt="SFI Sustainable Forestry Initiative" /> SFI-00001</td>
<td></td>
</tr>
<tr>
<td>SFI FM</td>
<td>SFI 100% Certified Forest Content</td>
<td><img src="www.forests.org" alt="SFI Sustainable Forestry Initiative" /> SFI-00001</td>
</tr>
</tbody>
</table>

Any combination of the below X% are permissible, provided a minimum of SFI 10% Certified Forest Content or SFI 10% Recycled Content and the sum of all parts is 100%.
<table>
<thead>
<tr>
<th>SFI LABEL RECOGNIZING GLOBAL STANDARDS</th>
<th>SUPPLIER CERTIFICATION &amp; METHODS</th>
<th>SUPPLIER CLAIM</th>
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</thead>
</table>
| SFI Chain-of-Custody and/or PEFC Chain-of-Custody AND Verification of involvement in or sourcing from an SFI Label Recognizing Global Standards member is also required. | From a supplier using the Credit Method:  
- SFI Credit  
- SFI 100% as calculated under the credit method  
- SFI 100% Certified Forest Content  
- 100% PEFC Certified | From a supplier using the Percent Method  
- 70% -100% PEFC Certified  
- SFI 70% - 100% Certified Forest Content | ![SUSTAINABLE FORESTRY INITIATIVE](www.forests.org)  
Certified Chain of Custody  
Promoting Sustainable Forestry Recognizing Global Standards  
SFI-00001 |
| Supplier using the Percent Method  
- XX% PEFC Certified  
- SFI XX% Certified Forest Content | From a supplier using the Percent Method  
- XX% PEFC Certified  
- SFI XX% Certified Forest Content  
- XX% Recycled Content | ![SUSTAINABLE FORESTRY INITIATIVE](www.forests.org)  
Certified Chain of Custody  
At Least XX% Certified Forest Content  
Recognizing Global Standards  
SFI-00001 |
GUIDELINES FOR SFI ON-PRODUCT LABELS AND SFI OFF-PRODUCT MARKS

ABOUT THIS GUIDE
The following SFI logo use guide includes the rules and details supporting SFI on-product labels and SFI off-product marks. The proper use of logos, color, and typography ensures the SFI brand is consistent.

This document is based on SFI’s Rules for Use of SFI On-Product Labels and Off-Product Marks (Section 6). For more information, refer to the standard.

All instances of SFI Off-Product Marks, SFI On-Product Label use and any statements about SFI must follow the requirements of Section 6 and are subject to review and approval by the SFI Office of Label Use and Licensing.

SFI owns all rights, titles and interest in marks discussed here, and exercises legitimate control over the use of its on-product labels. All SFI on-product labels are registered with both the U.S. Patent and Trademark Office and the Canadian Intellectual Property Office, and each label must be individually accompanied by an ® to indicate that the on product label is associated with SFI.

SFI OFFICE OF LABEL USE AND LICENSING
The SFI Office of Label Use and Licensing provides access to and monitors all use of SFI trademarks. The Office of Label Use and Licensing evaluates and approves applications for use of all SFI On-Product Labels, establishes label-use rules and procedures set out in the Rules for Use of SFI On-Product Labels and Off-Product Marks (Section 6 in the SFI 2022 Standards and Rules), and maintains oversight of use of all SFI On-Product Labels.

INTRODUCTION
People and companies are looking for better solutions to ease pressures on the planet—practical choices that will conserve nature, combat climate change, and cut waste and pollution. The Sustainable Forestry Initiative standards have become the fastest growing, highly trusted solution that can support a growing need for products from the forest, as the drive to reduce carbon pollution and conserve nature intensifies.

This SFI logo use guide is designed to help all users of SFI trademarks to apply SFI statements and artwork consistently, in terms of layout and design, and in line with SFI technical requirements and branding.

SFI TRADEMARKS AND USER GROUPS
There are two categories of SFI trademarks: SFI Off-Product Marks and SFI On-Product Labels. Guidelines and requirements for all trademark use categories are included in the following pages.
SFI OFF-PRODUCT MARKS FOR PROMOTIONAL USE

SFI Off-Product Marks are used in communications promoting SFI, an organization’s certification, and other instances of communicating SFI affiliation.

Examples include social media, promoting partnerships or collaborating on projects, websites, clothing and protective gear, and other communications.

WHO CAN USE THE OFF-PRODUCT MARKS

- *Certified Organizations*
- Retailers of SFI products
- Brand owners using and promoting SFI suppliers
- Users of the SFI Label Recognizing Global Standards
- Educational groups
- Conservation groups
- Other non-profit groups that wish to explain or highlight SFI
- *Certification bodies*
- Media

SFI ON-PRODUCT LABELS FOR COMMUNICATING FIBER CONTENT

SFI On-Product Labels communicate details about the wood fiber in the product. Labels are a visual cue, telling the consumer about wood fiber from certified forests, recycled material, and other responsible sources in a product.

Examples include stamped labels on lumber and printed labels on paper.

WHO CAN USE SFI ON-PRODUCT LABELS

- *Certified Organizations*
- Retailers and brand owners sourcing from SFI Certified Organizations
- Users of the SFI Label Recognizing Global Standards
**SFI OFF-PRODUCT MARKS—RULES FOR USE**

SFI Off-Product Marks are used in communications promoting SFI, an organization’s certification, and other instances of communicating SFI affiliation.

Using logos, color, and typography properly ensures the SFI brand is consistent.

**Mandatory Elements**
- SFI Label ID number
- Area of isolation
- Font: Vag Rounded Light
- Green: PMS 347c

**Optional Elements**
- Layout: Vertical/Horizontal
- Match print jobs to color jobs for consistency
- Border
- “Better Choices for the Planet” tagline

**MORE PROMOTIONAL OPTIONS**
The SFI tree shield portion of the off-product mark can be used without the wordmark in certain instances such as social media, watermarks on photographs, and on design materials for a cleaner feel. Variations of the logo are never to be used on product to communicate SFI certification status, or to alter the SFI on-product label and claim.

Show participation in SFI and to promote SFI generally.
- SUSTAINABLE FORESTRY INITIATIVE®
- SFI®

Show participation in SFI and promote SFI together with SFI marks:
- BETTER CHOICES FOR THE PLANET®

**EXAMPLES OF USE**
- Advertisements
- Reports
- Academic papers
- Company training presentations
- Handouts that explain SFI or a company’s use of SFI standards
- Business letterhead
- Business cards
- Invoices
- Annual reports (provided there is a reference to the SFI website)
- Vehicles
- Signs at SFI forestlands
- Signs on office buildings
- Clothing and protective gear (e.g., uniforms, shirts, and hard hats)
- On a company website with a link to the SFI website
- Other communications promoting SFI
- Other communications promoting an organization’s certification
- Other instances communicating SFI affiliation
SFI ON-PRODUCT LABELS—RULES FOR USE

SFI on-product labels communicate details about the wood fiber in the product. Labels tell the consumer about wood fiber from certified forests, recycled material, and other responsible sources in a product.

Use of the SFI label demonstrates commitment to sustainability and contributes to sustainability related goals such as measures to help assure the continued value of forests, help safeguard water quality, wildlife habitat and species at risk, and contributes to the significant investments SFI makes in conservation research, education, and community engagement.

SFI products, supply chains and markets are diverse—and so are the labels. SFI’s commitment to being open and transparent about the development and administration of the SFI standards extends to SFI’s labeling program. SFI On Product Labels reflect SFI raw materials and certification of the supplier(s).

Only organizations with a valid SFI certificate issued by an accredited certification body may apply the on product labels upon receiving authorization from the SFI Office of Label Use and Licensing. On-product label use is audited by accredited certification bodies and must adhere to conditions and limitations outlined in Rules for Use of SFI On-Product Labels and Off-Product Marks (Section 6).

EXAMPLES OF SFI CHAIN-OF-CUSTODY LABEL OPTIONS

SFI CHAIN OF CUSTODY

All SFI chain-of-custody labels track fiber from certified forests managed to protect water quality, biodiversity, wildlife habitat, species at risk and forests with exceptional conservation value. There are different label options depending on how certified content is calculated.

SFI RECYCLED CONTENT

Recycled materials can be used on their own or combined with certified forest fibers. SFI recycled content can include both pre- and post-consumer recycled material. It is also a non controversial source that can be used in the SFI Certified Sourcing label.

SFI LABEL RECOGNIZING GLOBAL STANDARDS

SFI has a label that recognizes global standards like the Program for the Endorsement of Forest Certification (PEFC). This chain-of-custody label is intended for use in the U.S. and Canada. This label requires a separate application process. Contact SFI for more information.

SFI CERTIFIED SOURCING

SFI CERTIFIED SOURCING

Certified sourcing uses raw material from noncontroversial sources in the supply chain, supports logger training, recycled content, certified forests, and small family forest owners. This is a different label than chain-of-custody and does not make claims about certified content.
**COMMUNICATING ABOUT CERTIFICATION AND CERTIFIED PRODUCTS**

There is increasing demand for better choices for the planet. Using the SFI label is a great way to let consumers know that the product comes from a sustainable source, offering better choices for those consumers—and for the planet.

The following statements can be used in combination with SFI On-Product Labels and on promotional materials. The SFI website “forests.org” can be added to any of these statements.

This list is not exhaustive. If you would like to use other promotional text to describe SFI, contact SFI’s Office of Label Use and Licensing for more.

**SAMPLE STATEMENTS FOR USE WITH ALL SFI OFF-PRODUCT MARKS AND SFI ON-PRODUCT LABELS**

<table>
<thead>
<tr>
<th>GENERAL BENEFIT STATEMENTS</th>
<th>CONSERVATION FOCUSED STATEMENTS</th>
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<td>• We work to keep forests healthy and communities thriving.</td>
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<tr>
<td>• By choosing SFI certification, we invest in conservation research, community engagement and environmental education.</td>
<td>• [Organization] chooses SFI-certified products as part of our journey toward [organization’s climate/carbon goal].</td>
</tr>
<tr>
<td>• We choose SFI-certified products because a sustainable supply chain is a smart climate solution.</td>
<td>• SFI is leading research to better understand how sustainably managed forests help us combat climate change.</td>
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</tr>
<tr>
<td>• SFI creates experiential learning opportunities for youth through work placements, mentorship, and environmental education.</td>
<td>• SFI helps the next generation explore green jobs and prepares them to become environmental stewards.</td>
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# GUIDANCE TO SFI 2022 STANDARDS AND RULES

## INTRODUCTION

### PART 1: GUIDANCE FOR THE SFI 2022 FOREST MANAGEMENT STANDARD

- **OBJECTIVE 1. FOREST MANAGEMENT PLANNING**
- **OBJECTIVE 2. FOREST HEALTH AND PRODUCTIVITY**
- **OBJECTIVE 3. PROTECTION AND MAINTENANCE OF WATER RESOURCES**
- **OBJECTIVE 4. CONSERVATION OF BIOLOGICAL DIVERSITY**
- **OBJECTIVE 8. RECOGNIZE AND RESPECT INDIGENOUS PEOPLES’ RIGHTS**
- **OBJECTIVE 9: CLIMATE SMART FORESTRY**
- **OBJECTIVE 10. FIRE RESILIENCE AND AWARENESS**
- **OBJECTIVE 11. LEGAL AND REGULATORY COMPLIANCE (AND OBJECTIVE 4 OF SFI FIBER SOURCING STANDARD)**
- **OBJECTIVE 13. SFI 2022 FOREST MANAGEMENT STANDARD (AND OBJECTIVE 6 OF SFI 2022 FIBER SOURCING STANDARD)**

### PART 2: SFI 2022 FIBER SOURCING STANDARD

### PART 3: SFI 2022 CHAIN-OF-CUSTODY STANDARD – TRANSITION TO CREDIT METHODOLOGY AND CLAIM TERMINOLOGY

### PART 4: SFI 2022 FIBER SOURCING STANDARD, SFI 2022 CHAIN-OF-CUSTODY STANDARD AND SFI 2022 CERTIFIED SOURCING STANDARD – SFI DUE DILIGENCE SYSTEM FOR ASSESSMENT RISK OF SOURCING FROM CONTROVERSIAL SOURCES

### PART 5: SFI AUDIT PROCEDURES

### PART 6: SFI IMPLEMENTATION COMMITTEES
INTRODUCTION

This guidance document is intended to assist Certified Organizations and certification bodies in interpreting and implementing new and existing provisions in the SFI 2022 Standards and Rules.

This document provides additional information that may help Certified Organizations make management decisions to meet SFI 2022 Standards and Rules requirements. SFI Inc. routinely researches ways to improve the functionality of its work, thus this document may be updated over time. This guidance document is informative in nature and the information contained below should not be taken as normative.

PART 1: GUIDANCE FOR THE SFI 2022 FOREST MANAGEMENT STANDARD

Application of the SFI 2022 Forest Management Standard and the SFI 2022 Fiber Sourcing Standard

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

The SFI 2022 Forest Management Standard and SFI 2022 Fiber Sourcing Standards apply to the management of and sourcing from natural and plantation forests throughout the United States and Canada, regardless of the forest products derived from such forests. The figure (Figure 1) below illustrates the spectrum of forest management systems. The SFI 2022 Forest Management Standard and SFI 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 systems that are classified as short rotation woody crops or agro-forestry are not within the scope of the SFI 2022 Standards and Rules.

Figure 1. Spectrum of forest management systems (green circle) that qualify for certification to the SFI 2022 Standards (Adapted from Burger, 20021).

Objective 1. Forest Management Planning

LONG-TERM SUSTAINABLE HARVEST LEVELS

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 1.1.1d requiring that “biodiversity at the stand and landscape scale” be factored into forest management planning decision making. These requirements imply that a Certified Organization must base their long-term sustainable harvest level planning at a geographic scale that accurately reflects forest growth and drain 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.

Sustainable Harvest Planning and Land Acquisition

A Certified Organization with a prolonged, accelerated harvest level in one operational region cannot use land acquisition to offset a long-term unsustainable level of harvests. It does not meet the spirit and intent of SFI certification and to allow this practice could result in an imbalance in forest age classes and species composition in certain portions of the Certified Organization’s lands. This imbalance could have significant negative impacts on the conservation of

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 another forest cover type. Conversion of one forest cover type to another is intended to mitigate the future impacts of climate change, or to limit susceptibility to pathogens, insect infestations, etc. must first meet the two-filter test, and further be supported by best scientific information. Similarly, Performance Measure 1.2 should not be construed to limit conversion of forest cover types in ways that fundamentally reflect (or effectively accelerate) the natural order of succession of native forest cover types, or which result in restoration of ecologically significant forest cover types or conditions.

Temporal Scale

SFI expects 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 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. Substantive rationales 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.

Record Retention

Objective 1, Performance Measure 1.1 addresses 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, a Certified Organization must have retained the appropriate documentation to be able to assess whether past planning inputs were accurate. It is expected that a Certified Organization will be able to look backwards over a sufficiently long timeframe in order to inform its future forest management planning.

Social, Environmental, and Economic Effects of Forest Management Operations

Indicator 1.1.6 requires that a Certified Organization consider the local or regional social, environmental, and economic effects of the forest management operations contained in their forest management plans. The “consideration” required in Indicator 1.1.6 does not necessarily require a formal assessment, but Certified Organizations should show evidence of having developed an appropriate understanding, relative to the size and scale of the operation, of the potential social, environmental, and economic effects of the implementation of forest management planning.

CONVERSION

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 important native forest types, or where long-term adverse impacts are expected on species, habitats or special sites already protected by the SFI 2022 Forest Management Standard.

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

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

Certified Organizations are encouraged to consider ways in which to conduct the required assessments in the most efficient ways possible. For example, if a particular scenario of conversion and assessment repeats regularly, a single assessment of that repeating scenario may suffice, and could be applied to that situation when it arises again. Another potential way to achieve efficiency could be to collaborate with other Certified Organizations, or within SFI Implementation Committees that encounter similar circumstances throughout their areas of operation — in such cases, assessments could be conducted collaboratively and applied by participating Certified Organizations under appropriate circumstances. This may be employed as appropriate to obviate the need for a new assessment each time a Certified Organization encounters relatively common and similar circumstances.

It is not the intent of Performance Measure 1.2 to limit activities that are of ecological benefit, such as returning a site to a historical forest cover type, responding to forest health concerns, or mitigating present or future environmental harm (e.g., climate change). To be consistent with the intent of Performance Measure 1.2, any proactive conversion of forest cover types intended to mitigate the future impacts of climate change, or to limit susceptibility to pathogens, insect infestations, etc. must first meet the two-filter test, and further be supported by best scientific information. Similarly, Performance Measure 1.2 should not be construed to limit conversion of forest cover types in ways that fundamentally reflect (or effectively accelerate) the natural order of succession of native forest cover types, or which result in restoration of ecologically significant forest cover types or conditions.
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 in its assessments as outlined in Indicator 1.2.2, and to further demonstrate that these conditions are fully met before further consideration is given to the potential for conversion at the site level.

If the conditions noted under Indicator 1.2.1 are met, then the Certified Organization must further meet the conditions and justifications noted under Indicator 1.2.2 to move forward with conversion of forest cover types — in other words, these requirements are essentially hierarchical in application.

Indicator 1.2.2 requires that conversion objectives include stand- and landscape-level outcomes that are 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 the 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 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 with Exceptional Conservation Value (FECV), at risk. An important determinant in this instance is the scale of the conversion — this should be fully explored in the required assessments to provide assurance that the scale of the proposed conversion does not generate undue risk to FECV, or to the perpetuation of the native forest cover type itself. The SFI 2022 Forest Management Standard is intended to safeguard such ecologically important natural communities; forest managers must carefully consider the impacts prior to the approval of any such conversion.

Indicator 1.2.2d notes the need for “appropriate consultation” with local communities, Indigenous Peoples, and other stakeholders who could be affected by such activities, including adjacent ownerships. Landowners must recognize the societal context of managed forests within landscapes, and consider stakeholder concerns, if any, when determining the scale and impact of the proposed conversion. “Appropriate consultation” includes the possibility that the 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 the possible impacts of conversion on local values — recreation, aesthetics, cultural, etc. Consultation becomes increasingly critical according to the scale of the proposed conversion, but there is no specific prescription for a threshold of the size of a conversion that should trigger a consultation.

SFI Small Lands Group Certification Module and SFI Small Scale Forest Management Module of Indigenous Peoples and Families (the Modules) and Conversion to Other Forest Cover Types

Regarding reforestation by organizations certified to the Modules, it is recognized that that in most instances the landowner/manager is going to reforest species with species that were present on the site prior to harvest. Nonetheless, the landowner/manager may decide to reforest to another appropriate native forest cover type. This is an acceptable land management decision given that the reforested species is ecologically appropriate and meets the intent of protecting Forests of Exceptional Conservation Values or Forests of Recognized Importance for members of a Small Lands Group Certification Module certificate in the United States.

Conversion of Forest Land to Another Land Use

The intent of Performance Measure 1.3 to ensure that forest land that is being converted to non-forest land uses is appropriately scoped out of SFI certificates. The SFI Small Lands Group Certification Module, clause 4.1.2 and the SFI Small Scale Forest Management Module for Indigenous Peoples and Families, Objective 1 require the landowner to identify risks of conversion of forests to non-forest uses and measures to mitigate this risk. Two basic tenets establish the rationale for these requirements. First, forest land that is being converted to non-forest land uses would not likely meet any of the SFI 2022 Forest Management Standard and Module requirements (prompt reforestation, biodiversity, etc.) and therefore could not be certified under the SFI 2022 Forest Management Standard or the Modules.

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 label (see definition of conversion sources).

Scope of Certification

To convert forest land to non-forest land use, a Certified Organization must have a clear understanding of which of its lands are eligible to be within the scope of its SFI 2022 Forest Management Standard certificate. There is no limit on the percentage of land that can be scoped out of an SFI 2022 Forest Management Standard certificate. However, it is important to ensure that forest land within the scope of the Certified Organization’s SFI 2022 Forest Management Standard certificate continues to be managed as forest land consistent with the SFI 2022 Forest Management Standard. In some circumstances, forest land designated for sale may not sell in the short term, nor is there certainty that the forest land will be converted to another land use by its purchaser. As such, the Certified Organization should continue to manage this forest land in conformance with the SFI 2022 Forest Management Standard until a sales contract has been executed. Once a sales contract is executed, the Certified Organization should scope out the lands that have been sold.
Certified Organizations are not restricted in their decision making regarding the purchase of or sale of forest land, or in the movement of forest land (or the quantity) in or out of the scope of an SFI 2022 Forest Management Standard certificate. Certification bodies must ensure that lands within the scope of an SFI 2022 Forest Management Standard audit are being managed in conformance with the SFI 2022 Forest Management Standard to protect the integrity of the SFI 2022 Standards and Rules. Furthermore, certification bodies and Certified Organizations must ensure that there is absolute clarity on which forest lands — whether owned, managed or controlled (see Control of Decision Making below) — are included in the scope of the SFI 2022 Forest Management Standard certificate.

Control of Decision Making

The level of control of decision making by the Certified Organization is the central factor when determining which forest land should be scoped out of an SFI 2022 Forest Management Standard certificate. When a Certified Organization 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.

When forest land is being sold or purposefully converted to non-forest land use it is relatively straight-forward when it comes to identifying who has control of decision making. However, there are other examples where control of decisions over management practices is less clearly defined, or where control of 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.

As in the forest land sale example, the decision whether to scope forest land in or out of an SFI 2022 Forest Management Standard certificate still rests with the organization who has control over the decisions related to management of the forest land in conformance with the SFI 2022 Forest Management Standard. More specifically, if a Certified Organization has forest management authority over Objective 1 of the SFI 2022 Forest Management Standard then such lands can remain within the scope of the SFI 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 has a reasonable expectation the lands will remain in a forested condition after its lease or deed expires, then such lands can remain within the scope of the SFI 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 Certified Organizations may have control over forest management but may not have control over the ultimate fate of the land use. In this example, if the Certified Organization is not the party doing the mining or drilling, and it has not engaged into a contractual relationship with a third party to do so, the lands being managed in accordance with the SFI 2022 Forest Management Standard may remain within the scope of an SFI 2022 Forest Management Standard certificate until such time as forest management control is relinquished.

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 2022 Forest Management Standard certificate (e.g., utility right-of-way, well drilling pad). It may be impracticable to account for the conversion sources from such small inclusions within a larger SFI-certified forest. Therefore, to meet the spirit and intent of Performance Measure 1.3, 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% of the harvested volume).

Objective 2. Forest Health and Productivity

Prohibited Chemicals – SFI 2022 Forest Management Standard and SFI Small Lands Group Certification Module

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 this is achieved, the use of forest management pesticides must follow federal, state, and local laws; be applied according to 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 Certified Organizations. This last requirement is addressed by Indicators 2.2.5 and 2.2.6.

Indicator 2.2.5: The World Health Organization (WHO) type 1A and 1B pesticides shall be prohibited, except where no other viable alternative is available.

The Certified Organization is responsible for ensuring that chemicals from the WHO type 1A and 1B list of prohibited chemicals are not used in forest management. In the rare exception where a Certified Organization believes a variance on the prohibition on the use of a WHO type 1A and 1B chemical is warranted, the Certified Organization will submit its rationale to its certification body for approval. The certification body will then monitor the chemical usage approved under this variance, if this variance is approved. (WHO list of prohibited type 1A and 1B chemicals)

Indicator 2.2.6: Use of pesticides banned under the Stockholm Convention on Persistent Organic Pollutants (2001) shall be prohibited.

It is the responsibility of the Certified Organization to ensure that any chemical used in forest management complies with the ban on the use of chemicals under the Stockholm Convention on Persistent Organic Pollutants (2001). There is no option of a variance for the use of chemicals banned under the Stockholm Convention (2001). (List of chemicals banned under the Stockholm Convention on Persistent Organic Pollutants)
Small Lands Group Certification Module
The Module at 4.3.4.1 directs the landowner to evaluate alternatives to chemicals for the control of pests, pathogens and unwanted vegetation. Requirement 4.3.4.2 states that if used, chemicals shall be approved by the Environmental Protection Agency (EPA) in the United States or the Pest Management Regulatory Agency (PMRA) of Health Canada. They shall be applied, stored, and disposed of in accordance with EPA or PMRA approved labels and applied by persons who are trained, licensed (as required by their jurisdiction) and appropriately supervised. The landowner is responsible for ensuring that the planned use of a chemical is in compliance with the EPA / PMRA label requirements. Use of chemicals should be documented by the landowner or designated representative.

In the exceptional case where a landowner believes that a variance for the use of a WHO 1A and 1B chemical is required they should work with their group manager and submit the required rationale to the certification body as per the process above.

Soil Health
Performance Measure 2.3 now includes requirements to implement practices that protect and maintain forest soil health, in addition to soil productivity. This guidance suggests some potential practices that could be considered by Certified Organizations to maintain those values.

The way in which forests are managed can improve or degrade the quality or health of forest soils, which represent a complex ecosystem that includes living microorganisms, minerals, and organic matter. Together, this dynamic medium serves to regulate water, air, and nutrients, and thus interplays directly with health of the forest ecosystem. Healthy soils provide many functions that support plant growth, including nutrient cycling, biological control of plant pests, and regulation of water and air supply. These functions are influenced by the interrelated physical, chemical, and biological properties of soil, many of which are sensitive to soil management practices (primary source: Penn State Extension—Managing Soil Health: Concepts and Practices).

Soil health is essential to forest productivity, and ecosystem function. Managing for soil health (improved soil function) is mostly a matter of maintaining suitable habitat for the diversity of organisms that depend on it. This can be accomplished by minimizing soil disturbance, ensuring plant diversity, maintaining vegetative cover, and avoiding serious alterations to soil chemistry.

Practices that limit soil disturbance, exposure, and/or chemical alteration are key to maintaining soil health. In many cases, such practices are consistent with best management practices for water quality (Performance Measure 3.1), practices that maintain water quantity (Performance Measure 3.2), and practices relative to appropriate use of chemicals and pesticides (Performance Measure 2.2). However, additional practices to maintain soil health may also be considered by forest managers during potentially impactful activities such as road or skid trail construction, harvesting or yarding activities, herbicide or pesticide application, etc. To meet the intent of Performance Measure 2.3, forest managers should be able to offer some evidence of having considered whether additional measures may be appropriate to meet the particular circumstances of site conditions and activities, in order to minimize adverse impacts to soil health. As a practical matter, Certified Organizations will have to weigh soil health measures in the context of overall forest management objectives, recognizing that such measures need to be balanced with related objectives, ranging from water quality to the productive capacity of the site to maintaining a diversity of species on the managed area.

Objective 3. Protection and Maintenance of Water Resources

Water Quantity
The intent of Performance Measure 3.2.2 is to have a program to address the management and protection of water quantity during all phases of management. Protecting and maintaining water quantity benefits a range of water-related ecosystem services that are provided by forests, including flood regulation, aquatic habitat, water filtration and storage, and ensuring a good supply of healthy drinking water. Water quantity and quality are closely linked and practices already in place to protect and maintain water quality are important for protecting and maintaining water quantity. Developing, documenting, and implementing a water quantity program will help reinforce the important role Certified Organizations can play in positively or adversely affecting water quantity.

Water quantity is the timing and total yield of water from a watershed. It is affected by the hydrologic regime (e.g., precipitation amount, intensity, type (rain or snow), watershed characteristics (e.g., geology and soils, aspect and slope, vegetation), climate (e.g., evaporation), forest health (e.g., impacts of wildfire, disease, pests), and forest management activities (e.g., road building, harvest and stand management, reforestation). Water quantity varies naturally within and between years.

Managing for water quantity requires an understanding of the natural and man-made features and activities that may contribute to success. For example, considering other land use activities, as laid out in state or provincial watershed management plans, or recognizing the important role of riparian areas and wetlands toward protecting water quantity and quality can lead to forest management activities that manage effects to water quantity. This includes activities such as the timing of road/trail construction or harvesting activities, and the design of wetland crossings.

Water quantity is included in Objective 3 because watershed features and forest management activities may affect water quantity. Increased awareness and the implementation of practices affecting water quantity that are appropriate to the size and scale of the Certified Organization will help to maintain a natural range of variation, while avoiding or minimizing negative effects.
Forest Management Impacts on Water Quantity

Forest management, including road/trail development, forest harvest, and reforestation activities, can influence water quantity. The potential effects of these activities on water quantity are influenced by regional characteristics such as the amount of annual precipitation, slope, soils, and vegetation, and can vary locally depending on factors such as the proportion of a watershed harvested. For example, forest harvest in a watershed that has steep slopes with high annual precipitation has a greater potential for water yield impacts, when compared to a watershed with flat terrain and low annual precipitation.

Road/skid trail location and density can alter stream flow characteristics, resulting in higher peak flows from reduced water infiltration, blocked subsurface flow, and faster water delivery to streams via roadside ditches. Additionally, roads with water, wetland, and riparian area crossings can block surface flow if they are not designed and built to accommodate the natural flow characteristics.

Forest harvests can contribute to increased runoff. In general, runoff and streamflow increase in proportion to the amount of land harvested in a watershed.

Water quantity is also influenced by the position of the harvest within the watershed, the silvicultural system, and harvesting practices used. Harvesting operations that maximize the retention of forest floor vegetation and non-merchantable timber within the harvest area and minimize soil rutting and compaction help reduce surface runoff and the potential for increased streamflow following harvest. Prompt reforestation can minimize or mitigate the effects of forest harvest on water quantity.

Certified Organizations can reference state, provincial, or other relevant watershed plans and indicate how their forest management plans and activities may support those plan’s objectives at a level appropriate to the size and scale of the Certified Organization’s operations.

On public lands, Certified Organizations can indicate how their forest management plans and activities are consistent with established government agency requirements and guidelines, rate of harvest criteria, and other relevant watershed plans.

Components to be considered in a program could include mapping and identifying watershed features that contribute to water quantity (e.g., lakes, streams, riparian areas, wetlands, vernal pools, beaver ponds), practices that maintain natural drainage patterns and minimize adverse effects of roads and skid trails on water yield, harvesting practices that minimize ground disturbance and retain non-merchantable timber or other vegetative cover, practices that protect and maintain soil productivity and soil health, and prompt reforestation where consistent with other SFI 2022 Forest Management Standard Objectives. The program can also include meeting or exceeding applicable best management practices for protecting and maintaining water quality in ways that contribute to protecting and maintaining water quantity.

Objective 4. Conservation of Biological Diversity

Conservation of Biological Diversity

The intent of Performance Measure 4.1 is to ensure that Certified Organizations use the best scientific information available to inform their action at multiple scales, for the purposes of biodiversity conservation. The individual indicators specify how 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, facilitate assessments, and ultimately maximize the potential of the managed area to contribute to landscape level biodiversity, within the context of management objectives. Credible sources of science information include (but are not limited to) The Nature Conservancy ecoregional plans, NatureServe biodiversity metrics, and others.

Assessments conducted under Performance Measure 4.1, or any assessments consulted to meet the requirements of Performance Measure 4.1, should inform efforts to maintain or advance biodiversity conservation at multiple scales, including landscape scale. Indicator 4.1.3 references documentation of biodiversity at landscape and ownership levels, and incorporation of such documentation “to ensure the contribution of the managed area to the diversity of conditions that promote biodiversity.” Such documentation is increasingly available through remote sensing sources, NatureServe biodiversity metrics (a project of SFI), The Nature Conservancy, Forest Inventory and Analysis (U.S.), and/or Canadian Forest Service. It may be possible for a Certified Organization to develop its own documentation of diversity at this scale, though credibility is likely 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 and objectives, to determine whether there may be opportunities to fill gaps in their biodiversity outcomes, or to provide certain forest composition, age-classes, or conditions that may be lacking on the landscape. Indicator 4.1.4 cites “planning and priority-setting efforts” to help managers understand conservation priorities that have been independently and scientifically established, and “incorporating results” into their own planning. Indicator 4.1.4 provides a list of credible sources to aid in that process — these sources often intersect or dovetail with the landscape biodiversity assessments noted above.
One example of a 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. The results of this project should be considered appropriate to meet the intent of Indicator 4.1.4 by informing management strategies for the conservation of wide-ranging bird species.

A credible analysis of the contributions of a given managed area to biodiversity conservation may contain certain commonly understood forest metrics, such as stand age and size-class distribution. Certain imperiled species, such as the Red Cockaded Woodpecker (in the U.S. South), may have life cycle requirements related to tree size and distribution — in this case, larger diameter trees. Analysis and planning therefore could include an assessment of the range maps or habitat prediction models of species that may be dependent on such conditions. In this way, managers can develop strategies to enhance habitat for species with known requirements, and potentially elevate the contribution of their managed area toward landscape goals within the context of overall management objectives, using well-established metrics beyond just the forest cover type.

An advantage of using credible planning and priority-setting frameworks, such as those noted above, is that multiple elements and scales of biodiversity analysis are already inherent to these constructs. For example, the NatureServe biodiversity metrics approach (a project in collaboration with SFI and multiple Certified Organizations) includes metrics relative to “landscape condition” and “species assemblages,” effectively addressing “connectivity” and “natural communities” respectively. The metric of “Landscape Spatial Pattern” effectively speaks to both “fragmentation” and “connectivity” as inherent attributes of biodiversity at multiple scales.

Analyses of landscape conditions and opportunities may be conducted collaboratively by multiple Certified Organizations, or in partnership with SFI Implementation Committees that operate across multiple certified ownerships. Forest managers can use these analyses to implement more efficient strategies for addressing landscape scale conservation or biodiversity assessments, improving outcomes while remaining true to the management objectives of individual Certified Organizations.

**Forests with Exceptional Conservation Value**

Objective 4 of the SFI 2022 Forest Management Standard extends the biodiversity requirements to Forests with Exceptional Conservation Value (FECV).

Indicator 4.2.2 requires that Certified Organizations with FECVs have a program to locate and protect known sites of flora and fauna associated with viable occurrences of critically imperiled and imperiled species and communities. An imperiled or critically imperiled plant, animal, or community is one that is globally rare or vulnerable to extinction. Protection plans may be developed independently by Certified Organization management, or in cooperation with other stakeholders, and may include the 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, Certified Organizations can use the NatureServe database to identify species and communities for protection. Learn more about NatureServe Conservation Status Assessments.

**NatureServe Resources for Global and Occurrence Ranks**

Identification and protection of critically imperiled and imperiled species and communities is a stepwise process. First, NatureServe determines the global rank, which reflects the rarity/imperilment of the species or community. Then it assesses the estimated viability, or probability of persistence, of particular occurrences of critically imperiled and imperiled species and communities. A viable species or community is one that is of sufficient quality to likely survive long-term. Clearly, little conservation benefit is gained unless protected occurrences have a good likelihood of long-term survival.

NatureServe inventory and conservation activities focus on locating, maintaining records on, and working with partners to conserve viable occurrences of conservation elements. NatureServe and its network of natural heritage programs rank the viability of element occurrences (either community or species) using standard methodologies to yield an element occurrence ranking. They develop and maintain a standard set of element occurrence rank specifications for each element, and then apply them against individual occurrences of the element.

The basic element occurrence ranks are:

A: Excellent estimated viability

B: Good estimated viability
The categories are defined as follows:

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

The SFI 2022 Forest Management Standard requires that Certified Organizations have a “program to address conservation of ecologically important species and natural communities, including those that are locally rare.”

Under the SFI 2022 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 they have less potential for viability (C-), they should be managed at the Certified Organization’s discretion.

Element occurrences with poor estimated viability (D) would not be protected under the SFI 2022 Forest Management Standard. A D rank might result because the acreage of a community or the population of a species is too small, the quality is very low, and/or the ecological processes required to maintain the occurrence are fundamentally altered and un-restorable. E-ranked occurrences (viability not assessed) should be presumed viable and protected until they are assessed, and then protected or not accordingly. Occurrences ranked F are not covered under the SFI 2022 Forest Management Standard since only known occurrences are included. Historical (H) and extirpated (X) occurrences are clearly nonviable, and no protection activity is warranted.

In determining the viability and potential to protect occurrences, Certified Organizations are encouraged to seek additional information on occurrence ranking from NatureServe and/or collaborate with qualified conservation experts.

### 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 these qualities provides the basis for assessing the stresses that occurrences may be experiencing (such as degradation or impairment) 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, 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 require significant effort to be maintained or restored to their desired status.

Key ecological factors vary by element type, but all are grouped into the three categories of size, condition, and landscape context. Each category 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 measuring progress toward local conservation objectives.

The categories are defined as follows:

**Size** is a measure of the area or abundance of a conservation element’s occurrence. It may simply be a measure of the occurrence’s patch size or geographic coverage, or it may include an estimate of sub-population size or density. One aspect, the minimum dynamic area, is the area needed to ensure the survival or re-establishment of a population or community after a natural disturbance.

**Condition** is an integrated measure of the composition, structure, and biotic interactions that characterize an occurrence. This includes factors such as reproduction, age structure, biological composition (e.g., presence of native versus invasive species; 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, the fragmentation of ecological communities and systems, and the ability of any element occurrence to respond to environmental change through dispersal, migration, or re-colonization. The 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.
Guidance on Incorporation of Ecosystems in the SFI 2022 Forest Management Standard

In the SFI 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 Certified Organizations operating at stand to landscape scales. The guidance provided is not a template for ecosystem management – it relies on the currently accepted SFI definitions and approved requirements of the SFI 2022 Forest Management Standard to demonstrate how ecosystems are an integral component of sustainable forest management. However, the guidance is consistent with the four key components of ecosystems listed above.

Integrating the Biotic and Abiotic Elements of the Environment

The foundation for landscape scale mapping and planning that incorporates ecosystems into sustainable forest management includes a combination of forest cover type and soils maps, supplemented by non-timber information like non-forested wetlands and Forests with Exceptional Conservation Value. 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 (Indicator 1.1.1i, Performance Measure 3.2, Indicators 4.1.6, 4.2.2, 4.2.3) as part of their forest planning processes. Certified Organizations also are required to integrate biotic and abiotic elements in forest conversion decisions (Indicator 1.2.2), forest regeneration (Performance Measure 2.1), and during implementation of forest protection activities (Performance Measure 2.4). Additionally, the conservation of biological diversity inherently integrates the biotic and abiotic elements of the environment through the accounting of wildlife habitats (Indicators 4.1.1, 4.1.2, 4.1.5), ecological community types (Indicators 4.1.1, 4.2.2, Performance Measure 4.3), biological diversity (Indicator 4.1.1), and Forests with Exceptional Conservation Value (Performance Measures 4.2 and 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 several different characteristics, including the physical arrangement of trees, snags, and down woody debris. Within a stand and depending on the situation, Certified Organizations have criteria for the desired forest composition (Performance Measure 2.1), tree stocking (Indicator 2.1.2), size distributions (Indicators 1.1.1a, 1.1.1h), retention of habitat elements (Indicator 4.1.2), protection of ecologically important sites (Indicators 4.1.5, 4.1.6, Performance Measure 4.3), and protection of special sites (Objective 6). At larger scales, such as with 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 wetlands (Performance Measure 3.2). At even larger scales (e.g., landscapes), forest managers tend to portray the diversity of size, density, or age classes in management blocks, across entire ownerships, or in some instances across multiple ownerships (Indicator 4.1.3).

Connectivity

Integration of connectivity into sustainable forest management occurs through protection of wetlands and riparian zones (Performance Measure 3.2), provision of diverse forest cover types and structures (Indicators 4.1.2, 4.1.3), and protection of other ecologically important sites (Indicators 4.1.5, 4.1.6, Performance Measure 4.3). Connectivity can be assessed at multiple scales and can be thought of as “structural” or “functional.” Structural connectivity refers to forest cover types or habitats that are geographically adjacent, facilitating the ability of genes and species to move through a managed forest landscape. Functional connectivity refers to forest cover types or habitats that are not physically adjacent but are arranged in a landscape such that genes and species can move. The SFI 2022 Forest Management Standard contains indicators that both directly and indirectly influence connectivity via requirements for prompt forest reforestation (Performance Measure 2.1), limitations on clearcut harvest area sizes (Indicator 5.2.1), limitations on forest conversion (Performance Measures 1.2, 1.3), the protection of wetlands and riparian zones (Performance Measure 3.2), non-forested areas, and other ecological sites (Indicators 4.1.5, 4.1.6, Performance Measure 4.3), and through aesthetic considerations (Objective 5). In certain situations, some 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 2022 Forest Management Standard explicitly recognizes numerous important ecological processes that are important to sustainable forestry, including 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.
Wildlife Habitat Diversity, Ecologically Important Species, and Invasive Species

Objective 4 in the SFI 2022 Forest Management Standard includes performance measures and indicators for conservation of biological diversity. Additional information is provided here for wildlife habitat diversity and invasive species.

Wildlife Habitat Diversity

Performance Measure 4.1 in the SFI 2022 Forest Management Standard includes programs to incorporate conservation of biological diversity and recognize the value of a diversity of habitats to support aquatic species and wildlife. 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 the proper selection of harvesting methods, including clearcutting and the use of prescribed fire.

Ecologically Important Species

Indicator 4.1.5 requires a program to address conservation of ecologically important species and natural communities. Such ecologically important species or communities could include those that are locally rare in the area of operation, at the discretion of the Certified Organization. “Locally rare” is a term intended to give managers flexibility in interpretation, though managers are encouraged to consult objective sources (such as NatureServe G and S rank systems) to achieve consistent application of the concept. Specifically, “locally rare” could include species with a high “S-Rank,” indicating relative rarity within that jurisdictional area (e.g., state or province), or it could mean species that are at the fringes of their range, and thus relatively uncommon to that locality.

The intent of Indicator 4.1.5 is for Certified Organizations to: (1) evaluate conservation opportunities relative to species or communities that are not officially designated for protection by state, provincial, or federal law, or ranked G1 or G2 (and thus addressed through Forests with Exceptional Conservation Value); (2) identify ecologically important species for management attention; 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).

The intent is for conservation to occur on Certified Organization lands. Although Certified Organizations are not required to do surveys to determine known occurrences, they should refer to available sources to identify the presence of ecologically important species or natural communities. 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 their rarity, regional importance, and sensitivity to, or reliance upon, forest management activities. Resources for determining rarity may include NatureServe G or S ranks, the International Union for Conservation of Nature Red List, and federal, provincial, or state lists. Resources for determining regional importance may include The Nature Conservancy ecoregional plans, State Wildlife Action Plans, or other credible conservation plans. Information regarding known occurrences (i.e., presence) can be drawn from NatureServe, state/provincial natural resource agencies, Conservation Data Centers, or other regional mapping efforts or assessments.

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 may be based on potential opportunities for the managed area to aid in the recovery or perpetuation of that species (note that G1-G2 species are already afforded protection by definition and related requirements under Forests with Exceptional Conservation Value). For example, the Gopher tortoise (Gopherus polyphemus), ranked G3, is considered an ecologically important species across much of its range. Many forest managers in the Gopher tortoise’s range in the U.S. South include specific attention to the needs of that species in management planning.

Lists of “special concern species,” “rare species,” “species of greatest conservation need,” and other similarly described lists have been published by state, provincial, and federal agencies, and others. This indicator is not intended to imply that any particular species on such lists should require management or protection, but that such lists should serve as a resource for the identification of ecologically important species or natural communities.

Ensuring that programs are in place for 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, and state, provincial, and federal agencies, to advance conservation efforts collaboratively, and to mitigate the need for formal listing and regulatory protections under the Endangered Species Act (US), or the Species at Risk Act (Canada).
Invasive Species

Indicator 4.1.7 addresses invasive species.

Certified Organizations should become knowledgeable about invasive species 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., through erosion control or seed selection for wildlife plots) to limit the introduction, impact, and spread of invasive species. Indicator 4.1.7 does not require a Certified Organization to eliminate invasive species on their land. In some places, invasive species are well established and eradication by the Certified Organizations is unrealistic.

Experts in this area believe the most effective means of addressing invasive species include:
- awareness building,
- monitoring,
- preventing new introductions, and
- eliminating new occurrences.

Certified Organizations should emphasize these as priorities in their programs. Forest practices that reduce the abundance of invasive species are preferred if they can be addressed within the context of the 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 Certified Organizations toward research is resulting in advancements in the 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, and 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 their own 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 organizations, academic partners, and other Certified Organizations 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.; or
- sharing of proprietary research results, as appropriate, to support the elevation of forest practices across the sector.

Objective 8. Recognize and Respect Indigenous Peoples’ Rights

Indigenous Title

SFI 2022 Forest Management Standard Performance Measure 8.1 requires that Certified Organizations recognize and respect Indigenous Peoples’ rights. Additionally, Objective 11 requires Certified Organizations to comply with all applicable federal and provincial/state laws and regulations. This includes applicable laws and regulations pertaining to engagement, communication, and/or consultation with Indigenous Peoples, as they exist within the Certified Organization’s province(s) or state(s) of operation and apply to the Certified Organization’s private forest lands or public tenures.

Further to legal compliance under Objective 11, Certified Organizations should take additional measures to demonstrate recognition and respect for Indigenous Peoples’ rights and traditional forest-related knowledge. Such measures are intended to help build a strong foundation for meaningful relationship-building and collaboration between Certified Organizations and Indigenous Peoples, whose rights may be affected by the Certified Organization’s forest management activities.

Demonstrating an understanding and recognition of established frameworks of legal, customary, and traditional rights is one such measure that can further support relationship building processes. Within their Objective 8 program (Indicator 8.1.1), Certified Organizations should include actions that demonstrate their efforts to understand and recognize established frameworks of legal, customary, and traditional rights as they pertain to their private forest lands or public tenures which may be of importance to Indigenous Peoples whose rights may be affected by the Certified Organization’s forest management activities.

Reference to resources such as (i) the UN Declaration on the Rights of Indigenous Peoples, (ii) federal, provincial, and state laws and regulations, and (iii) relevant treaties, agreements, or other constructive arrangements among governments and Indigenous Peoples can be used to demonstrate efforts to recognize such frameworks. In all cases, Certified Organizations shall respect the processes, laws, and direction received from relevant government agencies derived through the nation-to-nation relationships where the certification takes place.

Certified Organizations are encouraged to investigate opportunities to implement aspects of such frameworks that fall outside of those required under Objective 11 and are identified as being of importance to affected Indigenous Peoples, as a means of further supporting meaningful relationship-building processes.
Communications with Indigenous Communities

The 2022 Forest Management Standard Indicator 8.2.1 d. 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:

- timing of communications;
- subject matter of communications;
- delivery method(s) of communications;
- timelines for responses to communications;
- necessary recipients of communications; and,
- 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 affected 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 checking a nation, tribe, or community’s website; calling the nation, tribe, or community’s administrative office; or, contacting relevant federal, provincial, or state authorities who have responsibilities to communicate with Indigenous Peoples. Many Indigenous communities will appoint an individual or department to lead external communication, consultation, and engagement activities who can advise Certified Organizations on appropriate protocols.

Where community-endorsed communications protocol does not already exist and/or where regulated requirements or existing communications protocols do not contain specific provisions related to performance measures or indicators contained in Objective 8, 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, preferences, and capacity of each party. In addition to considering items i. through vi. above, customized communications protocols could contain agreed-upon provisions pertaining to:

- adequate communications timelines that permit thorough review of documents and meaningful participation in decision-making processes by all parties;
- opportunities to participate in information sharing events such as company-hosted field tours or third-party audits (interviews and/or field audit);
- the presentation of relevant documents in an accessible, non-technical format that can be easily understood by individuals from a non-forestry background;
- the documentation, storage, application, and dissemination of (a) Indigenous Peoples’ traditional forest-related knowledge, (b) information pertaining to sites of spiritual, historical, or cultural importance, (c) use of non-timber forest products of value, and (d) other forms of Indigenous Peoples’ intellectual property as deemed important to the affected Indigenous community; and,
- the resolution of disagreements with respect to forest management decision making.

Prior to the establishment of a customized communications protocol that identifies necessary recipients of and delivery methods for communications, Certified Organizations should attempt to establish genuine, good faith communications with affected Indigenous communities by employing a variety of delivery methods (e.g., mail, electronic, telephone, in-person), as required, directed to appropriate contact persons or departments identified through the use of available resources and information. Certified Organizations are encouraged to document all communications with affected Indigenous communities pertaining to the fulfillment of Objective 8 requirements.

Communications protocols should be periodically reviewed and updated to ensure they remain relevant and meaningful to all parties, considering evolving local circumstances and forest management priorities. Appropriate training should be provided to personnel and contractors so that they are competent to fulfill both their legal responsibilities with respect to communications with Indigenous Peoples as well as their responsibilities arising from co-developed communications protocols.

Appropriate Training of Certified Organization Personnel and Contractors

Indicator 8.1.1.c directs Certified Organizations to provide appropriate training to personnel and contractors so that the Certified Organization is competent to fulfill their responsibilities under Objective 8 of the SFI 2022 Forest Management Standard.

In designing and delivering their training programs, Certified Organization should endeavor to ensure that content is locally or regionally relevant and takes into account the rights, histories, and cultural backgrounds of Indigenous Peoples whose rights may be affected by the Certified Organization’s forest management activities. Such approaches are supported by the United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP), which recognizes that, “the situation of Indigenous Peoples varies from region to region and from country to country and that the significance of national...
and regional particularities and various historical and cultural backgrounds should be taken into consideration” within processes that seek to uphold Indigenous Peoples’ rights and foster positive relationship building.

Certified Organizations are therefore encouraged to both engage with established Indigenous training providers who have professional experience in the Certified Organization’s operating area(s) and co-develop training programs in collaboration with Indigenous Peoples whose rights may be affected by the Certified Organization’s forest management activities, where interest from those Indigenous rights-holders exists, to enable due consideration of the Certified Organization’s unique operating context(s), including:

- its organizational structure and geographic footprint,
- its workforce and contractor network composition,
- opportunities to integrate or phase Objective 8 training into existing training programs for personnel and contractors,
- the unique histories, rights, and cultures of rights-holding Indigenous Peoples within their operating area(s) as they pertain to various performance measures and indicators associated with Objective 8 of the SFI 2022 Forest Management Standard,
- opportunities to develop training programs, or specific components of training programs, on a regional basis, such as through collaborations involving tribal councils, provincial territorial organizations, treaty organizations, and/or SFI Implementation Committees,
- the unique ways in which different professional roles or departments within the Certified Organization may intersect with the below-listed training topics.

For Certified Organizations with forest management responsibilities on public lands, training topics may include, but not be limited to, locally or regionally relevant information pertaining to:

i. Recognizing established frameworks of legal and customary rights, such as those outlined in UNDRIP; federal, provincial, and state laws and regulations; and treaties, agreements or other constructive arrangements among governments and Indigenous Peoples

ii. Understanding and respect for traditional forest-related knowledge

iii. Identifying and protecting spiritually, historically, and culturally important sites

iv. Addressing the use of non-timber forest products of value

v. Communicating through processes that respect Indigenous Peoples’ representative institutions, using appropriate protocols

vi. Providing opportunities to review forest management plans and forest management practices

For Certified Organizations with forest management responsibilities on private lands, training topics may include, but not be limited to, locally or regionally relevant information pertaining to:

i. Recognizing established frameworks of legal and customary rights, such as those outlined in UNDRIP; federal, provincial, and state laws and regulations; and treaties, agreements or other constructive arrangements among governments and Indigenous Peoples

ii. Understanding and respect for traditional forest-related knowledge

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. Increases in the extent and severity of disturbances have shifted large areas of forests towards significant sources of emissions to atmospheric carbon pools through catastrophic fires and increased mortality, compounding the climate change effects of anthropogenic carbon emissions.

Forest management decisions need to take into consideration a suite of objectives that 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 means Certified Organizations can make informed decisions to ensure that their objectives, strategies, and practices 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 documents, interviews with key experts, and observations of SFI training activities. The analysis found that although the SFI 2022 Forest

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Management Standard did not explicitly require performance relative to carbon or climate mitigation to be performed, “climate smart forestry” concepts, management practices, and other best practices were prevalent throughout the standards, training materials, and Certified Organization interviews. Beyond those valued practices, which remain as important elements of the SFI 2022 Forest Management Standard, the Climate Smart Forestry objective is the next logical step in providing the assurance that such practices are undertaken, audited, and tracked as a proof point of forest sustainability.

The Climate Smart Forestry objective ensures that Certified Organizations are aware of the effects of their management on forest carbon dynamics as they relate to climate, and that such considerations are taken into account in business and forest management planning. However, the Climate Smart Forestry objective is not a carbon quantification protocol, nor does it require Certified Organizations to additionally sequester carbon in managed forests. Further, the Climate Smart Forestry objective does not require quantification or verification of carbon pools, as might be required by voluntary carbon markets or offset programs such as Carbonzero, the Verified Carbon Standard (VCS), or Carbonfund.org, but it may be a useful framework for those participating in such programs.

The requirements of the Climate Smart Forestry objective and the programs and management activities designed to meet its performance measures and indicators should, as much as possible, be based the best scientific information. SFI recognizes that there is uncertainty in all science, and climate change is a uniquely challenging phenomenon. Even with the best scientific information, the outcomes of climate change on forests may not be 100% predictable; nonetheless, we strive to have the best preparation possible, and to help reduce uncertainty, rather than avoid it.

It is important to note that the scope and scale at which Certified Organizations address these objectives will depend on their capacity to conduct analysis and their purposes vis-a-vis the needs of their customers. Organizations certified to the SFI 2022 Forest Management Standard may choose to conduct a more complex and area-specific inventory of greenhouse gas emissions and harvest removals or consult regional averages for greenhouse gas emissions and harvest removal estimates, for the purposes of developing an adaptation strategy and mitigation plans.

Due to the overarching regionalized effects of climate change, it may be useful and feasible for Certified Organizations to coordinate efforts at addressing climate change risks to forests (Performance Measure 9.1), or to identify and address opportunities to mitigate climate change with their state or regional SFI Implementation Committees. While not a requirement, such coordinated efforts may be an effective means of assuring consistency for practice and information availability.

The intent of the Climate Smart Forestry objective is to require Certified Organizations to consider as many managed forests greenhouse gas and carbon sources and sinks as is reasonably practicable, recognizing that some of them may be outside of their influence. SFI also acknowledges Certified Organizations will continuously improve their forest management activities to address climate change adaptation and mitigation measures over time as more data and information become available. The following guidance is intended to provide options that Certified Organizations may use to meet Objective 9 in the SFI 2022 Forest Management Standard and is not normative.

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 distributions. Identifying risks and vulnerabilities using the best scientific and economic information available is important to test the relevance or efficacy of a Certified Organization’s existing risk management strategies under climate change, and 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 2015) or can be adapted from similar approaches (CoastAdapt 2020).

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 Certified Organization or its stakeholders. These

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4 See FAO 2019 for more information on Climate-smart Forestry
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.
8 KPMG 2014, Sustainable Insight: The essentials of materiality assessment.
can then be distilled into a short list of topics that inform forest management strategies, targets, operations, and reporting. 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 Certified Organization, its operations, and stakeholders, and the level to which the impact can be influenced (Figure 1), and the risks over the long-term planning horizon for the forest being assessed.

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

Indicators 9.1.2 and 9.1.3 — Identifying Adaptation Strategies

Indicator 9.1.2 requires a Certified Organization to develop an adaptation plan to address priority climate change risks, and in so doing help identify and address opportunities to enhance ecosystem resilience for the forests they own or manage (Indicator 9.2.2). Indicator 9.1.3 then addresses how these adaptation plans should be reviewed in the context of Regional Climate Change Adaptation Strategies (RCCAS), where they exist. RCCAS are useful tools that help governments and organizations conduct operations that are aligned with overall adaptation efforts that are sensitive to regionally specific climate change risks. RCCAS have been developed for several jurisdictions and municipalities, such as those found in Table 1, and are readily available for downloading.

Adaptation strategies may involve considering potential adjustments to account for altered timing of spring thaws and shorter winters, assisted tree migration through selective planting, and consideration of planting the right tree species in the right place, at the right time, to name a few. Certified Organizations may further wish to assess the impact of climate risk across the range of programs they develop under the SFI 2022 Forest Management Standard, including those related to wildlife and biodiversity, and special sites, through monitoring and data collection. For example, climate change may result in shifts in habitat for threatened and endangered species or increase the potential for catastrophic wildfire or insect infestation on special sites. It may be useful to identify how these programs might need to evolve to address identified climate risks.

Table 1: A non-exhaustive list of Adaptation Tools and Strategies by relevant jurisdiction, with title and source URLs for locating the documents (accessed April 26, 2020).

<table>
<thead>
<tr>
<th>Jurisdiction</th>
<th>Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>California</td>
<td>California Adaptation Planning Guide: planning for adaptive communities</td>
</tr>
<tr>
<td>New Hampshire</td>
<td>Climate Change Resilience Plan: resilience and preparedness in state government project</td>
</tr>
<tr>
<td>U.S. Southeast</td>
<td>UE EPA Region 4 Adaptation Implementation Plan</td>
</tr>
<tr>
<td>U.S.</td>
<td>Climate Hubs – U.S. Department of Agriculture</td>
</tr>
<tr>
<td>U.S.</td>
<td>USFS Climate Change Resource Center</td>
</tr>
<tr>
<td>U.S.</td>
<td>Climate Change and Forestry Handbook (Manomet)</td>
</tr>
<tr>
<td>U.S.</td>
<td>Forest Adaptation Resources: Climate Change Tools and Approaches for Land Managers, 2nd edition (USDA)</td>
</tr>
<tr>
<td>British Columbia</td>
<td>Strategic Climate Risk Assessment Framework for British Columbia</td>
</tr>
<tr>
<td>Ontario</td>
<td>Climate Ready: Ontario’s adaptation strategy and action plan</td>
</tr>
<tr>
<td>Canada</td>
<td>Adapting Sustainable Forest Management to Climate Change: preparing for the future</td>
</tr>
<tr>
<td>Canada</td>
<td>Forestry Adaptation Community of Practice (FACoP)</td>
</tr>
</tbody>
</table>
Adapting forest practices to address the potential risks identified in Performance Measure 9.1 includes understanding the range of variability in future climate scenarios and adapting management and silvicultural practices to those potentially altered conditions to sustain a thriving forest with all of its inherent values. Larger forest landowners and managers may choose to conduct a more holistic adaptation plan and incorporate a broader range of options or may examine a narrower range of feasible options for the purposes of developing an adaptation strategy, depending on their capacity or market purposes.

Indicator 9.2.1 — Identifying Options for Addressing Stored Carbon and Greenhouse Gas Emissions

Resulting activities from this indicator may range from assessing the impact of the forest management plan on overall carbon balance to assessing the impact of different silvicultural and operational practices on live tree carbon to support the maintenance of forest benefits, potentially including target-setting for reduced net emissions or increased sequestration. Some examples may include:

- consideration of equipment age, operability and maintenance (Scope 1 emissions);
- selecting the correct equipment size (most efficient machine for the job);
- finding alternative uses for logging waste to manage for fuel abatement and minimizing open burning; and/or
- modifications to site preparation techniques.

Indicator 9.2.3 — 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. Forest landowners and managers may choose to conduct a more comprehensive inventory of greenhouse gas emissions, or they may rely on regional averages for estimating emissions and informing their forest management operations, depending on their capacity or market purposes.

Models and tools to quantify local, regional, and national level forest carbon storage, which 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. Other more regionally specific resources are available from industry-specific vendors (e.g., NCASI, NCX), or through available tools such as FORECAST or FORCARB. Tool and approach selection 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 modeling analysis suitable to the forest management area in question.

Resources available to help Certified Organizations develop programs (Indicator 9.2.3) are related to the tools and methods used to address carbon and greenhouse gas emissions, combined with approaches that 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.

<table>
<thead>
<tr>
<th>Tool</th>
<th>Country, State/Province</th>
<th>Description</th>
<th>Source</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Generic Carbon Budget Model (GCBM)</strong></td>
<td>Canada (all)</td>
<td>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.</td>
<td><a href="mailto:stephen.kull@canada.ca">stephen.kull@canada.ca</a></td>
</tr>
<tr>
<td>FORECAST model</td>
<td>Canada (BC, AB, SK, S. ON, NS)</td>
<td>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.</td>
<td><a href="https://www.ontario.ca/page/forest-carbon">https://www.ontario.ca/page/forest-carbon</a></td>
</tr>
<tr>
<td>FORCARB model</td>
<td>Canada (ON)</td>
<td>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.</td>
<td><a href="https://www.ontario.ca/page/forest-carbon">https://www.ontario.ca/page/forest-carbon</a></td>
</tr>
<tr>
<td>Tool</td>
<td>Country, State/Province</td>
<td>Description</td>
<td>Source</td>
</tr>
<tr>
<td>------------------------------------------</td>
<td>-------------------------</td>
<td>-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
<td>---------------------------------------------</td>
</tr>
<tr>
<td>i-Tree Harvest Carbon Calculator</td>
<td>U.S.</td>
<td>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.</td>
<td><a href="https://harvest.itreetools.org">https://harvest.itreetools.org</a></td>
</tr>
<tr>
<td>FORCARB2</td>
<td>U.S. and Ontario</td>
<td>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.</td>
<td><a href="https://www.nrs.fs.fed.us/pubs/35613">https://www.nrs.fs.fed.us/pubs/35613</a></td>
</tr>
<tr>
<td>US Forest Carbon Calculation Tool</td>
<td>U.S.</td>
<td>The Carbon Calculation Tool 4.0, CCTv40.exe, is a computer application that reads publicly available forest inventory data collected by the U.S. Forest Service’s Forest Inventory and Analysis Program (FIA) and generates state-level annualized estimates of carbon stocks on forest land based on FORCARB2 estimators.</td>
<td><a href="https://www.nrs.fs.fed.us/pubs/2394">https://www.nrs.fs.fed.us/pubs/2394</a></td>
</tr>
<tr>
<td>EVALIdator</td>
<td>U.S.</td>
<td>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.</td>
<td><a href="https://apps.fs.usda.gov/Evalidator/evaluator.jsp">https://apps.fs.usda.gov/Evalidator/evaluator.jsp</a></td>
</tr>
<tr>
<td>USFS Climate Change Resource Center</td>
<td>U.S.</td>
<td>CCRC hosts several informational pages on forest carbon management.</td>
<td><a href="https://www.fs.usda.gov/ccrc/topics">https://www.fs.usda.gov/ccrc/topics</a></td>
</tr>
<tr>
<td>Forest-Climate Working Group</td>
<td>U.S.</td>
<td>FCWG hosts webinars that address a wide range of topics related to adaptation and mitigation.</td>
<td><a href="https://forestclimateworkinggroup.org">https://forestclimateworkinggroup.org</a></td>
</tr>
</tbody>
</table>

Objective 10. Fire Resilience and Awareness

The intent of Objective 10 — Fire Resilience and Awareness - is for Certified Organizations to limit the susceptibility of forests to undesirable impacts of wildfire and to raise community awareness of wildfire benefits, risks, and minimization measures.

Undesirable impacts of wildfire are those that threaten public safety, human health, property, carbon emissions, water quality and quantity, air quality, and species habitat, or have the capacity to destroy forests on a scale that significantly impacts the inherent values of these forests.

The link between wildfires and climate is well-documented. The planet is warming, and higher temperatures lead to drier conditions, with many regions experiencing severe drought, resulting in more dead trees and debris that significantly increase the risk of undesirable impacts of wildfire. Indicator 1.1.4 already requires Certified Organizations, where applicable, to model the negative impacts of climate change (i.e., prolonged drought, increased incidence of disease or pests) in their long-term sustainable harvest levels.

However, sustainable forest management can also reduce the risk of these undesirable impacts of wildfire. Appropriate management must be done within the context of fire ecology and fire regime. Doing so increases overall forest resiliency, including reducing fuel loads and limiting invasive species, both of which can decrease the likelihood of damage from catastrophic fire.

The Objective has two Performance Measures. Performance Measure 10.1 has requirements for practices on lands Certified Organizations own or manage. Performance Measure 10.2 has requirements for raising public awareness of the benefits, risks, and minimization methods regarding fire.

Performance Measure 10.1 requires that on the forests they own or manage, Certified Organizations shall limit susceptibility to undesirable impacts of wildfire, promote healthy and resilient forest conditions through management techniques, actions and/or policies, and support restoration of forests following wildfire damage. The development of a program to evaluate the risk of undesirable impacts of wildfire can occur individually and/or through cooperative efforts involving government agencies, SFI Implementation Committees, or other partners. The program can also take into consideration the scope and scale of the Certified Organization’s forests.

Examples of risk assessment resources include:
- Canada — Canadian Wildland Fire Information System
- US — USFS Operational Risk Management Guide
- US South — Southern Wildfire Risk: Wildfire Risk Assessment Portal

When considering management techniques, actions, or policies, it is understood that these must be assessed in the context of economic viability and that they will vary according to regions and forest type. The following examples are illustrative and may not be suited to all regions.

Examples of management techniques for limiting the undesirable impacts of wildfire can include prescribed burning for wildlife or cultural purposes (e.g., traditional foods), stand thinning, or other treatments to reduce levels of hazardous fuels.

Examples of landscape level management practices for limiting the susceptibility of forests to undesirable impacts of wildfire include prescribed burning, and commercial and non-commercial restorative thinning levels.

Examples of cooperative efforts at the landscape level include:
- The multi-partner Manastash Taneum Resilient Landscapes – Restoration Project in Washington state involving Certified Organizations, Tribes, state, and federal agencies.
- The Gulf Coastal Plain Ecosystem Partnership, formed to conserve and restore the dwindling longleaf pine ecosystem and the unique aquatic resources of northwest Florida and southern Alabama.

Forest landowners and managers who use prescribed fire as a management tool can access additional resources at the following sites:
- US — The Longleaf Alliance prescribed fire webpage
- US — Coalition of Prescribed Fire Councils

Additional wildfire information for Certified Organizations can be found at:
- Southeast US — Wildland Fire in the Southeast
- US West — Wildfire in the West
- US Appalachian Region (Alabama to Pennsylvania) — Consortium of Appalachian Fire Managers and Scientists
- US Northeast — Northeast Region Cohesive Wildland Fire Management Strategy
- US — link to all US fire science consortiums
In some jurisdictions, post-fire forest restoration on public forest lands is the responsibility of government agencies. These state/provincial or federal agencies have mandated wildfire management and restoration programs and/or regulations whose purpose is the mitigation of the negative impacts of wildfire to water quality and quantity and soil health, and to promote restoration and forest resilience. These programs ensure forests are promptly restored, preserving the critical values inherent in them. Certified Organizations are expected to work individually or cooperatively in support of these government agencies. Additionally, Certified Organizations where applicable should operate in accordance with fire management regulations, including the reduction of hazardous fuels from logging slash and preventative measures to control the spread of fire resulting from forestry operations.

Certified Organizations can refer to the following when implementing plans for forest restoration.

- US — Emergency Watershed Protection Program
- US — Burned Area Emergency Response
- US — After the Flames (Coalitions and Collaboratives, Inc.)
- Canada — Wildfire Recovery (British Columbia)

Examples of practices for addressing restoration following damaging fire include salvage logging, installation of water or erosion control devices, planting or seeding for erosion control or slope stability, installation of appropriate-sized drainage features on roads or trails, protection of threatened and endangered habitat, and monitoring for detection and rapid response to minimize the spread of invasive species.

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

Indicator 10.2.1 requires participation in, or support of, local, state, Indigenous, provincial, or federal fire management and prevention programs. When developing these programs, Certified Organizations can consult the following tools:

- U.S. — Bureau of Indian Affairs Wildfire Prevention Handbooks and Guides
- Canada — Wildland Fire Management Strategy (Ontario)
- Canada — A Roadmap for Implementing the Canadian Wildland Fire Strategy (Canadian Council of Forest Ministers)

Indicator 10.2.2 requires Certified Organizations to participate in, or support, programs to promote the benefits of fire management, and raise awareness about the environmental, economic, and social risks of the undesirable impacts of wildfire to values such as carbon emissions, water quality and quantity, air quality, species habitat, public safety, and human health.

Examples of national wildfire awareness programs or community awareness programs include: FIREWISE USA, FireSmart™ Canada (FireSmart™ and associated marks are trademarks of Partners in Protection), Smokey Bear and Project Learning Tree’s Living with Fire or The Nature of Fire. Examples of state or provincial community wildfire awareness resources include: Alberta’s FireSmart Guidebook for Community Protection and the Washington Department of Natural Resources How to Prepare for a Wildfire.

Objective 11. Legal and Regulatory Compliance (and Objective 4 of SFI Fiber Sourcing Standard SFI Small Lands Group Certification Modules and SFI Small Scale Forest Management Module for Indigenous Peoples and Families)

Legal compliance is one of the SFI Forestry Principles. Specifically, Certified Organizations are required to comply with applicable federal, provincial, state, and local forestry and related environmental laws, statutes, and regulations. In support of this principle the SFI 2022 Forest Management Standard and the SFI 2022 Fiber Sourcing Standard have as objectives, Legal and Regulatory Compliance. Likewise, the SFI Modules have requirements for legal and regulatory compliance. Certified Organizations are assisted with implementing the requirements of these objectives by the very robust and comprehensive legal systems in the US and Canada.

The national legal systems have legislation and regulation at the federal, state / provincial, and the county or municipal level. Certified Organizations depending on the jurisdictions in which they operate are required to be aware of and comply with applicable legislation as it applies to their forestry operations. This basic threshold level of legal compliance includes payment of applicable harvest royalties and/or severance taxes, control of inorganic waste, and control of fuels and lubricants. It also includes respect for property rights (trespass), and compliance with legislation prohibiting corrupt practices.

Additional requirements in the SFI 2022 Forest Management Standard address responsible use of forest chemicals (including fertilizers), protection of water quality, protection of biological diversity and respect for the rights of Indigenous Peoples. Objective 11 (and Objective 4) also require compliance with applicable social laws. Social laws are legislation 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.
Certified Organizations must demonstrate legal compliance with all applicable federal, provincial/state, and local forestry and related environmental legislation and regulations. This includes entities certified to the SFI Small Lands Group Certification Module and the SFI Small Scale Forest Management Module for Indigenous Peoples and Families (the Modules). Nonetheless, it is recognized that applicability of some pieces of higher-level legislation or regulation should be considered in the context of the reduced scale and scope of the forestry management operations of small forest landowners or managers of small public forests. Members of a SFI Small Lands Group Certification Module certificate or forest landowners or managers certified to the SFI Small Scale Forest Management Module for Indigenous Peoples and Families operate with significantly fewer resources, limited budgets, on forests that are very small in size. Furthermore, it is common for small forest landowners to perform much of the forest management operations themselves. Organizations certified to the Module(s) must use their knowledge of potentially applicable legislation for the jurisdictions where they operate to assess which are applicable given the scale and scope of their forest management operations.

Examples of categories of legislation or regulations that could be applicable for organizations certified to the Module(s) are payment of harvesting royalties/severance taxes, worker health and safety regulations (if the landowner is using the services of contractors), control of inorganic waste, and control of fuels and lubricants, respect for property rights (trespass), and Indigenous Peoples’ rights.

Organizations certified to the Module(s) should be able to demonstrate to their certification body what is not applicable and why. Examples of higher-level legislation which may be demonstrated to be non-applicable for small forest landowners or are addressed in other pieces of state/provincial legislation, are specific requirements for anti-corruption, protection of human rights, equal opportunities, non-discrimination, non-harassment, gender equality, and ILO Core Conventions.

Illegal Logging
SFI has strong existing measures in the SFI 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 offshore.

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 2022 Forest Management Standard Objective 11 and SFI 2022 Fiber Sourcing Standard Objective 4 require legal and regulatory compliance with applicable federal, provincial, state, and local laws and regulations.

SFI 2022 Forest Management Standard Performance Measure 11.1 and SFI 2022 Fiber Sourcing Standard Performance Measure 4.1. Certified Organizations shall comply with applicable federal, provincial, state, and local forestry and related environmental laws and regulations and take appropriate steps to avoid illegal logging.

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

International Labour Organization (ILO) Core Conventions
SFI 2022 Forest Management Standard Performance Measure 11.2 and SFI 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 11.2 and 4.2 for independent contractors and for Certified Organizations.

Application of SFI 2022 Forest Management Standard Performance Measure 11.2 and SFI 2022 Fiber Sourcing Standard Performance Measure 4.2 for independent contractors operating on lands owned or controlled by Certified Organizations:

- Certification bodies at the time of the audit will collect and review information the Certified Organization has received from outside stakeholders with regards to concerns or conformance pertaining to independent contractor actions related to ILO Core conventions 87, 98 and 111.
- Any information collected by the certification bodies during normal auditing times will be promptly submitted without contractor identifying information to the Certified Organization, SFI Inc. and the SFI ILO Task Force. Information received will be reviewed every six months by the SFI ILO Task Force which will develop recommendations to the SFI Inc. Board of Directors for resolution of any significant problems identified.
- Forest Management Standard Indicator 11.2 and Fiber Sourcing Standard Indicator 4.2 shall only apply to the core conventions not fully
Application of SFI 2022 Forest Management Standard Performance Measure 11.2 for Certified Organizations with respect to their employees operating on lands owned or controlled by Certified Organizations:

- Certification bodies at the time of the audit will collect and review information the Certified Organization 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 11.2.2 through the inconsistent practices and procedures outlined in the SFI Public Inquiries and Official Complaints (Section 12) requirements, item 3.
- All information collected though the inconsistent practices process will be reviewed every six months by the SFI ILO Task Force which will develop recommendations to the SFI Inc. Board of Directors for resolution of any significant problems identified.
- Indicator 11.2.2 shall only apply to the core conventions not fully covered by existing U.S. or Canadian law.
  - Right to Organise (No. 87)
  - Right to Organise and Collective Bargaining (No. 98)
  - Discrimination (111)
- In addition, any ILO related issue that is being addressed through a formal grievance process or before any of the agencies established by the U.S. National Labor Relations Act (NLRA), the appropriate Provincial Labour Code or Act, or the courts, until those processes are completed will not be subject to review, consideration or recommendations by the SFI ILO Task Force nor by the SFI Inc. Board of Directors.

Public forest landowners in states (Alabama, North Carolina and Virginia) that currently have laws prohibiting bargaining with their public employees shall be “legacied in” as meeting the requirements in Indicator 11.2.2 but must still participate in the information gathering process with their certification bodies (for independent contractors) and the inconsistent practices process in item 3 of the SFI Public Inquiries and Official Complaints (Section 12) requirements to aid in resolution of any issues that may be identified.

Objective 13. SFI 2022 Forest Management Standard (and Objective 6 of SFI 2022 Fiber Sourcing Standard)

Use of Qualified Logging Professionals, Qualified Resources Professionals and Certified Logging Companies

Logger training is a very effective tool in promoting sustainable forest management and has been a key component of SFI’s work since its inception. The SFI 2022 Forest Management Standard strengthens requirements for logger training with revisions to Indicators 13.1.5, 13.2.1, and 13.2.2 and the SFI 2022 Fiber Sourcing Standard does the same with Indicators 3.1.1, 3.2.1, 3.2.2, 6.2.1, and 6.2.2.

SFI 2022 Forest Management Standard Indicator 13.1.5 requires Certified Organizations to develop a program for the purchase of their raw material from logging professionals who have completed training programs. The SFI 2022 Fiber Sourcing Standard Performance Measure 3.2 says that Certified Organizations through their relationships with wood producers and landowners, shall maximize the deliveries of raw materials from qualified logging professionals, and shall encourage the use of qualified resource professionals.

In working to maximize deliveries, Certified Organizations should strive for 100% of their raw material deliveries from qualified logging professionals or contract with loggers in the process of completing a logger training program approved by an SFI Implementation Committee. Allowances may have to be made for small-scale or other wood suppliers, for when catastrophic events (e.g., severe storms, wildfire, beetle epidemics) can result in increased deliveries by untrained loggers, or for turnover in the logging workforce. The goal is to demonstrate continual and incremental improvement towards this goal. Where the Certified Organization identifies a region where the availability of qualified logging professionals is not sufficient to meet the expectations of SFI 2022 Forest Management Standard Indicator 13.1.5 and SFI 2022 Fiber Sourcing Standard Indicator 3.2.2, the Certified Organization will develop a program, individually or collaboratively, to address this shortage.

Program is defined in SFI Section 14 - Definitions as an organized system, process, or set of activities to achieve an objective or performance measure.

Expectations for Onsite Supervision by Qualified Logging Professional

The definition of a qualified logging professional requires that a logging crew is supervised by an individual who “has direct responsibility and is onsite regularly to consistently carry out the roles and responsibilities of the wood producer.” It is a best practice to have a qualified logging professional onsite, however it is understood that a logging crew will not be under the supervision of a qualified logging professional at all times, given the additional responsibilities placed on a supervisor, such as dealing with equipment failures, etc. Also, it is understood that the safety, environmental, and/or legal risks inherent with a logging site can vary. When determining whether a logging site needs a trained supervisor “onsite regularly,” it is the knowledge of such risks that need to be evaluated and considered. 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 their representative should be sufficiently knowledgeable about the harvest unit and its harvest plan to do a risk determination. Using this determination, the forester, contractor principal or their representative can determine the level of onsite supervision required to consistently carry out the roles and responsibilities of the wood producer, and whether additional trained supervisors are required on the harvest site.

**Certified Logging Companies**

SFI Inc. recognizes the potential and value in promoting the use of certified logging companies. Certified logging companies are entities that hold an independent, in-the-forest verification of conformance with a logger certification program.

Recognizing the value of certified logging companies, Certified Organizations may be able to demonstrate conformance to some indicators in the SFI 2022 Standards by using certified logging companies to deliver raw materials. It is up to the Certified Organization to provide evidence to their certification body on which indicators may be met, and how, via the use of a certified logging company.

### PART 2: SFI 2022 FIBER SOURCING STANDARD

**Objective 1. Biodiversity in Fiber Sourcing**

Performance Measure 1.2 is intended to promote conservation of Forests with Exceptional Conservation Value or forest areas that harbor or consist of imperiled or critically imperiled species or natural communities through the course of fiber sourcing activities. This promotion takes place through three means: 1) an assessment of Forests with Exceptional Conservation Value within the wood and fiber supply area, that is then made available to wood producers; 2) programs to address outreach and training; and, 3) incorporation of the results of the assessment toward promoting Forests with Exceptional Conservation Value conservation on areas of purchased stumpage. Considered together, these elements should effectively promote the intended conservation of Forests with Exceptional Conservation Value.

The required Forests with Exceptional Conservation Value assessment can be conducted at the scale of the wood and fiber supply area and may even be conducted collaboratively through one or more SFI Implementation Committees, or through multi-lateral engagement of Certified Organizations operating within the same affected geography, to achieve efficiencies of cost and scale. Such an assessment could be qualitative (i.e., describing the forest conditions and composition that would define Forests with Exceptional Conservation Value in that location) or geographic (i.e., mapping of known Forests with Exceptional Conservation Value through some credible method, such as remote sensing, use of USFS Forest Inventory and Analysis (FIA) data to achieve a meaningful scale for this purpose, sampling and ground-truthing, or other means). Forests with Exceptional Conservation Value assessments may be conducted most efficiently using the widest array of available information, including NatureServe or heritage database information, remote sensing, habitat prediction models and other means.

Performance Measure 1.2 is intended to inform activities at a meaningful level, to help promote conservation of Forests with Exceptional Conservation Value that could be affected through harvest activities, but it does not necessarily require stand-level analysis. The requirements of this performance measure should be considered together, meaning that the assessment results generate information that can be transferred to landowners and loggers through outreach and training programs, etc., facilitating the use of that information at the level of individual harvest. Using the assessment results at the scale of purchased stumpage is the most specific level of application, since Certified Organizations are responsible for understanding the details of sourcing at this scale and for ensuring the conservation of Forests with Exceptional Conservation Value at this scale, too.

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

**Best Management Practices**

Objective 2 of the SFI 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 2022 Fiber Sourcing Standard with requirements for on-the-ground management, monitoring, training, and research. The SFI 2022 Fiber Sourcing Standard strengthened requirements for best management practices application with a new indicator:

“2.1.1 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 Certified Organizations’ contracts for purchasing raw material from their suppliers, to ensure they do require the use of best management practices, this indicator will further highlight the importance of best management practices and their use by all suppliers throughout the supply stream.
The SFI 2022 Chain-of-Custody Standard replaces the terminology ‘Average Percentage’ and ‘Volume Credit’ with ‘Percentage’ and ‘Credit’ methods. The updated terminology is reflected in content claims used in supplier and delivery level identification in the SFI 2022 Chain-of-Custody Standard.

Certified Organizations can update relevant documentation to align with the new standard language on release of the revised SFI 2022 Standards. However, SFI recognizes that changes to processes may require additional work at many levels of operations. Certified Organizations may update their relevant documentation with revised claim language according to their own internal procedures and timelines, with the expectation that the transition will be completed within a reasonable time period.

SFI and PEFC Claim Alignment

Primary and secondary producers with a valid SFI 2022 Chain of Custody certificate can use their SFI chain-of-custody procedures to make PEFC chain of custody claims or apply the PEFC on-product logo provided they comply with the applicable requirements in PEFC ST 2002:2020 - Chain of Custody of Forest and Tree Based Products – Requirements and PEFC ST 2001:2020 - PEFC Trademark Rules. All PEFC trademark use is governed by the PEFC Trademark Standard (PEFC Trademark Rules, PEFC ST 2001:2020). All PEFC Trademark use and logo generator access follows relevant PEFC National Governing Body procedures by country/region.

Guidance on SFI 2022 Chain of Custody, Part 3.3 Calculation of the Certified Percentage

<table>
<thead>
<tr>
<th>SFI CLAIMS</th>
<th>PEFC CLAIMS</th>
<th>PEFC LABEL USE</th>
</tr>
</thead>
<tbody>
<tr>
<td>SFI X% Certified Forest Content</td>
<td>X% PEFC Certified</td>
<td>Yes</td>
</tr>
<tr>
<td>SFI Credit or 100% as calculated under the credit method</td>
<td></td>
<td></td>
</tr>
<tr>
<td>SFI at Least X% Certified Forest Content</td>
<td></td>
<td></td>
</tr>
<tr>
<td>SFI 100% Certified Forest Content-Raw material from a forest certified to an acceptable forest management standard constitutes a claim of 100% certified forest content</td>
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</tr>
<tr>
<td>SFI X% SFI Recycled Content</td>
<td></td>
<td></td>
</tr>
<tr>
<td>SFI X% Pre-Consumer Recycled</td>
<td></td>
<td></td>
</tr>
<tr>
<td>SFI X% Post-Consumer Recycled</td>
<td></td>
<td></td>
</tr>
<tr>
<td>SFI 100% from a Certified Forest</td>
<td>100% PEFC Origin</td>
<td>Yes</td>
</tr>
<tr>
<td>SFI X% Certified Sourcing or SFI Certified Sourcing</td>
<td>PEFC Controlled Sources</td>
<td>Yes</td>
</tr>
</tbody>
</table>

The following guidance supports SFI 2022 Chain of Custody Standard. Requirement 3.3 Calculation of the Certified Percentage: 3.3.1 The SFI-certified organization shall calculate the certification percentage separately for each claim period according to the following formula.

\[
P_c = \frac{V_c}{V_c + V_o} \times 100
\]

Mixed inputs: Percentage Method

\[
P_c \text{ Certification percentage}
V_c \text{ Certified content}
V_o \text{ Other raw material}
V_n \text{ Neutral material}^9
\]

A Certified Organization may use the calculation of the certified percentage to determine percentage output claims for recycled and certified forest content portions. Otherwise said, the formula is applied to each content claim separately to calculate the \(P_c\) (certification percentage).

---

9 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 4 and 5. 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.
**OFFICIAL SFI CLAIMS USING PERCENTAGE METHOD**

<table>
<thead>
<tr>
<th>Application of the Calculation Formula</th>
<th>Vc</th>
<th>Vn</th>
<th>Vo</th>
</tr>
</thead>
<tbody>
<tr>
<td>SFI X% Certified Forest Content</td>
<td>Certified Forest Content</td>
<td>Recycled (both pre- and post-consumer)</td>
<td>Other than Vc and Vn</td>
</tr>
<tr>
<td>SFI at Least X% Certified Forest Content</td>
<td>(note: to be used when a company does not include recycled content in the claim calculation)</td>
<td>Non-forest material</td>
<td></td>
</tr>
<tr>
<td>SFI X% Certified Forest Content</td>
<td>Certified Forest Content</td>
<td>Non-forest material</td>
<td>Other than Vc and Vn</td>
</tr>
<tr>
<td>SFI at Least X% Certified Forest Content</td>
<td>(note: to be used when a company includes recycled content in the claim calculation)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>SFI X% Recycled Content</td>
<td>Recycled content</td>
<td></td>
<td>Other than Vc and Vn</td>
</tr>
<tr>
<td>SFI X% Pre-Consumer Recycled</td>
<td>Pre-consumer recycled content</td>
<td></td>
<td>Other than Vc</td>
</tr>
<tr>
<td>SFI X% Post-Consumer Recycled</td>
<td>Post-consumer recycled content</td>
<td></td>
<td>Other than Vc</td>
</tr>
<tr>
<td>SFI X% Certified Sourcing</td>
<td>SFI certified sourcing</td>
<td></td>
<td>Other than Vc</td>
</tr>
</tbody>
</table>

**PEFC CLAIMS USING PERCENTAGE METHOD**

| X% PEFC Certified | X% PEFC Certified | Recycled (both pre- and post-consumer) | Other than Vc |

**Calculation Example A: Without Neutral Materials**

Certified Organization has 30 tons of raw material. 5 tons qualify for recycled content (following post and pre recycled definitions in Section 14 of the SFI 2022 Standards), 10 tons are SFI Certified Forest Content and the remaining 15 tons qualify as SFI Certified Sourcing content.

<table>
<thead>
<tr>
<th>SFI CERTIFIED FOREST CONTENT RAW MATERIAL</th>
<th>33% Certified Forest Content</th>
</tr>
</thead>
<tbody>
<tr>
<td>SFI Certified Forest Content % = 10 tonnes/(10 tonnes + 20 tonnes) x 100</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>RECYCLED CONTENT RAW MATERIAL</th>
<th>17% Recycled Content</th>
</tr>
</thead>
<tbody>
<tr>
<td>Recycled Content% = 5 tonnes/(5 tonnes + 25 tonnes) x 100</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>SFI CERTIFIED SOURCING CONTENT RAW MATERIAL</th>
<th>50% Certified Sourcing</th>
</tr>
</thead>
<tbody>
<tr>
<td>SFI Certified Sourcing % = 15 tonnes/(15 tonnes + 15 tonnes) x 100</td>
<td></td>
</tr>
</tbody>
</table>

**Calculation Example B: With Neutral Materials**

Certified Organization has 30 tons of raw material. 5 tons qualify for certified sourcing content, 10 tons are SFI Certified Forest Content and the remaining 15 tons are neutral sources.

<table>
<thead>
<tr>
<th>SFI CERTIFIED FOREST CONTENT RAW MATERIAL</th>
<th>67% Certified Forest Content</th>
</tr>
</thead>
<tbody>
<tr>
<td>SFI Certified Forest Content % = 10 tonnes/(10 tonnes + 20 tonnes) x 100</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>SFI CERTIFIED SOURCING CONTENT RAW MATERIAL</th>
<th>33% Certified Sourcing</th>
</tr>
</thead>
<tbody>
<tr>
<td>SFI Certified Sourcing % = 15 tonnes/(15 tonnes + 15 tonnes) x 100</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>NEUTRAL SOURCES</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>Neutral sources 15 tonnes are not counted towards or against the calculation of the certified content percentages</td>
<td></td>
</tr>
</tbody>
</table>

---

10 The calculation formula used in the SFI 2022 Chain of Custody Standard is consistent with international standard recycled content calculations where the recycled content is calculated from the total mass of the product (input material).

11 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 post-consumer recycled content is neutral and shall not be included in the calculation of the certified content percentages in Chain-of-Custody tracking.

12 Recycled content includes both pre-consumer recycled content and post-consumer recycled content. Certified organization may use this formula specific to pre- or post-consumer recycled content for specific pre- and post-consumer recycled content, claims.

13 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 2022 Sections 4 and 5. 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.
PART 4: SFI 2022 FIBER SOURCING STANDARD, SFI 2022 CHAIN-OF-CUSTODY STANDARD AND SFI 2022 CERTIFIED SOURCING STANDARD — SFI DUE DILIGENCE SYSTEM FOR ASSESSMENT RISK OF SOURCING FROM CONTROVERSIAL SOURCES

The SFI due diligence system provides the framework for assessing the risk of sourcing from controversial sources, whether in the United States, Canada or offshore. Below are resources a Certified Organization can use to assist in addressing the elements of the controversial sources definition.

a. Forest activities that are not in compliance with applicable state, provincial, federal, or international laws — The United States and Canada have a strong legal framework which Certified Organizations must abide by. Furthermore, SFI has strong existing measures in the SFI 2022 Forest Management Standard, the SFI 2022 Fiber Sourcing Standard, the SFI 2022 Chain-of-Custody Standard, the SFI 2022 Certified Sourcing Standard, the SFI Small Lands Group Certification Module, and the SFI Small Scale Forest Management Module for Indigenous Peoples and Families to avoid illegal sources of supply.

When sourcing from countries outside the U.S. and Canada, Certified Organizations can refer to the latest Transparency International (TI) Corruption Perception Index (CPI). A score higher than 50 is considered low risk.

Certified Organizations shall also refer to SFI’s policy on illegal logging in SFI Section 8. This policy is specific to organizations that may harvest or trade wood fiber in violation of applicable laws and regulations in the country of harvest.

b. Forest activities that are contributing to regional declines in habitat conservation and species protection (including biodiversity and special sites, threatened and endangered species) — SFI has strong existing measures in the SFI 2020 Forest Management Standard and the SFI 2020 Fiber Sourcing Standard regarding conservation of biodiversity. The United States and Canada also have strong legal frameworks which Certified Organizations must abide by. Certified Organizations can refer to the latest Environmental Performance Index (EPI) Score of Biodiversity and Habitat of the country. A score higher than 50 is considered low risk.

c. Conversion sources originating from regions experiencing forest area decline — Regions with a net loss of forest area <1% over the most recent 10 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.

d. 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 that 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.

e. 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:

i. Domestic legal regimes that consider 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;

ii. Political or legal mechanisms for Indigenous Peoples 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

iii. Right or ability of Indigenous Peoples to organize and advocate through self-determined representative institutions.

g. Fiber sourced from areas without effective social laws — The United States and Canada have strong legal frameworks. 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. Refer to SFI’s Policy on Illegal Logging in SFI Section 8 Policies for more information.

h. Conflict Timber — The country/region has a been identified as having high intensity violent conflicts according to the Heidelberg Conflict Barometer or the Fragile States List.
i. Genetically modified trees via forest tree biotechnology — SFI has strong existing measures in the SFI Policy on Forest Tree Biotechnology located in SFI Section 8 Policies. SFI’s Policy on Forest Tree Biotechnology states, "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, which has restrictions on the use of genetically modified trees, the use of fiber from genetically modified trees via forest tree biotechnology is not approved for use in SFI-labeled products.

SFI realizes that much research is still being conducted to study the ecological cost benefits of genetically modified trees and regulations concerning forest tree biotechnology continue to evolve. As such research and regulations develop, SFI Inc. will review to understand the impacts of genetically modified trees from an ecological perspective and SFI will proactively review and update this policy as necessary."

SFI 2022 Chain of Custody Standard certified organizations outside the United States and Canada receiving fiber from primary producers must ensure all materials have been assessed as per the requirements of PEFC ST 2002:2020, Part 7 – Due Diligence System – requirements.

SFI 2022 Chain of Custody Standard primary producers that receives fiber direct from a forest within the scope of a valid PEFC forest management standard certificate outside the United States and Canada can accept this fiber as 100% PEFC Origin. The PEFC database will be consulted to verify the validity of the PEFC certificate and its scope.

When addressing the requirements for a due diligence system in clause 7.2.2, b., c. or d., in the SFI 2022 Chain of Custody Standard or the SFI 2022 Certified Sourcing Standard, the certified organization may do so using the SFI or PEFC due diligence systems requirements. The same applies for Indicator 11.1.2 b., c., or d., in the SFI 2022 Fiber Sourcing Standard.

PART 5: SFI AUDIT PROCEDURES

Certifying Multiple Forest Management Units or Fiber Procurement Operations
SFI recognizes that a Certified Organization might manage multiple forest management units/tenures and operate multiple manufacturing facilities. As such, a Certified Organization can choose which forest management units/tenures obtain SFI 2022 Forest Management certification. Isolated small forest management units for which the primary purpose is to buffer a manufacturing facility are not required to be certified to the SFI 2022 Forest Management Standard. These forest management buffer areas may include wood production as an additional goal, but not the primary goal, and activities in these buffer areas should reflect the commitment to SFI and be in compliance with the requirements of the SFI 2022 Fiber Sourcing Standard. Furthermore, only those manufacturing facilities that are sourcing from the wood and fiber supply area of the land units/tenures that are certified to the SFI 2022 Forest Management Standard are required to obtain SFI 2022 Fiber Sourcing Standard certification. Certified Organizations with multiple forest management units/tenures and multiple manufacturing facilities have two years to ensure certification to the respective SFI 2022 Standards.

Primary Producers with SFI Chain-of-Custody and SFI Fiber Sourcing Certification
1.2 Additional Requirements in the SFI 2022 Chain-of-Custody Standard, requires primary producers to conform to the SFI 2022 Fiber Sourcing Standard if they choose to get certified to the SFI 2022 Chain-of-Custody Standard.

However, we understand the work requirements needed to obtain a certification to the SFI 2022 Fiber Sourcing Standard, and given this work requirement, primary producers have two years to ensure certification to the SFI 2022 Fiber Sourcing Standard. This two-year time frame will allow the primary producer to meet immediate market demands, while working towards fiber sourcing certification.

Exemption from Chain-of-Custody Surveillance Audits
An SFI chain-of-custody Certified Organization can, upon receiving approval from their certification 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.
Certified Organizations established SFI Implementation Committees in 1995. SFI Implementation Committees are an integral part of SFI Inc. and play a vital role in maintaining the integrity of SFI, promoting training, education, and landowner outreach, and supporting and promoting responsible forestry at local levels. State, provincial, and regional SFI Implementation Committees are financially-autonomous committees reflecting significant geographic and organizational diversity. They involve a wide range of local community stakeholders.

The definition of SFI Implementation Committee in Section 14 of the SFI 2022: Standard and Rules is “A state, provincial, or regional committee organized by Certified Organizations to facilitate or manage the programs and alliances that support the growth of SFI, including sustainable forest management.”

All 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. Certified Organizations are required to participate in the committee where significant operations exist (i.e., majority of forestland owned and/or fiber procured). The expectation is that Certified Organizations with facilities within the scope of an SFI 2022 Fiber Sourcing Standard certificate will support all the SFI Implementation Committees in the regions, states, or provinces where they procure fiber. However, there may be regions, states, or provinces where a Certified Organization sources a de minimis amount of fiber for a given facility. In these situations, it is possible for a Certified Organization to meet the requirements of Performance Measure 6.2 of the SFI 2022 Fiber Sourcing Standard in the regions where the majority of the Certified Organization’s procurement occurs.

SFI Implementation Committees must submit the Annual Progress Report to SFI Inc. every year.

SFI Implementation Committees are governed by a governance document that was reviewed and updated for current relevance to SFI Inc. and to ensure consistency with the SFI 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 changes to SFI’s work.
PART 1: SFI POLICY ON ILLEGAL LOGGING 138
PART 2: SFI POLICY ON GENETICALLY MODIFIED TREES VIA FOREST TREE BIOTECHNOLOGY 138
PART 3: SFI POLICY ON REPUTATIONAL RISK 139
PART 1: SFI POLICY ON ILLEGAL LOGGING

SFI has strong existing measures in the SFI 2022 Forest Management Standard, the SFI 2022 Fiber Sourcing Standard, the SFI 2022 Chain-of-Custody Standard, the SFI 2022 Certified Sourcing Standard, the SFI Small Lands Group Certification Module, and the SFI Small Scale Forest Management Module for Indigenous Peoples and Families to avoid illegal sources of supply. This appendix covers the issue as to whether an organization can certify one operation to the SFI 2022 Fiber Sourcing Standard, the SFI 2022 Chain-of-Custody Standard (Section 4) or SFI 2022 Certified Sourcing Standard (Section 5), the SFI Small Lands Group Certification Module or the SFI Small Scale Forest Management Module for Indigenous Peoples and Families in the SFI requirements document, while another operation controlled by the company is engaged in illegal logging. This is an evolving issue and as international laws, regulations, agreements, treaties, and definitions of illegal logging change, SFI Inc. will review and update the language as necessary.

A. SFI Inc. will not license any person or entity to use SFI’s trademarks or labels, and SFI may revoke any license previously granted, if the proposed licensee or an Affiliate of the licensee has been found to have engaged in illegal logging by a government authority in the jurisdiction where the logging occurred, 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.

C. Any person or entity whose application for an SFI license has been denied or whose license has been revoked pursuant to this section may reapply for a license upon a showing that any past illegal logging has been stopped, that appropriate actions have been taken to prevent it from recurring, and that the proposed licensee and its Affiliates do not knowingly engage in illegal logging. Such showing shall be supported by a third-party audit conducted by an SFI certification body accredited to conduct 2022 SFI Standard certifications and shall include local expertise as part of the audit team.

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 Floral 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.
- “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 GENETICALLY MODIFIED TREES VIA FOREST TREE BIOTECHNOLOGY

The SFI Board of Directors reapproved the SFI policy on forest tree biotechnology on April 15, 2021. The original policy stated SFI will proactively review and update the policy as necessary. The use of genetically modified organisms is an evolving issue and as federal and international laws, regulations, agreements, treaties and marketplace recognition of the use of genetically modified trees via forest tree biotechnology change, SFI Inc. will continue to proactively review and update the SFI 2022 Standards and Rules language and this policy as necessary.

A. SFI Inc. recognizes that genetically modified trees via 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 trees are not approved for commercial planting in the United States and Canada and, even if approved in the future, it will take many years for fiber from genetically modified trees to reach manufacturing facilities.

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1 As 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.
3 This enables SFI to take action against a company that is known to engage in a pattern of illegal logging, but that has NOT been subject to government enforcement actions (perhaps because the local government is corrupt or ineffective). The SFI Board would need to make the factual determinations based on the best evidence available to it. No audit of overseas operations is required unless and until such a finding is made.
4 The audit shall cover all operations in all jurisdictions where the illegal logging occurred.
5 As approved by the SFI Board of Directors April 15, 2021.
C. *SFI Inc.* realizes that much research is still being conducted to study the ecological cost benefits of genetically modified trees and regulations concerning forest tree biotechnology continue to evolve. *SFI Inc.* allows research on genetically modified trees via forest tree biotechnology and Certified Organizations 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. As such research and regulations develop, *SFI Inc.* will review to understand the impacts of genetically modified trees from an ecological perspective.

D. *SFI Inc.* is endorsed by the Program for the Endorsement of Forest Certification ([www.pefc.org](http://www.pefc.org)) which has restrictions on the use of genetically modified trees until December 31, 2022:

> “Genetically-modified trees shall not be used.”

*Note: The restriction on the usage of genetically modified trees has been adopted based on the Precautionary Principle. Until enough scientific data on genetically modified trees indicates that impacts on human and animal health and the environment are equivalent to, or more positive than, those presented by trees genetically improved by traditional methods, no genetically modified trees will be used.*

*Note: The policy on the exclusion of material from genetically modified forest based organisms remains in force until 31 December 2022.*

E. Given the issues identified in item (b) regarding legal approval and lack of commercialization and in item (d) regarding PEFC requirements for endorsement of the SFI program, the use of fiber from genetically modified trees via forest tree biotechnology is not approved for use in SFI labeled products.

F. *SFI Inc.* will proactively review and update the SFI 2022 Standard and Rules language and this policy as necessary.

### PART 3: SFI POLICY ON REPUTATIONAL RISK

To ensure the integrity of the SFI program, SFI seeks to ensure that organizations that apply to become certified to SFI Standards or to use the SFI Labels are aligned with SFI’s strategic mission and vision:

**Mission:** To advance sustainability through forest-focused collaboration

**Vision:** A world that values and benefits from sustainably managed forests

As such, this policy addresses SFI’s consideration of new applicants to become certified to the SFI Standards, or to use the SFI Labels. This policy applies only to applicants that have no current SFI certification or label use agreement; it does not apply to SFI-certified organizations or licensees who apply for additional certifications or label use.

A. Applicants who seek to have their operations certified to the SFI Standards and are engaged in activities that are not in alignment with SFI’s strategic vision and mission, which could bring reputational risk to the SFI program, must demonstrate how and when these activities will be resolved. *SFI Inc.* will review the relevant documentation demonstrating resolution prior to making the decision to approve or deny the application.

B. Applicants who seek to have their operations certified to the SFI Standards, and are the subject of, or are engaged in, an ongoing legal process which could bring reputational risk to the SFI program, must demonstrate that this legal process has concluded. *SFI Inc.* will then review the relevant documentation demonstrating resolution prior to making the decision to approve or deny the application.

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6 PEFC ST 1003:2018, Sustainable Forest Management-Requirements, 8.4.7.
7 Approved by the SFI Inc. Board of Directors December 9, 2021
SFI 2022 Standards have been developed using an open, transparent, consultative, and consensus-based process that included a broad range of stakeholders. The 2022 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.
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.
iii. PEFC GD 1007, Endorsement and Mutual Recognition of Certification Systems and their Revision

1.2 SFI STANDARDS-SETTING PRINCIPLES
SFI Inc. is organized and operated for charitable and educational purposes within the meaning of Section 501(c)(3) of the Internal Revenue Code of 1986, as amended (or the corresponding provision of any future United States Internal Revenue Code), as stated in the Articles of Incorporation, to ensure the environmental, social, and economic sustainable development of the nation’s forests, for the benefit of public and private stakeholders. SFI Inc. has sole responsibility for all activities necessary for the development, maintenance, implementation, promotion, and continual improvement of the Sustainable Forestry Initiative® standards.

i. The standards-setting process is governed by the key principles of: 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 the SFI website or publicly available so interested parties can follow developments during and after the process.

1.3 ROLES AND RESPONSIBILITIES

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

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

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

1.3.2 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.

1.3.3 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®) while contributing to quality assurance and continuous improvement. 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. Its membership maintains a balance of technical skills and organizational experience, with members from each of the following categories — environmental/conservation groups, professional/academic groups, and public agencies (local, state, provincial, Indigenous or federal governments). Panel members can come from universities,
1.3.4 **Standard Revision Task Groups**

The **SFI** Standard Revision Task Group prepares the first and subsequent drafts of the revised **SFI** standards for review by the **SFI** Resources Committee and ultimate approval of the **SFI Inc.** Board of Directors. The Task Group is established for the duration of the standard revision until completion in 2021. There are three Task Groups: Forest Management, Fiber Sourcing and Chain of Custody & Labels.

The **SFI** Standard Revision Task Group membership will be based on nominations received. Acceptance and refusal of nominations shall be justified in relation to the requirements for balanced representation of the Task Groups, considerations of an appropriate gender balance, relevance of the organization, an individual’s competence, an individual’s relevant experience and resources available for standard-setting. For the 2022 **SFI** Standards revision process all task group nominations received were accepted.

Under the direction of the respective Task Group Chairs, the Task Groups shall review all submitted comments from the first and second public comment periods and Standard Revision Workshops and webinars that correspond to each task group’s focus area. The Task Groups will then prepare revised Standards text (first and subsequent drafts) for review by the **SFI** Resources Committee, incorporating their feedback as required.

To ensure a balanced representation of interests, the Task Groups shall:

a. consist of the following interest groups:
   - Forest owner/manager
   - Manufacturer/processor/trader of forest-based products
   - **Conservation** organization
   - Customers & consumers
   - Scientific and technological community
   - Logging professionals
   - Workers & trade unions
   - **Indigenous Peoples**
   - Government
   - Education/academic group
   - Social-purpose organization

b. include **stakeholders** with expertise relevant to the subject matter of the standard, those that affected by the standard, represent the geographical scope of the standard and those that can influence implementation of the standard.

In order to achieve balanced representation, to the extent possible, all identified **stakeholder groups** are represented. Participation targets of key **stakeholders** will be set and **SFI Inc.** will proactively seek their participation by using outreach such as (but not limited to) personal emails, phone calls, meeting invitations etc. When a **stakeholder** group is not represented and key **stakeholders** cannot be encouraged to participate, **SFI Inc.** may consider alternative options.

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.

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.
Where votes are used in decision-making, 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:

a. finding a compromise through discussion and negotiation on the disputed issue within the task 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. SFI Inc. determines the scope and duration of any additional public consultation.

1.4 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 consensus-based and SFI Inc. Board decisions regarding final changes to the SFI standards shall be consistent with PEFC ST 1001: 2017 for consensus-based decision making. The SFI standards review setting process shall begin with a public notice to all stakeholders prior to the start of the process. This announcement will include the end date of the review process and the effective date for the new standards. The start of the review process will be within five years of the SFI Board approval date of the current SFI Standards and Rules (April 15, 2021) and 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.

At the start of a review, SFI Inc. will evaluate the standards 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. For the development of a new standard SFI will develop a standard proposal document that includes:

i. the scope of the standard,
ii. justification of the need for the standard,
iii. description of the intended outcomes,
iv. assessment of potential negative impacts arising from implementing the standard, such as:
   a. factors that could negatively affect the achievement of the outcomes,
   b. unintended consequences of implementation,
   c. actions to address the identified risks, and
v. description of the stages of standard development and their expected timetable.

For a revision of a standard, SFI will develop a proposal that includes the scope of the standard and a description of the stages of the standards revision process.

SFI Inc. will initiate the periodic standard review process regardless of the information gathered from the gap analysis. Using the results from the periodic review, the SFI Board will direct whether a standard revision is warranted. If there is a circumstance whereby a need to revise the standard is not warranted, SFI Inc. will follow the requirements in PEFC ST 1001:2017, Sections 8.4 and 8.5 regarding stakeholder consultation and decision making. A stakeholder mapping exercise will be used to identify which interest sectors — both public and private — are relevant (environmental, economic, social) including stakeholders who may not be able to participate by conventional means and what means of communications will best reach each stakeholder group. This mapping exercise will be done at the beginning of each standard review process and will define who the stakeholders are and what is necessary to ensure all can participate in the process if they so choose. The stakeholder 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:

1 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).

2 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.

3 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.
- forest owners;
- business and industry;
- Indigenous Peoples;
- 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.

The process shall include an initial 30-day public comment period (the enquiry draft), and a second 60-day public comment period (the working draft). The announcement of the 60-day comment period shall include the start and the end date, shall be posted to the SFI website before the start date, and shall be communicated by e-mail to SFI stakeholders identified by the SFI. A final draft shall be sent to the SFI Board of at least 45 days in advance of their meeting as per SFI Inc. by-laws.

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 SFI. The SFI standards review process shall be conducted on a national level in Canada and in the United States. Stakeholders, including disadvantaged and key stakeholders and those from the environmental community, forest products industry, private forest landowners, customers, local and federal government agencies, Indigenous organizations, trade associations, landowner associations, academia and all other stakeholders shall be invited to participate in the review process. The announcement of the start of the standards revision 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. SFI Inc. will review the standards and standard-setting process based on feedback received during the public comment periods.

The SFI 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. The Task Groups established by the Resources Committee may forward multiple recommended options to the Resources Committee. 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 of Director bylaws. 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 (the working draft) to the SFI standards shall be released and published to the SFI website, followed by an additional 60-day public comment period to allow all stakeholders an opportunity to provide additional comments regarding proposed changes.

This draft will also be presented and discussed with Certified Organizations and all other stakeholders at regional workshops conducted by SFI Inc. throughout the U.S. and Canada or via webinars. All stakeholders who have commented on proposed changes or who have proposed changes to the SFI standards shall use this opportunity to raise any concerns regarding their comments and the manner in which the SFI standards revision 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 SFI External Review Panel (ERP) Secretariat for review. The ERP shall acknowledge receipt of all complaints, gather and verify all necessary information to validate the complaint or appeal and impartially and objectively review all complaints and provide feedback to the Resources Committee regarding complaints where additional review and potential action by the Resources Committee is warranted. Once resolved, the decision on the complaint and the complaint process shall be communicated to the complainant.

The final draft of the proposed changes to the SFI standards shall be delivered to the SFI Inc. Board of Directors who will meet 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.

4 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 task groups.
Upon completion of the SFI Board 45-day advance review period the SFI standards shall be finalized and approved by the SFI Board and published to the SFI website. When approved standards are launched, they shall be posted to the SFI website with the effective date, a contact name and the address for SFI Inc. as the standard setting organization. The date of the start of the next periodic review of the standard will be posted to the SFI website. All Certified Organizations have one year to fully implement new and revised SFI standards elements adopted by the SFI Board of Directors. For PEFC endorsed standards, Certified Organizations shall have one year from the date of the SFI standards launch to fully implement the new and revised SFI standard requirements.

SFI Inc. 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 revision 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 stakeholders and may incur a minimal charge to cover printing and shipping costs. The standards will be published in English and may be translated into other languages; if there are inconsistencies, the English version of the standard is the reference.
### Part 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)

<table>
<thead>
<tr>
<th>Step</th>
<th>2019</th>
<th>2020</th>
<th>2021</th>
<th>2022</th>
</tr>
</thead>
<tbody>
<tr>
<td>Stakeholder mapping exercise conducted, review process, areas of</td>
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<td></td>
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<tr>
<td>focus, and timeline published on SFI Inc. website</td>
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<tr>
<td>Invites to stakeholders sent to volunteer on a SFI standards revision</td>
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<tr>
<td>Task Group</td>
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<tr>
<td>30-day public comment period begins — open to all stakeholders</td>
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<tr>
<td>First open standard revision workshop at SFI Annual Conference</td>
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<tr>
<td>SFI Inc. Staff synthesize comments for standards revision Task</td>
<td></td>
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<tr>
<td>Groups</td>
<td></td>
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<tr>
<td>Standards revision Task Groups meet and prepare first draft</td>
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<tr>
<td>SFI Resources Committee reviews first draft of SFI standards</td>
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<tr>
<td>incorporating work of the Task Groups</td>
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<tr>
<td>SFI Inc. Board meeting to review first draft</td>
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<tr>
<td>Post comments from the first review period and their disposition,</td>
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<tr>
<td>publish any complaints and their status/resolution</td>
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<tr>
<td>Second (final) comment period begins for 60 days — open to all</td>
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<tr>
<td>stakeholders</td>
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<tr>
<td>Regional review workshops/webinars — open to all stakeholders</td>
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<td></td>
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<tr>
<td>SFI Inc. Staff synthesize comments for standards revision Task</td>
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<tr>
<td>Groups</td>
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<tr>
<td>Standards revision Task Groups meet and prepare second draft</td>
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<tr>
<td>SFI Resources Committee reviews second draft of SFI standards</td>
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<tr>
<td>incorporating work of the Task Groups</td>
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<tr>
<td>SFI Board updated on key changes in the second draft of the SFI</td>
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<tr>
<td>standards</td>
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<tr>
<td>Task Groups work on final draft of SFI revised standards</td>
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<tr>
<td>Board reviews draft SFI standards</td>
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</tbody>
</table>
### PART 3: SFI STANDARDS REVISION PROCESS TABLE 2

<table>
<thead>
<tr>
<th>Duration (in months) and order of the steps in the SFI Standards Revision Process (Table 2 of 2) (Process Jan 2021-Jan 2022)</th>
<th>2019</th>
<th>2020</th>
<th>2021</th>
<th>2022</th>
<th>2026</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Pre-Oct</strong></td>
<td></td>
<td></td>
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<td></td>
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</tr>
<tr>
<td>Re-convene standards revision Task Groups and SFI Resources Committee for any relevant discussion</td>
<td></td>
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<tr>
<td>Resources Committee reviews final draft standards prior to Board review</td>
<td></td>
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<tr>
<td>Final draft to SFI Board for 45-day advanced notice period per <em>SFI Inc.</em> bylaws</td>
<td></td>
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<tr>
<td>SFI standards approved by the <em>SFI Inc.</em> Board of Directors</td>
<td></td>
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<tr>
<td>Assessment process for PEFC endorsement</td>
<td></td>
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<tr>
<td>New standards published to <em>SFI Inc</em> website. <em>SFI Inc.</em> announces new SFI standards broadly via e-mails and press releases; effective date to begin implementation is January</td>
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<tr>
<td>All SFI Certified Organizations required to conform to provisions in new SFI standards December 31, 2022.</td>
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<tr>
<td>Start of next Standards review period – April 15, 2026</td>
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</tbody>
</table>

### PART 4: INTERPRETATIONS

From time to time, a formal process may be needed to interpret the *SFI* standards and supporting documents. As part of *SFI Inc.*’s commitment to continual improvement of both the *SFI* certification process and the *SFI* standards, such concerns shall be submitted promptly to the *SFI Inc.* Interpretations Committee by contacting staff at *SFI Inc.* The *SFI Inc.* Interpretations Committee shall respond within 45 days of receipt.

It is neither the intent nor the responsibility of the *SFI Inc.* Interpretations Committee to resolve disputes arising through certification; nevertheless, the committee will provide opinions and direction to assist parties in answering interpretive questions. Through this process, *SFI* shall maintain a record of opinions and concerns available to both *Certified Organizations* 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 2022 AUDIT PROCEDURES AND AUDITOR QUALIFICATIONS AND ACCREDITATION

SECTION 10

forests.org
All certification, recertification, and surveillance audits to SFI 2022 Sections 2, 3, 4, and 5, the SFI Small Lands Group Certification Module and the SFI Small Scale Forest Management Module for Indigenous Peoples and Families in the SFI 2022 Standards and Rules document shall be conducted by certification bodies accredited by the ANSI National Accreditation Board (ANAB) or the Standards Council of Canada (SCC) to conduct SFI certification. Accreditation bodies accrediting certification bodies for audits to SFI 2022 Sections 2, 3, 4, and 5, the SFI Small Lands Group Certification Module and the SFI Small Scale Forest Management Module for Indigenous Peoples and Families in the SFI 2022 Standards and Rules shall be International Accreditation Forum (IAF) Multilateral Recognition Arrangement signatories.

Information related to the accreditation process can be found on the websites of the ANSI National Accreditation Board and the Standards Council of Canada.

Accredited certification bodies that provide certification services for SFI 2022 Sections 2 and 3 and the SFI Small Lands Group Certification Module and the SFI Small Scale Forest Management Module for Indigenous Peoples and Families are required to maintain audit processes and conduct audits consistent with the requirements of the current version of:

- International Organization for Standardization ISO/IEC 17021-1 (Conformity assessment — Requirements for bodies providing audit and certification of management systems; and
- ISO/IEC TS 17021-2 (Competence requirements for auditing and certification of environmental management systems).

Accredited certification bodies that provide certification services for SFI 2022 Sections 4 and Section 5 are required to maintain audit processes and conduct audits consistent with the requirements of the current version of ISO/IEC 17065 (Conformity assessment — Requirements for bodies certifying products, processes and services).

ISO is a worldwide federation of national standards bodies. The preparation of International Standards is conducted by ISO technical committees.

The ISO/IEC 17021-1, ISO/IEC TS 17021-2 and ISO/IEC 17065 standards were prepared by the ISO Committee on Conformity Assessment (CASCO).

PART 1: SCOPE

This SFI Audit Procedures and Auditor Qualification and Accreditation document is intended to support, but not replace the audit process requirements contained in ISO/IEC 17021-1, ISO/IEC 17021-2 and ISO/IEC 17065, by providing specific requirements to 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 Standards Sections 2, 3,4, and 5, the SFI Small Lands Group Certification Module or the SFI Small Scale Forest Management Module for Indigenous Peoples and Families.

When designing and implementing a program to evaluate conformance with the SFI 2022 Forest Management Standard, SFI 2022 Fiber Sourcing Standard, the SFI Small Lands Group Certification Module or the SFI Small Scale Forest Management Module for Indigenous Peoples and Families, Certified Organizations should reference ISO 19011 Guidelines for auditing management systems.

Certification bodies accredited for the 2022 SFI Chain of Custody Standard shall also conform to the requirements of PEFC ST 2003-2020.

PART 2: NORMATIVE REFERENCE

Certification bodies and auditors conducting third-party audits to SFI Sections 2 and 3 and the SFI Small Lands Group Certification Module and the SFI Small Scale Forest Management Module for Indigenous Peoples and Families in the SFI 2022 Standards and Rules document must conform to the requirements of ISO/IEC 17021-1 and ISO/IEC TS 17021-2, while those conducting third-party audits to SFI 2022 Section 4 and Section 5 must conform to the requirements of ISO/IEC 17065. In addition, all certification bodies and auditors conducting third-party audits to SFI 2022 Sections 2, 3, 4, 5 or the SFI Small Lands Group Certification Module and the SFI Small Scale Forest Management Module for Indigenous Peoples and Families in the SFI 2022 Standards and Rules document must conform to all applicable ANAB or SCC requirements and International Accreditation Forum (IAF) Mandatory Documents (e.g., IAF MD 1, IAF MD 2, IAF MD 4, IAF MD 5, IAF MD 11, etc.).

PART 3: TERMS AND DEFINITIONS

Definitions of terms can be found in the Section 14 SFI Definitions of the SFI 2022 Standards and Rules document.
PART 4: PROCEDURES FOR IMPLEMENTING THE PRINCIPLES FOR SFI AUDITING

ISO/IEC 17021-1 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. 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 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.

PART 5: SFI AUDIT ACTIVITIES

5.1 INITIAL CERTIFICATION

For the initial certification audit to be completed, the auditee must be a Certified Organization or be in the process of becoming one in which case the final certification decision is conditioned on becoming a Certified Organization. The SFI 2022 certificate(s), Forest Management Standard, Fiber Sourcing Standard, Chain-of-Custody Standard, Certified Sourcing Standard, the SFI Small Lands Group Certification Module or the SFI Small Scale Forest Management Module for Indigenous Peoples and Families cannot be issued by the certification body until the applicant has become a Certified Organization. It should be noted that the SFI 2022 Standards and Rules is a publicly available document and, as such, anyone who wants to can offer their opinion on an organization’s conformance to it. However, because “Sustainable Forestry Initiative” and “SFI” are registered service marks, an entity would infringe on this ownership in violation of the federal intellectual property laws if they were to use the service marks in a public claim about the opinion without becoming a Certified Organization.

5.2 CERTIFICATION OF MULTIPLE SITES

ISO/IEC 17021-1 clause 9.1.5 specifies that where multi-site sampling is utilized for the audit of a organization’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 organization.

International Accreditation Forum Mandatory Document 1 (IAF MD 1) provides mandatory guidance for the consistent application of ISO/IEC 17021-1 Clause 9.1.5 that is subject to the specific requirements of relevant standards.

Within the context of the SFI 2022 Sections 2, 3, 4, 5, the SFI Small Lands Group Certification Module or the SFI Small Scale Forest Management Module for Indigenous Peoples and Families of the SFI 2022 Standards and specific risks associated with certification of forestry operations, certification bodies may apply alternative sampling approaches to IAF MD 1.

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 10 in the SFI 2022 Standards and Rules document.

5.3 SUBSTITUTION AND MODIFICATION OF SFI 2022 SECTIONS 2 AND 3 STANDARD INDICATORS

Certified Organizations, with consent of the certification body, may substitute or modify indicators in SFI 2022 Section 2 Forest Management Standard and SFI 2022 Section 3 Fiber Sourcing Standard 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 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 Certified Organization’s scope of operation.
5.4 DETERMINATION OF CONFORMANCE

5.4.1 The certification body shall assess conformance to each element of the SFI 2022 Sections 2, 3, 4, 5 Standards, the SFI Small Lands Group Certification Module and the SFI Small Scale Forest Management Module for Indigenous Peoples and Families, objectives, performance measures and indicators within the scope of the audit. SFI 2022 Standards elements are objectives, performance measures and indicators. The introduction (Section 1) to the SFI 2022 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 Forest Management Standard, the SFI 2022 Fiber Sourcing Standard, the SFI Small Lands Group Certification Module and the SFI Small Scale Forest Management Module for Indigenous Peoples and Families.

5.4.2 The certification body shall assess conformance to each element of the SFI 2022 Chain-of-Custody Standard and SFI 2022 Certified Sourcing Standard requirements within the scope of the audit.

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 Standards Sections 2 and 3, the SFI Small Lands Group Certification Module or the SFI Small Scale Forest Management Module for Indigenous Peoples and Families programs conform to SFI principles, policies, objectives, performance measures, indicators, and any additional indicators that the Certified Organization chooses; and
- verify whether the Certified Organization has effectively implemented its SFI 2022 Standards Sections 2 and 3 program requirements on the ground and/or implemented the SFI Section 4, and 5 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. For major nonconformities identified at surveillance, the certification body must verify implementation of the corrective action(s) within 90 days. 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 audit.

For initial audits to the SFI 2022 Chain-of-Custody Standard or SFI 2022 Certified Sourcing Standard, a non-conformity found during the audit will prevent the issue of the certificate until the certification body verifies that the corrective action is effectively implemented, in accordance with ISO/IEC 17065.

5.5 SFI TECHNICAL AUDIT REPORT TO THE CERTIFIED ORGANIZATION

ISO/IEC 17021-1 at clause 9.4.8 addresses audit report contents. In addition, the SFI audit report to the Certified Organization 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 (SFI 2022 Forest Management Standard, SFI 2022 Fiber Sourcing Standard);
- f. description of the Certification Organization’s chain of custody program (SFI 2022 Chain of Custody Standard);
- g. a schedule for surveillance and recertification;
- h. any specific focus areas for the next audit visit.

See Section 11 in the SFI 2022 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 Standard certificates, Certified Organizations shall recertify their programs to the SFI 2022 Sections 2, 3, 4, and 5 Standards, the SFI Small Lands Group Certification Module or the SFI Small Scale Forest Management Module for Indigenous Peoples and Families every five years.

5.7  TRANSFERAL OF CERTIFIED LANDS OR FACILITIES

When one Certified Organization acquires the certified forest land or facilities of another Certified Organization, 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 Certified Organizations notify their respective certification body as soon as possible when forestland and or facilities are being purchased or sold to ensure that lapses in certification status can be eliminated or minimized. Refer to IAF MD-02 for more information.

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

a. The parties involved request this grace period in writing prior to the transfer of the assets with documentation confirming that there will not be significant variation in the current operations, environmental management systems, personnel, etc. during the transfer.

b. The party receiving the assets must provide documentation demonstrating the timeline for obtaining their new SFI certification from an accredited certification body.

c. The party desiring to utilize the SFI product labels must be in full conformance with SFI 2022 Sections 2, 3, 4, 5, 6, the SFI Small Lands Group Certification Module or the SFI Small Scale Forest Management Module for Indigenous Peoples and Families of the SFI 2022 Standards and Rules.

PART 6:  COMPETENCE AND EVALUATION OF CERTIFICATION BODIES

6.1  COMPETENCE OF AUDIT TEAMS

Audit teams shall have the competence (knowledge and skills) to conduct an audit in accordance with the principles of auditing.

For audits of SFI 2022 Sections 2 and 3 and audits of the SFI Small Lands Group Certification Module or the SFI Small Scale Forest Management Module for Indigenous Peoples and Families, the certification body shall select audit team members appropriate to the scope, scale and geography of the operation being audited. Additionally, at least one member of the audit team shall have knowledge of forestry operations in the region undergoing the audit, at least one member shall have knowledge of applicable laws and regulations, at least one member shall have knowledge of the socio-demographics and cultural issues in the region, and at least one member shall be a professional forester as defined by the Society of American Foresters (SAF), the Canadian Institute of Forestry (CIF-IFC), or licensed or registered by the state(s) or province(s) in which the certification is conducted where applicable. For forest management audits, the audit team shall have expertise that includes plant and wildlife ecology, silviculture, forest modeling, forest operations, occupational safety and health, international labor standards, and hydrology. One specialist per discipline is not required to meet any of the above requirements. It is possible to have all the necessary competencies in a single auditor.

6.2  COMPETENCE OF AUDITORS

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

In addition to the competence requirements contained in ISO/IEC 17021-1 and ISO/IEC 17021-2 and ISO/IEC 19011, for certifications to the SFI 2022 Standards, audit team members shall have the education, formal training and experience that promote competency in and comprehension of:

a. forestry operations as they relate to natural resource management, including wildlife, fisheries, recreation, ecology, etc.;

b. international and domestic sustainable forestry management systems and performance standards including occupational safety and health, and labor standards; and

c. certification requirements related to SFI 2022 Standards.

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 Standards.

An auditor who maintains Society of American Forester - 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.

PART 7: ACCREDITATION OF CERTIFICATION BODIES

SFI requires certification bodies to be accredited in order to conduct SFI 2022 Standards certifications and issue certificates.

7.1 CERTIFICATION BODY

An independent third party that is accredited by:

a. ANSI National Accreditation Board (ANAB) as being competent to conduct certifications to the SFI 2022 Standards Sections 2, 3, 4, and 5, the SFI Small Lands Group Certification Module or the SFI Small Scale Forest Management Module for Indigenous Peoples and Families.

b. Standards Council of Canada (SCC) as being competent to conduct certifications to the SFI 2022 Standards Sections 2, 3, 4, and 5, the SFI Small Lands Group Certification Module or the SFI Small Scale Forest Management Module for Indigenous Peoples and Families.
Multi-site Certified 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 5.2 of the SFI Section 10 — 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.

**PART 1: SCOPE**

Audits of multi-site Certified 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 2022 Chain-of-Custody Standard
iv. Section 5 — SFI 2022 Certified Sourcing Standard
v. SFI Small Lands Group Certification Module
vi. SFI Small Scale Forest Management Module for Indigenous Peoples and Families

**3.1 ELIGIBILITY CRITERIA FOR MULTI-SITE ORGANIZATIONS**

3.1.1 Multi-site Certified Organizations using IAF MD1, Clause 6.1 as the basis for sampling shall also ensure the following eligibility criteria are established:

a. The processes at all sites have to be substantially of the same kind and have to be operated to similar methods and procedures under a single management system.

b. The Certified Organization’s management system shall be under a centrally controlled and administered plan/processes and be subject to central management review and all relative sites (including the central administration function) shall be subject to the Certified Organization’s internal audit program.

c. It shall be demonstrated that the central office of the Certified Organization has established a management system in accordance with the SFI 2022 Standards and that the whole organization meets the requirements of the standard.

d. The Certified Organization should demonstrate its ability to collect and analyze data (including but not limited to the items listed below) from all sites including the central office and its authority and also demonstrate its authority and ability to initiate organizational change if required:

i. System documentation and system changes;

ii. Management review;

iii. Complaints;

iv. Evaluation of corrective actions;

v. Internal audit planning and evaluation of the results; and

vi. Different legal requirements.

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1 As per the requirements in SFI 2022 Section 2 – Objective 17; SFI 2022 Section 3 – Objective 10; SFI 2022 Section 4 – Part 8.6 or Section 5 – Part 8.6
3.1.2 A central function\(^2\) shall be established that shall:

a. represent the multi-site Certified 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 Certified 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 Certified 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 Certified 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 Certified Organization, including, for the SFI 2022 Forest Management Standard, the forest area associated with each participating site;
k. maintain an internal audit or monitoring program sufficient to ensure overall organizational conformance with the relevant standard;
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 Certified Organization including a 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.

3.1.3 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 cooperation and assistance in respect of the satisfactory completion of internal audits, reviews, monitoring, relevant routine enquiries, or corrective actions; and

3.1.4 Multi-Site Certified Organizations using alternate approaches to sampling provided for in Section 10, clause 5.2 Certification of Multiple Sites of the Audit Procedures and Auditor Qualifications and Accreditation document shall meet all the eligibility requirements specified in Section 10, Appendix 1, clause 3.1.1 — 3.1.3 above. 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 2022 Standards across all 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.

3.2 SAMPLING APPROACHES

3.2.1 Certification bodies auditing multi-site Certified Organizations using IAF MD1 as the basis for sampling shall meet the sample selection and intensity criteria established in IAF MD1, Clause 6.1.

\(^2\) The central function comprises the system of processes and procedures necessary to manage the multi-site Certified Organization and is not a physical location.

\(^3\) 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.
3.2.2 Certification bodies auditing multi-site Certified 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;\(^4\)\(^5\)

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 Certified Organizations 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 audits\(^6\)
   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 Certified Organizations does not maintain an internal audit program determined to be reliable the minimum sample size shall in no event be less than \(\sqrt{n}\) for initial certifications, surveillance audits and re-certification audits; and

g. in addition to site audits, the central function shall be audited on an annual basis.\(^7\)

3.3 AUDIT SCOPE

3.3.1 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 2022 Sections 2, 3, 4, and 5, the SFI Small Lands Group Certification Module or the SFI Small Scale Forest Management Module for Indigenous Peoples and Families of the SFI 2022 Standards and Rules document.

- Every five years for re-certification audits of conformance with the SFI 2022 Section 2, 3, 4, and 5, the SFI Small Lands Group Certification Module or the SFI Small Scale Forest Management Module for Indigenous Peoples and Families of the SFI 2022 Standards and Rules.

3.4 AUDIT DURATION

3.4.1 In determining the overall duration of multi-site audits the underlying objective is to maintain at least the same level of confidence that would be achieved under IAF MD1. When calculating audit days, consideration should be given to the general principles guiding audit time calculations outlined in ISO/IEC 17021-1 Section 9.1.4 Determining audit time, IAF-MD5 and IAF MD11 (for audits of integrated management systems).

3.5 NONCONFORMITIES

3.5.1 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.

3.5.2 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.

3.5.3 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.\(^8\)

3.6 AUDIT REPORTING

3.6.1 At a minimum, the certification body shall prepare a technical audit report that addresses the multi-site Certified Organizations as a whole. Individual site level reports may be developed to summarize site-level findings but do not eliminate the need for an organization level report.

\(^4\) For example in a multi-site Certified 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 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.

\(^5\) 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.

\(^6\) Auditing of the central function will be primarily based on interviews, document and record review and may be conducted through any combination of off-site audit activities, additional activities carried out through electronic record access at individual sites or visits to the central office as appropriate.

\(^7\) Where \(n\) = the number of sites within the stratum.

\(^8\) For example, where Operation A has a minor nonconformity raised in 2022, it will be necessary to close this out in 2023 regardless of whether Operation A was scheduled to be one of the sites sampled in 2023. As a result, the sampling strategy will need to include a process for closing out open site-level nonconformities.
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 they are within the scope of the certificate. The number of sites that may be added between audits is limited to 100% of the existing sites at the previous audit. The following requirements shall be met:

a. the certification body shall be informed by the certified organization in advance of its intent to add new sites between audits, including the number of sites to be added;

b. the certification body shall obtain from the certified organization the system procedures covering the additional sites, including the products covered by the scope of the certificate;

c. the certification body shall obtain the internal audit report for the site(s) being considered for inclusion in the certificate;

d. the certification body shall review results of the internal audit and determine if additional information is needed while considering the request of the certified organization;

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 cases where remote audits are permitted, the on-site audit can be replaced by a remote audit provided:
   i. audit of certified 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. certified organization that operate with physical possession but have not sold any physical product with a SFI claim since the previous audit, are not eligible to be audited remotely according to this requirement.

Certification Bodies should reference to SFI Section 7 – Guidance: Guidance for the Use of Remote Auditing Techniques for SFI Audits

PART 4: COMPETENCE AND EVALUATION OF CERTIFICATION BODIES

4.1 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.

PART 5: PUBLIC COMMUNICATION AND CLAIMS REGARDING MULTI-SITE CERTIFICATES

5.1 For audits of the SFI 2022 Section 2 and Section 3, the SFI Small Lands Group Certification Module or the SFI Small Scale Forest Management Module for Indigenous Peoples and Families requirements, certification bodies shall prepare a summary audit report that, in addition to the requirements of SFI Communications and Public Reporting (Section 11) in the SFI 2022 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.

5.2 Certificates issued to multi-site certified 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.

PART 6: OFFICIAL COMPLAINTS

6.1 In assessing the validity of complaints raised in relation to a specific site within a multi site certified organizations, certification bodies shall investigate the complaint at the site level and (where relevant) at the organizational level.9

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9 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 certified organization shall also be considered.
PART 1: SCOPE

Audits of group certification organizations to assess conformance with:

i. Section 2 — SFI 2022 Forest Management Standard
ii. Section 3 — SFI 2022 Fiber Sourcing Standard
iii. Section 4 — SFI 2022 Chain-of-Custody Standard
iv. Section 5 — SFI 2022 Certified Sourcing Standard
v. SFI Small Lands Group Certification Module
vi. SFI Small Scale Forest Management Module for Indigenous Peoples and Families

PART 2: REFERENCES


PART 3: GROUP CERTIFICATION ORGANIZATIONS

3.1 GENERAL

Group certification organizations formed to achieve SFI 2022 Standards certification shall meet the requirements in this Appendix. Forest management group certification organizations formed to achieve SFI 2022 Forest Management Standard, the SFI Small Lands Group Certification Module or the SFI Small Scale Forest Management Module for Indigenous Peoples and Families certification, shall submit all the forest area under management within the catchment area for the group certification (i.e., the group certification shall be defined in geographic terms at a logical scale such as county, region, state/province but once defined must include all sites managed by the central function within that geographic area). All group members in the group certification organization shall be subject to the internal monitoring and the internal audit program.

3.2 COMMITMENT AND POLICY

3.2.1 The group certification organization shall require a commitment:
   a. to comply with standard requirements and other applicable requirements of the certification system;
   b. to integrate the group certification organization requirements in the group management system;
   c. to continuously improve the group management system;
   d. to continuously support the improvement of the sustainable forest management by group members of a forest management group certification organization.

The commitment may be part of a group management policy and shall be publicly available upon request.

3.2.2 Members in the group certification organization shall provide a commitment
   a. to follow the requirements of the management system;
   b. to implement the requirements of the standard in their operations or facilities.

3.2.3 Where a group certification organization plans any changes in the group management system, these changes shall be included in a group management plan.

3.2.4 Where a forest management group certification organization decides to fulfill requirements of the standard at the group level, these requirements shall be considered in a group management plan.

3.2.5 The group certification organization shall determine and maintain the resources needed for the establishment, implementation, maintenance, and continual improvement of the group management system.

3.2.6 The group certification organization shall define the necessary competence of persons doing work in the group management system.
3.2.7 The group certification organization shall have communication processes in place to raise the awareness of group members concerning:

a. the group management policy;
b. the requirements of the standard;
c. their contribution to the effectiveness of the group management system, including the benefits of improved group performance;
d. the implications of not conforming with the group management system requirements, and
e. the group certification organization shall determine the processes required for internal and external communications.

3.3 ORGANIZATIONAL ROLES, RESPONSIBILITIES, AND AUTHORITIES FOR THE GROUP CERTIFICATION ORGANIZATION

3.3.1 Functions and responsibilities of the group manager

The following functions and responsibilities of the group manager shall be specified:

a. implement and maintain an effective management system covering all group members;
b. represent the group certification organization in the certification process, including in communications and relationships with the certification body, submission of an application for certification, and contractual relationship with the certification body;
c. establish written procedures for the management of the group certification organization;
d. establish written procedures for the acceptance of new group members of the group certification organization. These acceptance procedures shall cover at least the verification of the applicant’s information about contact details, clear identification of their forest property and its/their size(s);
e. establish written procedures for the suspension and exclusion of group members who do not correct/close nonconformities.

Group members excluded from any group certification organizations based on nonconformities cannot be accepted within 12 months after exclusion;
f. keep documented information of:
   i. the group manager and group members’ conformity with the requirements of the standard,
   ii. all group members, including their contact details, identification of their forest property and its/ their size(s) (for forest management group certification organizations), the certified area (for forest management group certification organizations),
   iii. identification of affected stakeholders (for forest management group certification organizations),
   iv. the implementation of an internal monitoring program, its review and any preventive and/or corrective actions taken;
g. documented information relevant to the group management system and the conformance with the requirements of the standard shall be up to date and adequately protected against loss of confidentiality, improper use, or loss of integrity.
h. establish connections with all group members based on a binding written agreement which shall include the group members’ commitment to comply with the standard. The group manager shall have a written contract or other written agreement with all group members covering the right of the group manager to implement and enforce any corrective or preventive measures, and to initiate the exclusion of any group member from the scope of certification in the event of nonconformity with the standard;
i. provide all group members with a document confirming participation in the group certification organization.
j. provide all group members with information and guidance required for the effective implementation and maintenance of the standard;
k. address nonconformities reported from group members which were identified under other certifications than the particular group certification organization and to ensure implementation with all group members;
l. operate an internal monitoring program that provides for the evaluation of the group members’ conformity with the certification requirements;
m. operate an annual internal audit program covering both group members and group manager;
n. operate a management review of the group certification organization and act on the results from the review;
o. provide full co-operation and assistance in responding effectively to all requests from the certification body, accreditation body for relevant data, documentation or other information; allowing access to the forest area covered by the group certification organization and/or other facilities;
p. maintain appropriate mechanisms for resolving complaints and disputes relating to group management and the standard requirements.

3.3.2 Function and responsibilities of group members

The following functions and responsibilities of the group members shall be specified:

a. to provide the group member with a binding written agreement, including a commitment on conformity with the standard requirements and other applicable requirements of the certification system; group members excluded from any group certification organization cannot apply for group membership within 12 months after exclusion;
b. to provide the group manager with information about previous group certification organization participation;
c. to comply with the standard and other applicable requirements of the certification system as well as with the requirements of the management system;
d. to provide full co-operation and assistance in responding effectively to all requests from the group manager, or certification body for relevant data, documentation or other information; allowing access to the forest and/or facilities;  
e. to inform the group manager about nonconformities identified under other certifications than the particular group certification organization;  
f. to implement relevant corrective and preventive actions established by the group manager.

PART 4: EVALUATING THE GROUP CERTIFICATION ORGANIZATION PERFORMANCE

4.1 MONITORING OF GROUP CERTIFICATION ORGANIZATION PERFORMANCE

4.1.1 The group certification organization shall maintain an internal monitoring program that provides confidence in the conformity of the group organization with the standard requirements. The program shall determine:  
a. what shall be monitored and measured;  
b. the methods for monitoring, measurement, analysis and evaluation, as applicable, to ensure valid results;  
c. when the monitoring and measuring shall be performed;  
d. when the results from monitoring and measurement shall be analysed and evaluated;  
e. what documented information shall be available as evidence of the results.

4.1.2 The group certification organization shall evaluate the group management performance and the effectiveness of the group management system concerning the implementation of the standard requirements.

4.2 INTERNAL AUDIT

4.2.1 The annual internal audit program shall provide information on whether the group certification organization’s management system:  
a. conforms to the group certification organization’s own requirements for its group management system and the requirements of the certification standard;  
b. ensures the implementation of the standard requirements at the group member level;  
c. is effectively implemented and maintained.

4.2.2 The internal audit program shall cover the group manager and all group members. The group manager shall be audited annually. The group members may be selected on a sample basis.

4.2.3 The internal audit program which shall cover at least:  
a. the audit planning process;  
b. the audit criteria and scope;  
c. the competence and impartiality of the auditors;  
d. reporting the audit result to the group certification organization management;  
e. retaining of evidence of the implementation of the audit program and the audit results.

4.2.4 The internal audit program shall include procedures for:  
a. determination of the sample size;  
b. determination of sample categories;  
c. distribution of the sample to the categories;  
d. selection of the group members.

4.2.5 At least 25% of the audit sample should be selected at random with the remaining sites selected on the basis of a risk assessment.

10 When designing and implementing a program to evaluate conformance with the SFI 2022 Forest Management Standard, SFI 2022 Fiber Sourcing Standard or the SFI Small Scale Forest Management Module for Indigenous Peoples and Families, Certified Organizations should reference ISO 19011 Guidelines for auditing management systems.

11 Group certification organizations should reference IAF MD-1 for further information regarding audit sample selection.
4.3 NONCONFORMITY, CORRECTIVE AND PREVENTATIVE ACTION

4.3.1 When a nonconformity occurs, the group manager shall implement corrective action and mitigate the impacts to the extent possible;

4.3.2 The group manager shall evaluate the need for preventative action to eliminate the causes of the nonconformity by:
   a. reviewing the nonconformity;
   b. determining the causes of the nonconformity;
   c. determining if similar nonconformities exist, or could potentially occur;
   d. implement any action needed;
   e. review the effectiveness of any corrective action taken;
   f. make changes to the group management system, if necessary.

4.3.3 The group manager shall retain documented information as evidence of:
   a. the nature of the nonconformities and any subsequent actions taken;
   b. the results of any corrective action.

4.3.4 A group member who was excluded from a group certification organization shall be internally audited by the group manager before they are allowed to re-enter the group certification organization. The internal audit shall not take place sooner than 12 months after the exclusion.

4.4 MANAGEMENT REVIEW AND CONTINUAL IMPROVEMENT

4.4.1 An annual management review shall at least include:
   a. the status of actions from previous management reviews;
   b. changes in external and internal issues that are relevant to the group certification organization’s management system;
   c. the status of conformity with the standard, that includes reviewing the results of the internal monitoring program the internal audit and the certification body’s evaluations and surveillance;
   d. information on the group certification organization’s performance, including trends in:
      i. nonconformities and corrective actions;
      ii. monitoring and measurement results;
      iii. audit results;
   e. opportunities for continual improvement.

4.4.2 The outputs of the management review shall include decisions related to continual improvement opportunities and any need for changes to the group certification organization’s management system.

4.4.3 The group certification organization shall retain documented information as evidence of the results of management reviews.
The X company operations or facility has been independently certified by Y, a certification body accredited to perform SFI audits that conform to the SFI 2022 XXXXX Standard/Module.

The certificate holder has been independently certified by an certification body accredited to perform audits to the SFI 2022 Forest Management Standard, the SFI 2022 Fiber Sourcing Standard, the SFI 2022 Chain-of-Custody Standard or the SFI 2022 Certified Sourcing Standard, the SFI Small Lands Group Certification Module or the SFI Small Scale Forest Management Module for Indigenous Peoples and Families and has received a license from the SFI Office of Label Use and Licensing authorizing use of the SFI trademark.

All SFI certificates shall have the following information, at a minimum, on the certificate:

a. certificate number: The numbering system will have a three-letter abbreviation of the SFI certification body’s name, followed by “SFIFM; SFIFS; SFICS, SFICOC, SFISLGCM, or SFISCFMMIPF” followed by the certification body identifier for that organization.

b. scope of the certification granted including the standard;

c. for SFI 2022 Chain of-Custody or SFI 2022 Certified Sourcing 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.

f. The SFI off-product logo trademark (see below) must be placed on the certificate.

g. The symbol of the accreditation body (ANAB or SCC) for the certification body conducting the certification must be placed on the certificate.
APPENDIX 4: USE OF REMOTE AUDITING TECHNIQUES FOR SFI AUDITS (Informative)

PART 1: INTRODUCTION

Advances in technology, coupled with improved certification body and Certified Organization processes, provide the means to improve on the effectiveness of traditional audit methodologies. This appendix discusses how Certified Organizations and certification bodies can conduct audits of the SFI 2022 Forest Management Standard, SFI 2022 Fiber Sourcing Standard, SFI 2022 Chain-of-Custody, SFI 2022 Certified Sourcing Standard or SFI Modules using remote audit techniques to complement traditional audit techniques.

Remote audits using information and communications technology\(^\text{12}\) (ICT) provide certification bodies the means to conduct rigorous and credible audits of Certified Organization’s processes and their conformance with SFI standards requirements. Remote audits also allow certification bodies to optimize audit effectiveness and efficiency, while supporting and maintaining the integrity of the audit process.

PART 2: OBJECTIVE FOR REMOTE AUDITING

The objective of a remote audit is to determine the required level of confidence in some, or all, of a Certified Organization’s processes by direct observations using ICT. Audits using ICT provide the opportunity for increased efficiency, increased safety, inclusion of Certified Organization personnel who may not be easily interviewed, and avoidance of travel restrictions.

PART 3: PRECONDITIONS FOR REMOTE AUDITS

The use of ICT for remote audits by certification bodies should be by mutual agreement with the Certified Organization. Examples of the use of ICT during audits may include:

i. meetings via teleconference, including audio, video, and data sharing;
ii. verification of evidence by means of remote access, either synchronously (in real time) or asynchronously (when applicable);
iii. recording of information and evidence by electronic means; and
iv. providing audio/visual access to remote locations or personnel or potentially hazardous locations (e.g., drones, cameras, etc.).

The certification body should identify and document all risks associated with ICT that may impact audit effectiveness, including the selection of the technologies, and how they are used. This review should ensure that the Certified Organization has the necessary infrastructure to support the use of ICT and is a viable candidate for remote audit.

Where a Certified Organization demonstrates a history of conformance at the system implementation level (or for the locations being assessed), audits using ICT may be considered for use when one of more of the following applies:

i. Travel to a Certified Organization’s location(s) is not possible (i.e., for safety reasons, travel restrictions, etc.).
ii. The certification body determines a low level of risk when conducting the audit remotely.
iii. The number of sites to be assessed is difficult for the certification body to completely fulfill within the required timeline.
iv. The Certified Organization has a centrally controlled management system where evidence (records, data, etc.) can be accessed remotely.
v. The situation requires the audit team to conduct a follow-up audit otherwise not achievable within a short timeline.
vi. For Certified Organizations with an SFI 2022 Forest Management Standard or an SFI 2022 Fiber Sourcing certificate, the surveillance audit can be conducted remotely using ICT where:
   a. the certification body can justify that the audit techniques used deliver sufficient confidence in the Certified Organization’s compliance with the standard(s) requirements; and
   b. no nonconformity was raised during the previous initial, surveillance or recertification audit, or the corrective action for the nonconformity can be clearly verified by other audit techniques.

Similarly, for SFI 2022 Chain-of-Custody Standard or SFI 2022 Certified Sourcing Standard audits, ICT may be considered for use if the Certified Organization’s supply chain does not include high risk sources of fiber.

\(^\text{12}\) Information and Communications Technology (ICT) is the use of technology for gathering, storing, retrieving, processing, analyzing, and transmitting information. It includes software and hardware such as smartphones, handheld devices, laptop computers, desktop computers, drones, video cameras, wearable technology, artificial intelligence, and others. The use of ICT may be appropriate for auditing both locally and remotely. (IAF MD 4:2018 – IAF MD for the Use of ICT for Auditing/Assessment Purposes)
PART 4: PLANNING AND SCHEDULING REMOTE AUDITS

The certification body should define criteria for determining when it is appropriate to perform part, or all, of an audit remotely. Criteria to consider include identification of the standard requirements appropriate for remote audit using ICT, and the eligibility of the Certified Organization for remote assessment (e.g., availability of records in electronic format, suitable internet connectivity, teleconferencing platforms, etc.).

When planning an audit using ICT, the Certified Organization and the certification body should:

i. define the scope of the audit;
ii. identify the records and documentation to be available during the audit;
iii. identify the activities, sites/facilities, information, and personnel to be audited;
iv. identify dates/times for conducting the audit; and
v. test the ICT to be used for the remote audit, including the adequacy of internet or Wi-Fi connections.

Where the planning process identifies audit risks or opportunities, the audit plan should define how and to what extent ICT can be used for remote audit purposes to optimize audit effectiveness and efficiency while maintaining the integrity of the audit process. When ICT is used, it contributes to the total audit time, as additional planning may be necessary which may impact audit duration.

For Certified Organizations with an SFI 2022 Forest Management Standard or an SFI 2022 Fiber Sourcing Standard certificate, the surveillance and remote audits using ICT techniques may be considered, where:

i. the certification body can justify that the audit techniques used deliver sufficient confidence in the Certified Organization’s conformance with the standard(s) requirements; and
ii. no nonconformity was raised during the previous initial, surveillance or recertification audit or the corrective action for the nonconformity can be clearly verified by other audit techniques.

Certified Organizations with an SFI 2022 Chain-of-Custody Standard and/or an SFI 2022 Certified Sourcing Standard certificate that can demonstrate they have not sold any materials with an SFI claim since their last audit can ask to have the surveillance audit waived.

PART 5: CONDUCTING REMOTE AUDITS

Conduct of the remote audit should follow normal audit plans and processes. Audits should include a summary of the events of the day(s), issues of concern, clarification of issues, nonconformances, and expectations.

PART 6: POST AUDIT ACTIVITIES — REMOTE AUDITS

Findings (nonconformances, corrective actions, opportunities for improvement, etc.) need to be drafted by the audit team members and shared with the Certified Organization in a timely manner for acknowledgement, prior to closure of nonconformances.

The processing of nonconformances, and the continuing approval of certification, should follow the same processes that are utilized for onsite audits. Audit reports and related records should indicate the extent to which ICT has been used in carrying out the audit and the effectiveness of ICT in achieving the audit objectives.
APPENDIX 5: TRANSITION TO THE SFI 2022 STANDARDS AND RULES (Normative)

The SFI 2022 Standard and Rules replace the SFI 2015-2021 Standards, which is the current standard implemented by Certified Organizations. The SFI 2015-2021 Standards will remain valid until the completion of the SFI 2022 transition period.

SFI Inc. developed the SFI 2022 Standard and Rules but does not conduct auditing and certification. All certification, recertification, and surveillance audits to the SFI 2022 Standard and Rules shall be conducted by certification bodies accredited by the ANSI National Accreditation Board (ANAB) or the Standards Council of Canada (SCC) to complete certification to the SFI 2022 Standard and Rules.

Changes adopted by the SFI Inc. Board of Directors to the SFI 2022 Standards and Rules shall be incorporated into a 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 shall be accomplished within one year of adoption and publication.

Accredited certification bodies are required to maintain audit processes consistent with the requirements of the International Organization for Standardization (ISO) 17021:2015 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 and SCC-accredited certification to the SFI 2022 Standards and Rules shall not be granted until they are published as standards.

TRANSITION PLANS
The SFI 2015-2021 certified organization shall prepare a transition plan outlining how it will implement the SFI 2022 Standards and Rules requirements before the 2022 audit. This transition plan will be subject to audit during both recertification and surveillance audits during 2022 and 2023.

The accredited certification body shall prepare a transition plan outlining how it will conform and implement the SFI 2022 Standards and Rules requirements including transition of certified organizations. Transition plan will include at a minimum, timelines for certification body transition, transition of SFI 2015-2021 certified organizations, SFI 2022 competence, and issuance of a SFI 2022 certificate.

INITIAL CERTIFICATION
Initial certification audits in 2022 shall be conducted against the SFI 2022 Standards and Rules.

RECERTIFICATION AND SURVEILLANCE AUDITS IN 2022
Certified Organizations have until December 31, 2022, to implement all new and revised requirements in the SFI 2022 Standards and Rules. Certified Organizations shall demonstrate conformance to the new requirements at their first surveillance audit following the implementation period.

It is the Certified Organization’s responsibility to work with the certification body to establish an audit schedule that meets the requirements SFI 2022 Standards and Rules transition requirements outlined in Section 10 - SFI Audit Procedures and Auditor Qualifications and Accreditation.

After December 31, 2022, all audits shall be conducted against the SFI 2022 Standards and Rules.

RECERTIFICATION AUDITS
After March 31, 2022, all recertification audits shall be conducted against the SFI 2022 Standards and Rules. For recertification audits against the SFI 2022 Forest Management Standard, the SFI 2022 Fiber Sourcing Standard, the SFI 2022 Chain of Custody Standard, and the SFI 2022 Certified Sourcing Standard, minor nonconformities against new requirements in the standards shall be reported but will not adversely affect recertification until after December 31, 2022. Prior to recertification, major nonconformities must be closed, and a corrective action plan accepted by the certification body for minor nonconformities.

Certification bodies shall be clear in their audit reports to certified organizations and in their public audit summaries that nonconformities against new SFI 2022 requirements are reported to assist the certified organization with implementation of the new requirements introduced in the SFI 2022 Standards and Rules, and that the certified organizations are required to close these nonconformities by December 31, 2022.
Recertification audits shall include the certification body’s assessment of the certified organization’s transition plan to fully transition to the SFI 2022 Standards and Rules by December 31, 2022. Certification bodies shall not issue certificates following recertification audits in the absence of a satisfactory transition plan outlining how the certified organization will implement the SFI 2022 Standards and Rules requirements by December 31, 2022, including timing for response to identified nonconformities.

SURVEILLANCE AUDITS
Surveillance audits through December 31, 2022, may be conducted against the SFI 2015-2021 Forest Management Standard, the SFI 2015-2021 Fiber Sourcing Standard, the SFI 2015-2021 Fiber Sourcing Standard, Appendix 1 and/or the SFI 2015-2021 Chain-of-Custody Standard at the Certified Organization’s choice.

Surveillance audits shall include the certification body’s assessment of transition plan to fully transition to the SFI 2022 Standards and Rules by December 31, 2022.

Certification bodies shall not maintain existing certificates issued under the SFI 2015-2021 Forest Management Standard, the SFI 2015-2021 Fiber Sourcing Standard, the SFI 2015-2021 Fiber Sourcing Standard, Appendix 1 and/or the SFI 2015-2021 Chain-of-Custody Standard with an expiry date after December 31, 2022, following surveillance audits in the absence of a satisfactory transition plan outlining how the Certified Organization will implement the SFI 2022 Standards and Rules requirements by December 31, 2022.

Certification bodies shall not issue certificates under the SFI 2022 Forest Management Standard, the SFI 2022 Fiber Sourcing Standard, the SFI 2022 Chain-of-Custody Standard and/or the SFI 2022 Certified Sourcing Standard, based on a surveillance audit until such time as the certified organization has completed the implementation of its transition plan. For a SFI 2022 certificate to be issued, a full system audit must be conducted.

For surveillance audits after March 31, 2022, minor nonconformities against new requirements in the SFI 2022 Standards and Rules shall be reported and managed within the certification body’s processes but will not adversely affect certification status until December 31, 2022.

Certification bodies shall be clear in their audit reports to certified organizations and in their public audit summaries that nonconformities against new SFI 2022 requirements are reported to assist the certified organization with implementation of the new requirements introduced in the SFI 2022 Standards and Rules, and that the certified organizations are required to close these nonconformities by December 31, 2022.

VALIDITY OF SFI 2015-2021 CERTIFICATES DURING TRANSITION TO THE SFI 2022 STANDARDS AND RULES
During the transition process to the SFI 2022 Standards and Rules, SFI 2015-2021 certificates are valid until December 31, 2023. After this date, no SFI 2015-2021 certificate is valid.
COMMUNICATIONS AND PUBLIC REPORTING

PART 1: PREPARING AND SUBMITTING A PUBLIC REPORT — SFI 2022 FOREST MANAGEMENT STANDARD 174

PART 2: PREPARING AND SUBMITTING A PUBLIC REPORT — SFI 2022 FIBER SOURCING STANDARD 175
A Certified Organization 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 Forest Management Standard. The summary audit report will be posted on the SFI Inc. website for public review.

1.1 The certification body shall prepare the SFI 2022 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 that was audited, including its SFI representative;

d. a general description of the 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.

e. a description of the audit team. This shall include the names and professional qualifications of the lead auditor, all audit team members and any technical experts who participated in the audit. This may include the names and affiliations of any audit observers and an explanation of their roles;

f. the dates the audit was conducted and completed. This shall include the number of auditor days spent to conduct the audit, broken down by auditor time spent off and on-site. This shall include the specific woods operations visited if there is more than one operation/region associated with the certificate, and;

g. a summary of the findings, including general descriptions of evidence of conformity and any nonconformities (reported at the Performance Measure level) and corrective action plans to address them, opportunities for improvement, and exceptional practices. This shall include:
   • a description of the evidence examined for each SFI objective within the scope of the audit.
   • an update on the status of previous non-conformities, if any.

h. the certification recommendation.

Guidance to Certification Bodies per Section 7 – Long-term Sustainable Harvest Levels — 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 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.
A Certified Organization 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 Fiber Sourcing Standard. The summary audit report will be posted on the SFI Inc. website for public review.

2.1 The certification body shall prepare the SFI 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 that was audited, including its SFI representative;
d. a general description of the Certified Organization’s fiber sourcing and manufacturing operations included in the audit.
   This shall include:
   • an outline of the manufacturing operations within the scope of the certificate (including the types of mills and their relative
     reliance of procurement for their fiber needs);
   • a general description of the fiber sourcing program, specifically indicating whether or not the organization has a purchased
     stumpage program;
   • a general description of the verifiable monitoring system in place and
   • an outline of the area from which fiber is procured.
e. a summary of the Certified Organization’s assessment for Forests with Exceptional Conservation Values within its wood and fiber
   supply area.
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.
g. 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 Certified Organization’s manufacturing units (if
   any) that are supplied from the sites inspected.
h. 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 s within the scope of the audit.
   • an update on the status of previous non-conformities, if any.
i. the certification recommendation.
PUBLIC INQUIRIES AND OFFICIAL COMPLAINTS

SECTION 12
PUBLIC INQUIRIES AND OFFICIAL COMPLAINTS

INTRODUCTION 180

PART 1: PUBLIC INQUIRIES REGARDING INCONSISTENT PRACTICES AGAINST
THE SFI 2022 FOREST MANAGEMENT STANDARD OR SFI 2022 FIBER
SOURCING STANDARD 180

PART 2: OFFICIAL COMPLAINTS QUESTIONING THE VALIDITY OF A CERTIFICATION
TO SFI SECTIONS 2, 3, 4, 5, AND SFI MODULES 180

PART 3: CHALLENGES OR COMPLAINTS REGARDING SFI ON-PRODUCT LABEL
USE (SFI SECTION 6) 181
A process that openly investigates concerns and official complaints is an important component of any legitimate certification program. The transparency requirements of the SFI 2022 Standards and supporting documents allow individuals and organizations to bring forward questions and concerns using two different processes as outlined in this section.

The “Public Inquiries Regarding Inconsistent Practices” (number 1 below) shall be used for general inquiries from the public and to promptly review and apply corrective actions, if warranted, in situations where isolated deficiencies in implementing the requirements of the SFI 2022 Forest Management, SFI 2022 Fiber Sourcing, SFI 2022 Chain-of-Custody, SFI 2022 Certified Sourcing Standards, or SFI Modules 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).

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.

**PART 1: PUBLIC INQUIRIES REGARDING INCONSISTENT PRACTICES AGAINST THE SFI 2022 FOREST MANAGEMENT STANDARD, SFI 2022 FIBER SOURCING STANDARD, OR SFI MODULES**

Any individual or organization (the complainant) with information or claims about a 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. Within 45 days of receipt of the claim of inconsistent practice, the Certified Organization shall respond to the complainant and forward a copy of the claim of inconsistent practice and its response to their certification body for review at the next audit.

The certification body shall investigate the validity of the inconsistent practice report and the Certified Organization’s response and resolution of the claim at the time of the next scheduled audit. Once the certification body has completed its investigation of the inconsistent practice report it shall communicate its findings to the complainant and the certified organization.

In the event litigation is involved between the complainant and 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.

**PART 2: OFFICIAL COMPLAINTS QUESTIONING THE VALIDITY OF A CERTIFICATION TO SFI 2022 SECTIONS 2, 3, 4, 5, OR SFI MODULES**

The official complaint process is an important component of any legitimate certification program, including SFI. 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 Standards, rather it challenges the audit findings and the decision to grant the certification, or events that have happened since the last audit that questions the maintenance of the certification.

**2.1 OFFICIAL COMPLAINT PROCESS**

2.1.1 The complainant communicates their concerns and in sufficient detail to the to the Certified Organization and the Certified Organization’s certification body.

2.1.2 For complaints regarding a SFI 2022 Chain-of-Custody Standard Certified Organization, the Certified Organization and the certification body shall acknowledge receipt of the complaint within 10 working days. The certification body may request additional specifics associated with the concerns and will investigate the issue in accordance with their official complaint procedures that were approved by their accreditation body.

2.1.3 If the certification body finds a sound basis for the official complaint then it shall require the Certified Organization to take corrective action to address the complaint and advise the complainant accordingly.
2.1.4 If the \textit{certification body} does not find a sound basis for the complaint and determines the certification was appropriately granted and \textit{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 \textit{certification body} do not satisfy the complainant they can bring their complaint to the \textit{accreditation body} that accredited the \textit{certification body} for investigation (\textit{ANSI National Accreditation Body} or the \textit{Standards Council of Canada}). The \textit{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 \textit{Certified Organization}, 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.

\section*{PART 3: CHALLENGES OR COMPLAINTS REGARDING SFI ON-PRODUCT LABEL USE (SFI 2022 SECTION 6)}

Any party with information or claims about the practices of a \textit{Certified Organization}, or questions about the validity of a \textit{Certified Organization}'s SFI label use in accordance with the requirements of \textit{SFI 2022 Section 6 — Rules for Use of the SFI On-Product Labels and Off-Product Marks} may seek to have those claims investigated by contacting the \textit{SFI Office of Label Use and Licensing}. Complaints will be addressed by the \textit{SFI Office of Label Use and Licensing} within 45 days.

Upon reviewing the information, the \textit{SFI Office of Label Use and Licensing} may:
\begin{itemize}
  \item[a.] seek more information from the complainant or the \textit{Certified Organization} before making a final determination; or
  \item[b.] find that the complaint is without merit and no further action is required; or
  \item[c.] find that corrective actions are necessary; or
  \item[d.] if the \textit{Certified Organization} fails to take appropriate corrective measures or if no action would be sufficient to remedy the situation, suspend the label license.
\end{itemize}
SFI Inc. has developed a process for SFI 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. Optional modules are developed by SFI Inc. and approved by the SFI Inc. Board of Directors. These modules will provide implementation assistance using case studies or optional certification requirements to address specific issues of benefit to SFI. Any modules developed prior to the next standard review process will be added in this section.

SFI SMALL LANDS GROUP CERTIFICATION MODULE

PART 1: GENERAL 186
PART 2: SFI SMALL LANDS GROUP CERTIFICATION MODULE PRINCIPLES 188
PART 3: REQUIREMENTS FOR MANAGEMENT OF THE GROUP 188
PART 4: REQUIREMENTS FOR SUSTAINABLE FOREST MANAGEMENT 190

SFI SMALL-SCALE FOREST MANAGEMENT MODULE FOR INDIGENOUS PEOPLES AND FAMILIES

PART 1: GENERAL 190
PART 2: REFERENCES 194
PART 3: PRINCIPLES 195
PART 4: REQUIREMENTS FOR MANAGEMENT OF A GROUP CERTIFICATION ORGANIZATION 196
PART 5: REQUIREMENTS FOR SUSTAINABLE FOREST MANAGEMENT 198

APPENDIX 1. DEFINITIONS (NORMATIVE) 202
APPENDIX 2. FOREST MANAGEMENT PLAN (INFORMATIVE) 206
APPENDIX 3 - REQUIREMENTS FOR GROUP CERTIFICATION ORGANIZATIONS (NORMATIVE) 208
SFI SMALL LANDS GROUP CERTIFICATION MODULE

PREAMBLE

The Sustainable Forestry Initiative (SFI) and American Forest Foundation (AFF) collaboratively developed a small lands module that is based on the foundation of the SFI 2022 Fiber Sourcing Standard and incorporates the AFF Standards of Sustainability for Forest Management under the American Tree Farm System (“AFF Standards”). Lands certified through this module in the United States will be certified under the American Tree Farm System (ATFS) with the resultant fiber counted as certified forest content under the SFI 2022 Chain-of-Custody Standard. Lands certified in Canada to the SFI Small Lands Group Certification Module will be “SFI certified” and the resultant fiber also certified forest content under the SFI 2022 Chain-of-Custody Standard.

Due to the interdependence of the SFI 2022 Fiber Sourcing Standard, AFF 2021 Standards, and this SFI Small Lands Group Certification Module, revision to any of these standards will trigger a collaborative review and potential revision to the module as needed to ensure consistency and continual improvement.

PART 1: GENERAL

1.1 SCOPE

This module applies to Certified Organizations certified to the SFI 2022 Fiber Sourcing Standard.

1.1.1 Maximum size of ownership eligible for certification under this Module

A non-industrial, small forest ownership, under the scope of this SFI Small Lands Group Certification Module, shall have no more than 20,000 acres or 8,000 hectares in aggregate across their entire ownership, regardless of whether it is managed by the landowner or a landowner agent. Those landowners with more than 20,000 acres or 8,000 hectares in aggregate across their entire ownership shall be certified to the SFI 2022 Forest Management Standard. If the small forest or woodlot owner meets eligibility requirements, individual parcels of land that fall within the wood and fiber supply area are eligible for inclusion in the certified area.

1.1.2 What the SFI Small Lands Group Certification Module Does

The SFI Small Lands Group Certification Module offers certification to a group of small family forest lands, under one certificate, that is managed by a Certified Organization that is certified to the SFI 2022 Fiber Sourcing Standard. The SFI Small Lands Group Certification Module allows landowners to sell and Certified Organizations to procure fiber as certified forest content. Lands certified to this module in the United States are certified to ATFS via the AFF Standards. Lands certified to this module in Canada are SFI certified.

1.1.3 What the SFI Small Lands Group Certification Module Covers

The SFI Small Lands Group Certification Module covers:

• requirements of the SFI 2022 Fiber Sourcing Standard that include measures to broaden the practice of conservation of biodiversity, use of forestry best management practices to protect water quality, provide outreach to landowners, and utilize the services of forest management and harvesting professionals

• forest management requirements consistent with the 2021-2026 AFF Standards to promote the health and sustainability of America’s family forests. These Standards are designed as a tool to help woodland owners be effective stewards of the land as they adaptively manage renewable resources; promote environmental, economic, and social benefits; and work to increase public understanding of sustainable forestry.

• additional requirements relating to the management of the Group Certification Organization1 and additional requirements for sustainable forest management.

1.1.4 Geographic Application of the SFI Small Lands Group Certification Module

The SFI Small Lands Group Certification Module applies to organizations (the Certified Organization, landowners and others involved in the fiber supply chain) in the United States and Canada.

1.1.5 Timing of Applicability

The SFI Small Lands Group Certification Module is dependent on the SFI 2022 Fiber Sourcing Standard and the AFF 2021-2026 Standards of Sustainability as its foundation. Revision to either of these standards will trigger a collaborative review and potential

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1 The requirements for the management of the group certification organization are based on Appendix 2 of Section 10 of the SFI 2022 Standards and Rules and are consistent with AFF’s Independently Managed Group requirements.
revision to the SFI Small Lands Group Certification Module to ensure consistency and continual improvement. If the module is not reviewed and approved by both the SFI Board of Directors and AFF Board of Trustees, it will expire with the earliest expiry of either the SFI 2022 Fiber Sourcing Standard or AFF’s 2021-2026 Standards. If either SFI or AFF wish to make changes to the module, both organizations must agree and will work to make changes through a collaborative process.

1.2 REFERENCES
This SFI Small Lands Group Certification Module incorporates, by dated or undated reference, provisions from other publications. These normative and informative references are cited at the appropriate places in the text and the publications are listed hereafter. For dated and undated references, the latest edition of the application applies.

1.2.1 Normative references
i. ISO/IEC 17021 — Conformity Assessment – Requirements for bodies providing audit and certification of management systems,
iii. IAF MD 1:2007 - Certification of Multiple Sites Based on Sampling
iv. SFI 2022 Standards and Rules:
   • Section 3 — SFI 2022 Fiber Sourcing Standard
   • Section 8 — SFI Policies
   • Section 10 — SFI 2022 Audit Procedures and Auditor Qualification and Accreditation
   • Section 11 — Communication and Public Reporting
   • Section 13 — a Optional Modules
   • Section 14 — SFI Definitions
v. Interpretations for the Requirements for the SFI 2022 Standards and Rules

For the purposes of this Module, the relevant definitions given in ISO/IEC Guide 2:2004 apply together with the definitions in the SFI Definitions (Section 14).

1.2.2 Informative References
i. 2021-2026 American Forest Foundation Standards of Sustainability for the American Tree Farm System
ii. 2021-2026 American Forest Foundation Standards of Sustainability for the American Tree Farm System Guidance
iii. 2021-2026 American Tree Farm System (ATFS) Independently Managed Group (IMG) Standards
iv. American Tree Farm System (ATFS) Eligibility Requirements
v. PEFC ST 1002:2018 — Group Forest Management Certification
vi. PEFC ST 1003:2018 — Sustainable Forest Management – Requirements
vii. SFI Section 7 — Guidance to SFI 2022 Standards and Rules
viii. SFI Section 9 — SFI Standards Development and Interpretations Process
ix. SFI Section 12 — Public Inquiries and Official Complaints

1.3 DEFINITIONS
For the purposes of this module, the relevant definitions given in ISO/IEC Guide 2:2004 apply together with the definitions in the SFI Definitions (Section 14) together with the following definitions.

- certified area
  The forest area covered by a group forest certificate representing the sum of forest areas owned by landowners that are Group Members. Lands certified to this module in the United States are certified to the American Tree Farm System (ATFS). Lands certified to this module in Canada are SFI certified.

- group certification organization
  A specific type of multi-site organization where forest owners, forest owners’ organizations, forest managers, forest products manufacturers or forest products distributors without a pre-existing legal or contractual link can form a group for the purposes of achieving certification and gaining eligibility for a sampling approach to certification audits against this module (Appendix 1 to Section 10).

- group forest certificate
  A document confirming that the group certification organization complies with the requirements for certification to this module.

- group manager
  An organization with overall responsibility for ensuring the conformity of forest management in the certified area of the Group Certification Organization to the certification requirements in this module. The Group Manager must be a Certified Organization, certified to the SFI 2022 Fiber Sourcing Standard, with a fiber sourcing program that
acquires roundwood and/or field-manufactured residual chips.

- group member
  
  _Landowners_ who own land to be certified by the group forest certification or _landowner agents_ covered by the _group forest certificate_ who have the legal authority to implement the certification requirements within the _wood and fiber supply area_.

- landowner
  
  Non-industrial entity or individual that holds title to the property.

- landowner agent
  
  _A qualified resource professional, a qualified logging professional, a certified logging company, wood producer or other individual or organization_ that has the legal authority to manage forestland and implement the certification requirements on certified lands at the direction of _landowner_ members within the _wood and fiber supply area_.

### PART 2: SFI SMALL LANDS GROUP CERTIFICATION MODULE PRINCIPLES

_SFI Certified Organizations_ believe that non-industrial forest _landowners_ have an important stewardship responsibility and a commitment to society, and they recognize the importance of maintaining viable commercial, family forest and _conservation_ forest land bases.

_SFI Certified Organizations_ are aware that family forest ownership is made up of large numbers of small forest holdings. The limited revenues from forest management operations on the small properties of these _landowners_; periodicity of their management activities and revenues; as well as a limited financial ability to demonstrate their conformity with forest management certification system requirements, represent significant barriers to forest certification.

_SFI certification organizations_ shall have a written policy (or policies) to implement and achieve the principles defined in _SFI 2022 Fiber Sourcing Standard_ together with the following principles in this module:

#### 2.1 VOLUNTARY PARTICIPATION

The _SFI Small Lands Group Certification Module_ is based on a respect for property rights and on the voluntary commitment and participation of both _landowners_ and _landowner agents_. Participation in the _Group Certification Organization_ shall not require or bind _landowners_ to harvest and sell timber or to supply the _Certified Organization_; participation also shall not prohibit _landowners_ from participating in another _Group Certification Organization_ outside _ATFS_ or supplying another customer. Any supply commitments shall be stated in separately negotiated contracts between _landowners_ and customers, and not as part of the written agreement(s) required by the _SFI Small Lands Group Certification Module_. _SFI and Certified Organizations_ are committed to compliance with the competition laws of the United States and Canada, and the _SFI Small Lands Group Certification Module_ shall not be construed to conflict with those laws.

#### 2.2 SHARED RESPONSIBILITY

The _Certified Organization_, as the _Group Manager_ and the _Group Member_ have shared responsibility for and commitment to _sustainable forestry practices_ on the land they own, manage or from which they procure raw material.

#### 2.3 EFFICIENCY

The _SFI Small Lands Group Certification Module_ uses a _wood and fiber supply area_ (“supply area”) approach to achieving sustainable forest management (e.g., planning or monitoring of forest resources) where the supply area approach is more suitable and efficient due to the limited size and resources of individual _landowners_. The results of the _wood and fiber supply area_ approach must be consistent with and inclusive of the forest management _practices_ implemented by individual _landowners_ and/or _resource/logging professionals_. Lands certified to this module in the United States are certified to _ATFS_. Lands certified to this module in Canada are _SFI_ certified.

### PART 3: REQUIREMENTS FOR MANAGEMENT OF THE GROUP

#### 3.1 RESPONSIBILITIES OF THE GROUP MANAGER:

1. **3.1.1** To ensure a commitment on behalf of the whole _Group Certification Organization_ to establish and maintain _practices_ and procedures in accordance with the requirements of this _SFI Small Lands Group Certification Module_.

2. **3.1.2** To represent the whole _Group Certification Organization_ in the certification process, including communications and relationships with the certification body, submission of an application for certification under this module and contractual relationship with the certification body.

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1 The requirements for the management of the group are based on eligibility criteria of chapter 4.1.1-4.1.4 of Appendix 1 and Appendix 2 to Section 10. In cases where the requirements of this document differ from Appendix 1 to Section 10, the requirements of this document are definitive.
3.1.3 To form a formal relationship with all Group Members based on a written agreement established directly between the Group Manager and each Group Member (every landowner and every landowner agent). The written agreement shall include:

- The Group Manager's enumeration of the conditions of participation in the group and group forest certificate, including disclosure of Group Members' ineligibility to participate in an ATFS State program or Independently Managed Group (IMG);
- The Group Manager's right and responsibility to implement and enforce any corrective or preventive measures, and to initiate the suspension of any Group Member from the scope of certification in the event of nonconformity with the requirements of the SFI Small Lands Group Certification Module;
- The Group Member's commitment to comply with the requirements of the SFI Small Lands Group Certification Module;
- The Group Member's agreement to participate and comply with the conditions of membership and forest management operations as recommended in the wood and fiber supply area plan (or their own conforming forest management, where applicable);
- The Group Member's agreement to be included under the scope of the Group Manager's group forest certificate.

3.1.4 To establish procedures for inclusion of new Group Members within the Group Certification Organization including an internal assessment of conformity with the SFI Small Lands Group Certification Module, implementation of corrective and relevant preventive measures.

3.1.5 To establish procedures for expulsion of Group Members from the group forest certificate, in cases of unresolved nonconformity, ownership transition or other circumstances, as appropriate, including documentation and timely reporting of decertification.

3.1.6 To maintain and achieve compliance with all requirements of the SFI 2022 SFI Fiber Sourcing Standard that outline relationship between the Certified Organization, landowners, and resource/logging professionals; and management review and continuous improvement (Objectives 1, 2, 3, 6, 7, 10 and 11).

3.1.7 To establish written procedures for the management of the Group Certification Organization and clearly define and assign responsibilities for sustainable forest management and compliance with the certification requirements of this module.

3.1.8 To provide all Group Members with information and guidance needed for effective implementation and maintenance of practices and procedures in accordance with the requirements of this SFI Small Lands Group Certification Module.

3.1.9 To ensure all Group Managers and Landowner Agents have been trained to implement the requirements of the module specific to AFF's Standards of Sustainability for Certification and section 4.3 Forest Management Practices. Group Managers and Landowner Agents shall attend an ATFS inspector training at least once during every Standards eligibility period. Training in accordance with 4.3 Forest Management Practices may be accomplished through SFI Implementation Committees or other means.

3.1.10 To keep records on:
   a. the Certified Organizations’ and the Group Members’ conformity with the relevant certification requirements as spelled out by this Module.
   b. all Group Members, including their contact details and, for landowner members, identification of their property and its/their sizes.
   c. the certified area.
   d. a record of operations carried out on the forest lands owned by the Group Members to support the internal monitoring program.
   e. the implementation of an internal monitoring program, its review and any preventive and/or corrective measures.
   f. the wood and fiber supply area plan as defined in 4.1, and the individualized goals and strategies for landowners, and/or the individual landowner management plan as defined in 4.2, as applicable.
   g. In the US, Group Managers share records of items A, B, C and E at least annually with AFF for documentation in the ATFS database to enable verification of the certified status of the certified area. In Canada, Group Managers share records of items A, B, C and E at least annually with SFI.

3.1.11 To maintain an annual internal audit or monitoring program sufficient to ensure conformance with the requirements of the SFI Small Lands Group Certification Module by the organization and individual Group Members. The Group Certification Organization must

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While the written agreement is established directly between the Group Manager and each Group Member, trained landowner agents may facilitate and transmit written agreements between Group Manager and landowner members.

The Group Manager should within the framework of Objective 3 (Use of Qualified Resource Professionals, Qualified Logging Professional and Certified Logging Companies), Objective 6 (Training and Education) and Objective 7 (Community Involvement and Landowner Outreach) of the SFI 2022 Fiber Sourcing Standard provide Group Members with information and guidance on the requirements of the SFI Small Lands Group Certification Module that are relevant to them and management operations on their land.

The internal audit/monitoring program should accommodate various verification and monitoring mechanisms required by the SFI 2022 Fiber Sourcing Standard.
implement an annual monitoring protocol in accordance with the following:

i. The sample size should be calculated based on the number of Group Members.

ii. The size of the sample should generally be the square root of the number of Group Members, rounded up to the upper whole number.

iii. Twenty-five percent of the sample should be selected at random.

iv. The size of the sample may be adapted up or down by a standard taking into account the following:
   - results of a risk assessment
   - results of internal monitoring or independent audits
   - quality/level of confidence of internal annual monitoring
   - use of technologies allowing gathering of information for specific requirements
   - based on other means of gathering information about activities on the ground

3.1.12 To operate a review of the conformity of Group Members based on results of internal audit and/or monitoring data sufficient to assess performance of the Group Certification Organization as a whole rather than at the individual Group Member’s level.

3.1.13 To establish corrective and preventive measures if required and evaluate the effectiveness of corrective actions taken.

3.1.14 To communicate to the relevant Certification Body those Group Members with serious and continuing non-conformities that have not been resolved and that resulted in the Group Member’s expulsion from the group certification organization based on the results of internal audits and/or the monitoring program.

3.1.15 To consider within its internal audit/monitoring program information from the Group Member on continuing non-conformities that have been found if the Group Member is part of another group certification organization.

3.1.16 For landowners in the United States, to maintain and update the members of the Group Certification Organization and report to AFF or update the ATFS database to reflect entries and departures of Group Members from the Group Certification Organization.

3.2 RESPONSIBILITIES OF THE GROUP MEMBERS:

3.2.1 To commit through a written agreement with the Group Manager to implement and maintain the relevant requirements of the SFI Small Lands Group Certification Module;

3.2.2 To respond effectively to all requests from the Group Manager or a certification body for relevant data, documentation or other information whether in connection with formal audits or reviews or other requirements;

3.2.3 To provide full co-operation and assistance in respect of the satisfactory completion of audits, reviews, monitoring, relevant routine inquiries or corrective actions;

3.2.4 To implement relevant corrective and preventive actions required by the Group Manager; and

3.2.5 To inform the Group Manager of any continuing non-conformities if the Group Member is part of another group certification organization.

PART 4: REQUIREMENTS FOR SUSTAINABLE FOREST MANAGEMENT

The Group Manager shall ensure compliance of the Group Certification Organization with the requirements outlined in SFI 2022 Fiber Sourcing Standard and the following additional requirements outlined in 4.1 the Wood and Fiber Supply Area Plan and 4.3 Forest Management Practices on Certified Area.

4.1 WOOD AND FIBER SUPPLY AREA PLAN

The Group Manager shall develop and update a wood and fiber supply area plan that adequately covers the fiber procurement area by the Group Certification Organization. The plan shall:

6 The review of the conformity and the corrective and preventive measures should be performed within the framework of Objective 10 of the SFI 2022 Fiber Sourcing Standard (Management Review and Continuous Improvement).

7 The Group Manager should within the framework of Objective 3 (Use of Qualified Resource Professionals, Qualified Logging Professional and Certified Logging Companies), Objective 6 (Training and Education) and Objective 7 (Community Involvement and Landowner Outreach) of the SFI 2022 Fiber Sourcing Standard provide Group Members with a specific list and guidance on the requirements of the SFI Small Lands Group Certification Module that are relevant to them and management operations on their land.

8 This list and guidance also includes Interpretations for the Requirements for the SFI 2022 Standards and Rules relevant to the SFI 2022 Fiber Sourcing Standard or to the additional requirements.
4.1.1 Be based on a long-term resource analysis including periodic or ongoing forest inventory, mapping and monitoring of forest resources; and include or be based on analysis of social, environmental and economic impacts of forest operations on forest resources;

4.1.2 Promote the maintenance and enhancement of the quantity of forest resources. Promote afforestation of agricultural and treeless land into forests. Identify risks of conversion of forests to non-forest uses and measures to mitigate this risk.

4.1.3 Be consistent with applicable legislation and land-use plans;

4.1.4 Include a description of forest resources, their different uses and functions, and objectives for their management;

4.1.5 Include analysis and determination of long-term sustainable harvest levels by monitoring growth and drain trends across the wood and fiber supply area. The monitoring system shall identify trends and develop forest management activities, on the certified area, to promote sustainable harvesting levels on the wood and fiber supply area.

4.1.6 Include a review of non-timber activities and opportunities (e.g., conservation of soil, air and water quality, carbon, biological diversity, wildlife and aquatic habitats, recreation and aesthetics); and sustainable management and use of those non-timber forest products that are affected by forest management practices;

4.1.7 Review results of monitoring of harmful agents, such as environmentally or economically undesirable wildfire, pests, diseases, invasive exotic plants and animals and list or provide information on measures to protect forests from those agents to maintain and improve long-term forest health, productivity and economic viability;

4.1.8 Include identification and mapping of sensitive sites and areas with high biodiversity values on the certified area and the wood and fiber supply area;

4.1.9 Include identification and mapping of areas with specific water and soil protection functions, including steps to ensure their protection, maintenance and enhancement of their protective functions;

4.1.10 Include description of appropriate silviculture and regeneration methods to achieve forest management objectives identified in 4.1 and 4.3;

4.1.11 Be made available to the relevant landowners and/or landowner agents and provide the basis for the Certified Organization’s verification, internal audit or monitoring program;

4.1.12 Be made publicly available, except confidential business and personal information and other information made confidential by legislation or for the protection of cultural sites or sensitive natural resources; and

4.1.13 Identify landowner goals and strategies and silviculture for achieving those goals to be applied to each individual landowner appropriate to the size, scale and intensity of small lands certified via the module.

4.2. GROUP MEMBER’S MANAGEMENT PLAN

In the event that a landowner, or landowner agent, opts to have and implement a written forest management plan for an individual group member, it shall be consistent with the size of the ownership and the scale and intensity of the forest activities.

4.2.1 Management plan shall be active, adaptive and embody the landowner’s current objectives, remain appropriate for the land certified and reflect the current state of knowledge about natural resources and sustainable forest management.

4.2.2 Management plan shall:
   a. Describe current forest conditions, landowner’s objectives, management activities aimed at achieving landowner’s objectives, document a feasible strategy for activity implementation and include a map accurately depicting significant forest-related resources.

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9 The Objective 3 (Use of Qualified Resource Professionals, Qualified Logging Professional and Certified Logging Companies), Objective 6 (Training and Education) and Objective 7 (Community Involvement and Landowner Outreach) of the SFI 2022Fiber Sourcing Standard provides a framework for communicating the content of the forest management plan or its relevant parts to landowners, resource and logging professionals and for its on-the-ground implementation.
b. Demonstrate consideration of the following resource elements: forest health, soil, water, wood and fiber production, threatened or endangered species, special sites, invasive species and Forests of Recognized Importance\(^\text{10}\) (in the United States) or Forests with Exceptional Conservation Value (in Canada). Where present and relevant to the property, the plan shall describe management activities related to these resource elements.

c. Where present, relevant to the property and consistent with landowner’s objectives, the plan preparer should consider, describe and evaluate the following resource elements: fire, wetlands, desired species, recreation, forest aesthetics, biomass and carbon.

4.2.3 The Landowner or landowner agent should monitor for changes that could interfere with the management objectives as stated in management plan. When problems are found, reasonable actions are taken.

4.3 FOREST MANAGEMENT PRACTICES ON CERTIFIED AREA

The Group Manager shall ensure through a verifiable monitoring system that:

4.3.1 Landowner shall comply with all relevant federal, state, provincial, county, and municipal laws, regulations and ordinances governing forest management activities.
   4.3.1.1 Landowner shall comply with all relevant laws, regulations and ordinances and will correct conditions that led to adverse regulatory actions, if any.
   4.3.1.2 Landowner should obtain advice from appropriate qualified natural resource professionals or qualified contractors who are trained in, and familiar with, relevant laws, regulations, and ordinances.

4.3.2 Reforestation or afforestation shall be achieved by a suitable process that ensures adequate stocking levels.
   4.3.2.1 Reforestation or afforestation shall achieve adequate stocking of desired species reflecting the landowner’s objectives, within five years after regeneration harvest, or an appropriate time frame for local conditions, or within a time interval as specified by applicable regulation.

4.3.3 Landowner shall meet or exceed practices prescribed by state or provincial forestry best management practices that are applicable to the property.
   4.3.3.1 Landowner shall implement specific state or provincial forestry best management practices that are applicable to the property.
   4.3.3.2 Landowner shall minimize road construction and other disturbances within riparian zones and wetlands.

4.3.4 Landowner shall consider a range of forest management activities to control pests, pathogens, and unwanted vegetation.
   4.3.4.1 Landowner should evaluate alternatives to pesticides for the prevention or control of pests, pathogens, and unwanted vegetation to achieve specific management objectives.
   4.3.4.2 Pesticides used shall be approved by the Environmental Protection Agency (EPA) in the United States or the Pest Management Regulatory Agency (PMRA) of Health Canada, and applied, stored, and disposed of in accordance with EPA or PMRA approved labels and by persons appropriately trained, licensed, and supervised.

4.3.5 When used, prescribed fire shall conform with landowner’s objectives and all applicable rules, laws, and regulations.

4.3.6 Prescribed burns shall conform with the landowner’s objectives and state and local laws and regulations. Forest management activities shall protect habitats and communities occupied by threatened or endangered species as required by law.
   4.3.6.1 Landowner shall confer with natural resource agencies, state or provincial natural resource heritage programs (i.e., NatureServe databases), qualified natural resource professionals or other current sources of information to determine occurrences of threatened or endangered species on the property and their habitat requirements.
   4.3.6.2 Forest management activities shall incorporate measures to protect identified threatened or endangered species on the property.

4.3.7 Landowner should address the desired species and/or desired forest communities when conducting forest management activities, if consistent with landowner’s objectives.
   4.3.7.1 Landowner should consult available and accessible information on management of the forest for desired species and/or forest communities and integrate it into forest management.

\(^{10}\)Globally, regionally and nationally significant large forest landscape areas of exceptional ecological, social, cultural or biological values. These forests are evaluated at the landscape level, rather than the stand level, and are recognized for a combination of unique values, rather than a single attribute.
4.3.8 Landowner should make practical efforts to promote forest health.
4.3.8.1 Landowner should make practical efforts to promote forest health, including prevention, control or response to disturbances such as wildland fire, invasive species and other pests, pathogens or unwanted vegetation, to achieve specific management objectives.

4.3.9 Where present, forest management activities should maintain or enhance Forests of Recognized Importance (in the United States) or Forests with Exceptional Conservation Value (in Canada).
4.3.9.1 Appropriate to the scale and intensity of the situation, forest management activities should incorporate measures to contribute to the conservation of identified Forests of Recognized Importance (in the United States) or Forests with Exceptional Conservation Value (in Canada).

4.3.10 Landowner should manage the visual impacts of forest management activities consistent with the size of the forest, the scale and intensity of forest management activities and the location of the property.
4.3.10.1 Forest management activities should apply visual quality measures compatible with appropriate silvicultural practices.

4.3.11 Forest management activities shall consider and maintain any special sites relevant on the property.
4.3.11.1 Landowner shall make a reasonable effort to locate and protect special sites appropriate for the size of the forest and the scale and intensity of forest management activities.

4.3.12 Landowner should use qualified natural resource professionals and qualified contractors when contracting for services.
4.3.12.1 Landowner should seek qualified natural resource professionals and qualified contractors.
4.3.12.2 Landowner should engage qualified contractors who carry appropriate insurance and comply with appropriate federal, state, provincial and local safety and fair labor rules, regulations, and standard practices.
4.3.12.3 Landowners should retain appropriate contracts or records for forest product harvests and other management activities to demonstrate conformance to the standards.
4.3.12.4 Landowner or designated representative shall monitor forest product harvests and other management activities to ensure they conform to their objectives. Harvest, utilization, removal, and other management activities shall be conducted in compliance with the landowner’s objectives and to maintain the potential of the property to produce forest products and other benefits sustainably.

SFI SMALL-SCALE FOREST MANAGEMENT MODULE FOR INDIGENOUS PEOPLES AND FAMILIES

PART 1: GENERAL

1.1 SCOPE
The SFI Small-Scale Forest Management Module for Indigenous Peoples and Families (the module) applies to individual small-scale forest properties or forest licenses and to groups of small-scale forests co-operating for the purposes of obtaining sustainable forest management certification.

The module offers the managers of small-scale public forests, including those within the jurisdiction of Indigenous governments, and owners of small-scale private forests the opportunity to participate individually or within a group certification organization, to benefit from the economies of scale afforded by working with a group of small-scale forest owners and managers of forest licenses.

1.2 ELIGIBILITY FOR CERTIFICATION UNDER THE SFI SMALL-SCALE FOREST MANAGEMENT MODULE FOR INDIGENOUS PEOPLES AND FAMILIES
Any small-scale forest property or forest license managed or owned by Indigenous peoples, families, communities, or joint ventures where the total area in timber production does not exceed 20,000 hectares is eligible for certification to the module. The total area certified to the module may exceed 20,000 hectares when the non-timber producing areas and areas managed for conservation or recreation purposes are included.

Small-scale forest properties and forest licenses between 5,000 and 20,000 hectares must be under the management of a qualified resource professional or an individual that meets the legal requirements for planning and supervising forest management practices for the jurisdiction.

Small-scale forest properties and forest license include but are not limited to:
- Small forest properties or woodlots;
- British Columbia Woodlot Licences;
• Forestlands owned or managed by First Nations or Métis peoples, families, communities, or joint ventures (e.g., First Nations Woodland Licenses — British Columbia; County Forests — Ontario); and
• Crown forest licensed to communities (e.g., Community Forest Agreement — British Columbia; Lots Intramunicipaux — Quebec; Community Forests - Nova Scotia).

Forests with more than 20,000 hectares of land managed for timber production shall certify to the SFI 2022 Forest Management Standard.

Land used for purposes other than sustainable forest management are not within the scope of this module. Forestland converted from forest to non-forest uses shall not be certified to this SFI Small-Scale Forest Management Module for Indigenous Peoples and Families. This does not apply to forestlands used for forest management infrastructure such as forest roads, log processing areas, recreation trails or hunting.

1.3 WHAT THE SFI SMALL-SCALE FOREST MANAGEMENT MODULE FOR INDIGENOUS PEOPLES AND FAMILIES DOES

Private forest ownership in Canada consists of more than 450,000 forestland owners. In addition, there are many small-scale forests under the management of communities, Indigenous Peoples, or the federal government on behalf of Indigenous Peoples. The limited revenues from forest management operations on small-scale forests, their periodic management activities, as well as a limited financial ability to demonstrate their conformity to the requirements of a forest management certification system, may present significant barriers to certification.

The module offers a pathway to certification for individual forests or for a group of forests operating as a group certification organization under a single certificate. The module allows members to sell fiber as certified forest content and satisfies the requirements for the use of SFI 2022 Chain-of-Custody Standard.

The certified organization as defined in this module can also provide the management structure to address the forest management requirements associated with carbon-offset protocols.

1.4 WHAT THE SFI SMALL-SCALE FOREST MANAGEMENT MODULE FOR INDIGENOUS PEOPLES AND FAMILIES COVERS:
• requirements of the SFI 2022 Forest Management Standard applicable to small-scale managed forests that seek to enhance forest management practices to address the conservation of biodiversity, protection of water quality and quantity, soil health and productivity, reforestation, and the use of qualified resource professionals and qualified logging professionals where available;
• additional requirements for sustainable forest management that are applicable to small-scale managed forests; and
• requirements relating to the management of the group certification organization (see Part 4).

1.5 GEOGRAPHIC APPLICATION OF THE SFI SMALL-SCALE FOREST MANAGEMENT MODULE FOR INDIGENOUS PEOPLES AND FAMILIES

The module applies to individually owned forests or managed public forests and group certification organizations in Canada.

PART 2: REFERENCES

This module incorporates, by dated or undated reference, provisions from other publications. These normative and informative references are cited at the appropriate places in the text and the publications are listed in 2.1. For dated and undated references, the latest edition of the application applies.

2.1 NORMATIVE REFERENCES
i. ISO/IEC 17021-1 — Conformity Assessment – Requirements for bodies providing audit and certification of management systems
iii. SFI 2022 Standards and Rules:
   • Section 2 — SFI 2022 Forest Management Standard
   • Section 8 — SFI Policies
   • Section 10 — SFI 2022 Audit Procedures and Auditor Qualification and Accreditation
   • Section 11 — Communication and Public Reporting
   • Section 13 — Optional Modules
   • Section 14 — SFI Definitions
iv. Interpretations for the Requirements for the SFI 2022 Standards and Rules
For the purposes of this module, the relevant definitions given in ISO/IEC Guide 2:2004 apply together with the definitions in the SFI Definitions (Section 14).

2.2 INFORMATIVE REFERENCES
i. PEFC ST 1002:2018 — Group Forest Management Certification
ii. PEFC ST 1003:2018 — Sustainable Forest Management – Requirements
iii. Section 4 — SFI 2022 Chain-of-Custody Standard
iv. Section 6 — Rules for Use of SFI On-Product Labels and Off-Product Marks
v. Section 7 — Guidance to SFI 2022 Standards and Rules
vi. Section 9 — SFI Standards Development and Interpretations Process
vii. Section 12 — Public Inquiries and Official Complaints

Definitions: All italicized terms in the SFI Small-Scale Forest Management Module for Indigenous Peoples and Families are defined in Appendix 1.

PART 3: PRINCIPLES

The principles underlying this module are based on a belief that small-scale forest landowners and land managers have an important stewardship responsibility and commitment to society, and that they recognize the importance of managing forests for conservation and traditional values, in addition to commercial benefits. Landowners, managers and members of group certification organizations understand the need to keep forestland as forest and protected from conversion to non-forest use.

Individual forest landowners, land managers and group certification organizations certified to the module shall have written procedures to implement and achieve the requirements included in the module, that are consistent with and advance the following principles:

1. Sustainable Forestry
To practice sustainable forestry means meeting the needs of the present while promoting the ability of future generations to meet their own needs by practicing a land stewardship ethic that integrates reforestation and the managing, growing, nurturing and harvesting of trees for useful products, and for the provision of ecosystem services such as the conservation of soil, air and water quality and quantity, climate change adaptation and mitigation, biological diversity, wildlife and aquatic habitats, recreation and aesthetics.

2. Forest Productivity and Health
To provide for regeneration after harvest, maintain the health and productive capacity of the forest land base, and to protect and maintain long-term forest health and productivity. In addition, to protect forests from economically, environmentally or socially undesirable impacts of wildfire, pests, diseases, invasive species and other damaging agents and thus maintain and improve long-term forest health and productivity.

3. Protection of Water Resources
To protect and maintain the water quality and quantity of water bodies and riparian areas, and to conform with forestry best management practices to protect water quality, to meet the needs of both human communities and ecological systems.

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

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 geologically or culturally important in a manner that takes into account their unique qualities.

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

8. Research
To support advances in sustainable forest management through research, science, and technology.
9. Training and Education
To improve the practice of sustainable forestry through training and education programs.

10. Community Involvement and Social Responsibility, and Respect for Indigenous Rights
To broaden the practice of sustainable forestry on all lands through community involvement, socially responsible practices, and through recognition and respect of Indigenous Peoples’ rights and traditional forest-related knowledge.

11. Transparency
To broaden the understanding of forest certification to the SFI Small-Scale Forest Management Module for Indigenous Peoples and Families, by documenting certification audits and making the findings publicly available.

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

13. Responsible Fiber Sourcing
To use and promote sustainable forestry across a diversity of ownership and management types in the United States and Canada that is both scientifically credible and socially, environmentally, and economically responsible and to avoid sourcing from controversial sources both domestically and internationally.

PART 4: REQUIREMENTS FOR MANAGEMENT OF A GROUP CERTIFICATION ORGANIZATION

The requirements of Part 4 apply only to the manager and members of a group certification organization. Part 4 does not apply to individual land managers or landowners.

4.1 RESPONSIBILITIES OF THE GROUP CERTIFICATION ORGANIZATION MANAGER:

4.1.1 Provide a commitment on behalf of the group certification organization to establish and maintain practices and procedures in accordance with the requirements of this module.

4.1.2 Represent the group certification organization in the certification process, including communications and relationships with the certification body, submission of an application for a certification audit and the contractual relationship with the certification body.

4.1.3 Establish a formal relationship with each member based on a written agreement that shall include the member’s commitment to participate in the group certification organization and comply with the conditions of membership, the requirements of the module and have their lands or tenures included in the forest certificate. The written agreement shall:
   i. cover general information on the size and location of the area covered by the forest certificate and the management goals,
   ii. give the manager access to the member’s forest management plan, and
   iii. give the manager the authority to identify and require any corrective or preventive measures and to initiate the suspension of any member from the forest certificate in the event of continuing nonconformity with the requirements of the module.

4.1.4 Establish procedures for inclusion of new members within the group certification organization including an internal assessment of conformity with the module as well as identification and implementation of corrective and preventive measures. The procedures will include receiving and reviewing applications from potential members, management plans and a field inspection of the managed forest to identify conditions that may require corrective action.

4.1.5 Maintain and achieve conformance with all requirements of the module.

4.1.6 Establish written procedures for the management of the group certification organization and clearly define and assign responsibilities for sustainable forest management and conformance with the requirements for certification to the module.

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11 The requirements for the management of the group are based on eligibility criteria in Appendix 3 of this Module.

12 The requirement for member commitment is consistent with a requirement for a policy (or policies) to maintain and achieve principles of the SFI Small-Scale Forest Management Module for Indigenous Peoples and Families and the principles of the SFI 2022 Forest Management Standard.
4.1.7 Provide all members with information and guidance needed for effective implementation and maintenance of practices and procedures in accordance with the requirements of this module. This includes:
   i. information sessions on various aspects of sustainable forest management including best management practices and practices for protection of wildlife and soil health.
   ii. information on threatened and endangered species, as well as species at risk, found in the region including their habitat and requirements for protection.
   iii. information on provincial and local regulations applicable to forest management.

4.1.8 Keep records on:
   i. all members, including their contact details, identification of their tenure or property and the certified area;
   ii. the total area covered by the group forest certificate;
   iii. commercial harvesting operations carried out on the forests owned/managed by the group members;
   iv. the internal monitoring program and audits;
   v. the members' conformity with the certification requirements of the module and
   vi. forest management Objectives as defined in Part 5.

4.1.9 Maintain an annual monitoring program sufficient to ensure conformance with the requirements of the module by the group certification organization and individual members. The monitoring program shall be based on members’ reports of commercial harvesting operations and a sampling of members’ properties provided:
   i. it is based on an appropriate risk management methodology considering:
      a. the scale and type of members’ activities (commercial harvesting operations, road/trail construction, pesticide use, reforestation, silviculture);
      b. geographic distribution of members within the area covered by the group certification organization;
      c. categories of forestland ownership or tenure and size; and,
      d. previous non-conformities;
   ii. the number of sites sampled equals at least the square root of the total number of participating members who have reported management activities in accordance with Part 5 during the interval between the annual monitoring programs.

4.1.10 Establish and maintain a system to monitor the conformity of members based on results of the monitoring data sufficient to assess performance of the group certification organization. This shall include a system for collecting, reviewing, and reporting information to the manager regarding progress in achieving conformity with the module.

4.1.11 Establish corrective and preventive measures as required and evaluate the effectiveness of corrective actions taken by members of the group certification organization.

4.1.12 Based on the results of the monitoring program, communicate to the relevant certification body those members with serious and continuing non-conformities that have not been resolved and that resulted in the member's removal from the group certification organization.

4.1.13 Prepare an annual summary report detailing:
   i. evaluation of achievement of the forest management Objectives as defined in Part 5;
   ii. the members in the group certification organization;
   iii. the total certified area;
   iv. the area covered by forest management activities;
   v. the types of forest management activities used by members (commercial harvesting operations, road/trail construction and maintenance, reforestation silviculture);
   vi. a list of known special sites;
   vii. the volumes of products harvested; and
   viii. the progress of conformance with the module including the implementation of an internal monitoring program and measures to address preventative and/or corrective actions.

4.1.14 Establish a program(s) to:
   i. support and promote mechanisms for public outreach, including other forest owners and managers and
   ii. engage at the local or provincial level on issues related to sustainable forest management.

4.1.15 Establish a program to respond annually to the SFI annual progress report surveys.
4.2 RESPONSIBILITIES OF THE MEMBER:

4.2.1 To commit, through a written agreement with the group certification organization manager, to implement and maintain the relevant requirements of the module as listed in Part 5.

4.2.2 To present a forest management plan that is appropriate to the size of the forest property or tenure, the member’s management goals, the scale and intensity of management as determined by a qualified resource professional or other qualified individual.

4.2.3 To respond effectively to all requests from the manager or a certification body for relevant data, documentation, or other information whether in connection with third-party audits, internal monitoring, annual reports on forest management operations, reviews, or other requirements.

4.2.4 To implement relevant corrective and preventive actions required by the manager.

PART 5: REQUIREMENTS FOR SUSTAINABLE FOREST MANAGEMENT

The individual forest landowner, land manager or group certification organization manager shall ensure conformance with the requirements in Part 5 for implementing forest management Objectives 1-9 and forest management practices on the certified area. Where the term member is used, the individual forest landowner or land manager shall understand these requirements to apply to him/her.

Examples of forest management goals are:

i. improve age class distribution;
ii. promote long-term sustainable harvest levels;
iii. increase hardwood component;
iv. increase amount of saw-timber;
v. promotion of non-timber forest products (e.g., maple syrup);
vi. encourage afforestation of marginal/sub-marginal lands no longer suitable for agriculture;
vii. support of programs for conservation of old growth forests, biological diversity, and water quality and quantity;
viii. promotion of integrated pest management practices; and
ix. promotion of opportunities for recreation.

(Note: Guidance text appears throughout this section inside boxes. This guidance is meant to inform the forest landowner, land managers and group certification organization managers about the intent of the SFI Small-Scale Forest Management Module for Indigenous Peoples and Families and how it may be applied on-the-ground. Guidance text is not considered normative language. Where the term member is used, the individual forest landowner, land manager may consider this guidance as being appropriate to him/her.)

Objective 1 — Forest Management Planning:

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

(Note: Members may consider adopting some of the forest management goals in the Guidance box above to improve forest health and productivity, promote biodiversity and protect water quality and quantity on the certified area.)

Using members and/or land managers information sessions, an on-going monitoring system, and individual outreach to members, the manager shall ensure that the following aspects of forest management are implemented in conformance with the requirements of the module.

The management plan shall:

i. be appropriate to the size of the managed forest, the member’s or land manager’s forest management goals, and the scale and intensity of management.

ii. describe present forest conditions and forest conditions to be achieved;

iii. make all practical efforts to promote forest health, including prevention, control, or response to disturbances such as wildfire, invasive species and other pests, pathogens, or unwanted vegetation, to achieve specific forest management goals;

iv. address species at risk and their habitat requirements as well as measures to conserve these species and their habitats within the area of management;
v. include measures to address known special sites and
vi. provide information on other local, provincial, and federal regulations applicable to forest management and threatened and endangered species including species at risk.

Forests from 10 hectares to 20,000 hectares in area are eligible for certification under the module. The management plans will reflect the management goals, size of the forest and the scale of management operations. Larger forests will require an inventory upon which to base an assessment of the long-term sustainable harvest level and to permit planning and scheduling of harvest operations. Smaller forests require a simpler management plan.

Small-scale forest properties and forest licenses between 5,000 and 20,000 hectares must be under the management of a qualified resource professional or an individual that meets the legal requirements for conducting forest management for the jurisdiction.

The forest management plan is based on sound forest management science and embodies the members or land manager’s current management goals. It describes the present forest conditions and provides a practical schedule of silvicultural treatments to achieve the management goals. It includes: a map showing significant features of the forest and includes considerations of forest health, conservation of soil productivity, and water quality; timber production; protection of threatened and endangered species including species at risk; and special sites, traditional forest-related knowledge, and ecologically important sites. Forest management operations such as road construction, commercial harvesting operations and reforestation should be covered by an operating plan or comply with best management practices. See Appendix 2 for additional information regarding forest management plans.

Objective 2 — Forest Health and Productivity:
To ensure long-term forest productivity, carbon storage and conservation of forest resources through prompt reforestation, afforestation, minimized chemical use, soil conservation, and protecting forests from damaging agents.

i. An operating plan shall be prepared for each harvest activity (other than cutting volumes for personal use or cultural use) to document appropriate silviculture and regeneration methods and other forest management practices;
ii. All harvested areas shall be promptly regenerated through planting or direct seeding within two years or two planting seasons, or by planned natural regeneration methods within five years. Desirable advanced natural regeneration shall be protected during harvest;
iii. Plantings of native or non-invasive naturalized tree species are preferred. In exceptional circumstances where exotic tree species are planted, they should not increase the risk to native ecosystems;
iv. The use of fire is allowed as a silvicultural or forest management technique for achievement of defined forest management goals (e.g., enhancing the growth of non-timber forest products, enhancement of wildlife forage, hazard abatement near communities, etc.);
v. The use of integrated pest management is preferred. When pesticides are used, they shall be the least-toxic and narrowest-spectrum pesticides necessary to achieve forest management goals. The use of pesticides shall be controlled and minimized with preference for the use of integrated pest management methods;
vi. Use of pesticides registered for the intended use and applied in accordance with label requirements; and
vii. The use of WHO Type 1A and 1B pesticides, chlorinated hydrocarbons and any pesticides banned by the Stockholm Convention on Persistent Organic Pollutants is prohibited.

The member ensures adequate stocking with desirable and site-adapted species throughout the harvested area by prompt tree planting or natural regeneration within five years of harvesting. Tending of young trees may be required to achieve free-to-grow status. Use of prescribed burning, when it is utilized, complies with all local and provincial regulations.

Afforestation, where it is practised, should consider potential ecological impacts of the selection and planting of tree species in non-forested landscapes avoiding conversion of native grasslands and wetlands to forests. Afforestation should be considered for soils that are marginal or sub-marginal for agricultural use (stony soils, steep topography, etc.). Afforestation can increase habitat for forest-dependent wildlife, moderate stream flow and contribute to the rural economy.

Although pesticides can be an effective silvicultural tool, members should first consider integrated pest management techniques. Pesticides are be used by trained and licensed applicators.

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

Exemptions are allowed where no other viable alternative exists.
i. Members shall implement federal and provincial water quality best management practices and practices to protect water quantity during all phases of management activities.

ii. Contract provisions shall specify conformance to best management practices.

iii. Harvest and road building activities shall be conducted during weather conditions that minimize impacts on residual trees, biodiversity, water quality and quantity and soil resources.

iv. Member shall have measures for the protection of rivers, streams, lakes, wetlands, other water bodies and riparian areas during all phases of management, including the layout and construction of roads and skid trails to maintain water quality and quantity.

v. Use qualified logging or qualified resource professionals where they are available if the member is not conducting the work himself or herself.

vi. Harvesting and log transportation operations shall be conducted in conformity with the requirements of this module.

Carry out forest management and road construction operations during weather conditions that minimize site disturbance. The member applies provincial regulations and best management practices to mitigate impacts of forestry operations on water resources. Members should have written agreements with contractors that have completed training programs and are recognized as qualified logging or resource professionals where they are available. Members should keep records of harvests and ensure the efficient utilization of all felled trees.

Road construction and other operations likely to cause soil disturbance are minimized in riparian areas and near wetlands. Drainage structures of sufficient size are installed to maintain natural drainage patterns and do not impede the passage of fish.

**Objective 4 — Conservation of Biological Diversity:**

To maintain or advance conservation of biological diversity at the stand- and landscape-level and across a diversity of forest cover types, vegetation cover types and successional stages, including the conservation of forest plants and animals, including aquatic species, as well as threatened and endangered species, Forests with Exceptional Conservation Value, old-growth forests, and ecologically important sites.

i. Implementation of practices, as guided by regionally based best scientific information, or traditional forest-related knowledge to retain stand-level wildlife habitat elements such as snags (where safe to do so), stumps, mast trees, down woody debris, den trees and nest trees.

ii. Identification and protection of non-forested wetlands, including bogs, fens and marshes, and vernal pools that are ecologically important.

iii. Maintain habitat for threatened and endangered species including species at risk by providing age class diversity wherever feasible and appropriately considering other conservation and ecological factors or culturally important species.

iv. The member shall have access to information on the occurrence, habitat, and requirements for protection of threatened and endangered species including species at risk found in the certified area covered by the forest certificate.

The member is aware of the presence and location of ecologically important sites such as vernal pools, riparian areas, wetlands, stick nests and den trees. The member has received and has used information on local occurrence of threatened and endangered species including species at risk and requirements for habitat protection. Use of qualified logging or resource professionals where available should be considered for planning and conducting forest management activities.

**Objective 5 — Management of Visual Quality and Recreational Benefits:**

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

i. When considering harvest opening size the member shall take into account:
   a. relevant regulations applicable to tree harvesting;
   b. management plan goals and current stand conditions;
   c. topography and viewpoints; and
   d. local values and practices regarding harvest opening size.

ii. Average size of clearcut harvest areas does not exceed 50 hectares (120 acres), except when necessary to meet regulatory requirements, achieve positive ecological outcomes or to respond to forest health emergencies or other natural catastrophes.

iii. Trees in clearcut harvest areas are at least 3 years old or 1.5 meters high at the desired level of stocking before adjacent areas are clearcut, or as appropriate to address operational and economic considerations, alternative methods to reach the intent of the Objective are utilized by the member.

iv. On public forests, provide recreational opportunities for the public, where consistent with forest management goals.

The member applies the appropriate management practices to determine the cut block size and shape in order to mitigate impacts on aesthetics.

**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 — Recognize and Respect Indigenous Peoples’ Rights:
To recognize and respect Indigenous Peoples’ rights and traditional knowledge.

i. Members managing forestland that is wholly or partially on public lands shall recognize and respect Indigenous Peoples’ rights. This requires a program for conferring with affected Indigenous Peoples to enable members to:
   a. understand and respect traditional forest-related knowledge;
   b. identify and protect spiritually, historically, or culturally important sites;
   c. address the use of non-timber forest products of value to Indigenous Peoples in areas where members have management responsibilities on public lands; and
   d. respond to Indigenous Peoples’ inquiries and concerns received.

ii. Where Crown government agencies responsible for consultation with affected Indigenous Peoples regarding forest management operations on forestland exist, these agencies shall be the primary means of communicating with Indigenous Peoples whose rights may be affected by the member’s management practices, unless explicitly delegated to the member by said agency through written direction or regulation.

Consultation is required only when the forestland under management is wholly or partially on public land. In all cases Certified Organizations should respect the processes, laws, and direction received from relevant government agencies derived through nation-to-nation relationships where the certification takes place. Where appropriate, Certified Organizations should consider consultation regarding traditional forest-related knowledge.

Objective 8 — Legal and Regulatory Compliance:
To comply with applicable federal, provincial, and local laws and regulations.

i. The member shall either a) hold legal title to the property and shall ensure that property boundaries are clearly defined, or b) demonstrate legal tenure for public forestlands and ensure that tenure boundaries are clearly defined;

ii. There is a program to ensure legal and regulatory compliance. The program shall ensure that members:
   a. are aware of applicable federal, provincial, and local environmental laws and regulations, including those specific to sustainable forest management and the recognition of Indigenous Peoples’ rights;
   b. have a system to achieve compliance with applicable federal, provincial, or local laws and regulations; and
   c. have access to information on threatened and endangered species including species at risk in the certified area.

The manager of a group certification organization should provide all members a copy of all applicable laws and regulations. These regulations can be provided in digital format. Members should use this information to ensure compliance. Use of qualified logging or resource professionals where available should be considered for conducting forest management activities.

Objective 9 — Community Involvement and Outreach:
To broaden the practice of sustainable forestry through public outreach, education, and involvement and to support the efforts of SFI Implementation Committees.

i. Members and managers of group certification organizations shall engage with their provincial or regional SFI Implementation Committee.

ii. Members and managers of group certified organizations promote certification among the forest owners and managers community.

iii. When requested by the members, the manager of the group certification organization shall organize an annual meeting to review the activities, accomplishments and problems encountered during the year, as well as future plans for the group certification organization.

Having the group certification organization manager represent their members on the SFI Implementation Committee will assist with representing members within the provincial or regional SFI community. This will allow members to stay informed about developments with the SFI program.

Annual meetings of the group certification organization are an effective means of sharing group accomplishments, discussing developments in forest management and learning of updates to provincial programs supporting small-scale private forest members or small-scale public forest tenures.
APPENDIX 1. DEFINITIONS (NORMATIVE)

The following definitions apply to italicized words in the SFI Small-Scale Forest Management Module for Indigenous Peoples and Families.

acceptable forest management standards: These standards are all endorsed in the United States and Canada by the Program for the Endorsement of Forest Certification schemes (PEFC).

- SFI 2022 Forest Management Standard
- Canadian Standards Association (CAN/CSA-Z809)
- SFI Small-Scale Forest Management Module for Indigenous Peoples and Families

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).

aquatic species: Animals that live on or within water during some stage of their development.

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.

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:

- Standards Council of Canada (SCC) as being competent to conduct certifications to the SFI 2022 Forest Management Standard, SFI Fiber Sourcing Standard, SFI Chain-of-Custody Standard or SFI Certified Sourcing Standard, SFI Small Lands Group Certification Module, or SFI Small Scale Forest Management Module for Indigenous Peoples and Families.

certified area: The forest area covered by a SFI 2022 Forest Management Standard or SFI Small-Scale Forest Management Module for Indigenous Peoples and Families 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.

certified forest content: Raw material from lands third-party certified to acceptable forest management standards.

certified organization: An organization certified by an accredited certification body to be in conformance with the SFI 2022 Forest Management Standard, SFI Small-Scale Forest Management Module for Indigenous Peoples and Families, SFI 2022 Fiber Sourcing Standard, SFI 2022 Chain of Custody Standard and/or the SFI 2022 Certified Sourcing Standard.

commercial harvesting operations: Wood harvested for sale or trade.

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.

culturally important: Having significance for or being representative of human activities or beliefs (e.g., documented areas such as cemeteries, sacred sites).

eyecologically 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 viable occurrences of species or natural communities that are integral to the identity or function of an ecosystem, but which may be relatively uncommon on the landscape, including species or ecological communities with a high “S-Rank” or “G-Rank” from NatureServe, subject to the discretion of the Certified Organization.
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.)

forest certificate: A document confirming that an individual small-scale forest or members of a group certification organization conform to the requirements for certification to the SFI Small-Scale Forest Management Module for Indigenous Peoples and Families.

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 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.

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 7 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 7 of the SFI 2022 Standards and Rules.)

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.

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.

Indigenous Peoples: Inclusive of all Indigenous Peoples residing in Canada. More specifically, Indigenous Peoples includes peoples that are recognized by section 35(2) of the Constitution Act, 1982.

In Canada, Indigenous and Northern Affairs Canada provides a list of the 619 recognized First Nations by province. 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 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).

invasive species (invasive): 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.

land manager: An individual or organization authorized by the member/license holder to manage their forestland within the certified area and has the ability and management authority to implement the certification requirements of the SFI Small-Scale Forest Management Module for Indigenous Peoples and Families.

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).
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, 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 11 Forest Management Standard, Objective 4 Fiber Sourcing Standard and the SFI Small-Scale Forest Management Module for Indigenous Peoples and Families: a level of government below federal, state or province such as county, district, city, township, municipality, town, or parish.

long-term: Extending over a relatively long time period — for the SFI 2022 Standards, this means the length of one forest management rotation or longer.

member: A land manager or landowner who has agreed to join the group certification organization and conform with the requirements of the SFI Small-Scale Forest Management Module for Indigenous Peoples and Families.

minimize: To do only that which is necessary and appropriate to accomplish the task or Objective described.

native: Species of ecological communities occurring naturally in an ecological region, as neither a direct or indirect consequence of recent human activity. (Ecological Regions of North America: Levels I-II)

natural community: Natural communities are combinations of native plants and animals that are regularly found together in particular settings. Human-caused disturbances have been minimal, consistent with historical disturbance regimes (e.g., prescribed fire), or the natural community has recovered from that disturbance, or the human-caused disturbance falls within the range of natural disturbance. (Adapted from NatureServe).

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.

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. Certified Organizations should utilize a definition specific to their region and particular forest types.

personal use: Firewood or logs cut for personal use, not for sale or trade, limited to 50 cubic metres per year.

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.

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.

protection (or protect): Maintenance of the status or integrity, over the long term, of identified attributes or values including management where appropriate and considering historical disturbance patterns, fire risk and forest health when determining appropriate conservation strategies.

qualified logging professional: A person with specialized skills in timber harvesting 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 measures under Objective 13 in the SFI 2022 Forest Management Standard or Objective 6 in the SFI 2022 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 Standard(s) (e.g., safety, protection of soils, streams, and other water bodies).
b. To be considered a qualified logging professional, an individual must complete the required training appropriate to their level of responsibility (e.g., owner, supervisor, employee) within the specified time period required by their SFI Implementation Committee. SFI Implementation Committees have the flexibility to require different training requirements for owners of logging businesses versus training requirements for other employees (e.g., supervisors). Once classified as a qualified logging professional, the individual must complete the required SFI Implementation Committee maintenance training within the prescribed time period to retain their status as a qualified logging professional.

qualified resource professional: A person who by training and experience can make forest management recommendations. Examples include foresters, soil scientists, hydrologists, forest engineers, forest ecologists, fishery and wildlife biologists or technically trained specialists in such fields.

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.

SFI Implementation Committee: A state, provincial, or regional committee organized by Certified Organizations to facilitate or manage the programs and alliances that support the growth of SFI certification, including sustainable forest management.

SFI Small-Scale Forest Management Module for Indigenous Peoples and Families: The principles, policies, and requirements that detail specific small-scale forest management requirements for Certified Organizations.

SFI Section 10 – 2022 Audit Procedures and Auditor Qualifications and Accreditation: The principles and guidelines that detail specific requirements to Certified Organizations and certification bodies for conducting audits to the SFI 2022 Forest Management, Fiber Sourcing, Chain-of-Custody and Certified Sourcing Standards and the SFI Small Lands Group Certification Module and the SFI Small-Scale Forest Management Module for Indigenous Peoples and Families.

SFI 2022 Chain-of-Custody Standard: The requirements that detail processes for tracking fiber content from certified forest content, recycled content, and certified sourcing.

SFI 2022 Forest Management Standard: The principles, policies, objectives, performance measures and indicators that detail specific forest management requirements for Certified Organizations.

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 land managers and society on a sustainable basis.

skid trail: A temporary path through the woods to transport felled trees or logs to a collection area for further transportation.

small-scale forest property or forest license: Forests on public, title, treaty, reserve/reservation, fee-simple, or private land, that are owned or managed by an individual, group of investors or a municipality or county, that meet the size requirements in clause 1.1.2, are eligible to participate in an SFI Small-Scale Forest Management Module for Indigenous Peoples and Families certification module.

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

special sites: Sites that include geologically unique or culturally important features.

stand: A contiguous group of trees sufficiently uniform in age, composition, and structure, and growing on a site of sufficiently uniform quality, to be a distinguishable unit.

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

sustainable forest management: The management of forests and forestland in a way and at a rate that maintains their biodiversity, productivity, regeneration capacity, vitality, and potential to fulfil ecological, economic, and social functions.

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. SFI Inc. directs all elements of the Sustainable Forestry Initiative 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.
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.

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.

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, 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).

wildlife: Aquatic (marine and freshwater) and terrestrial fauna.

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.

APPENDIX 2. FOREST MANAGEMENT PLAN (INFORMATIVE)

In some jurisdictions, small-scale forest landowners and managers of small-scale public forests are required to use a government approved forest management plan template. For those jurisdictions where this is not a requirement, this Appendix details the elements that should be considered when preparing a forest management plan. An illustrative table of contents is included to assist with preparation.

The forest management plan should document the following information:

a. names and contact information of the registered landowner(s) or tenure holder(s) (i.e., the group certification organization’s members)
b. forest location (e.g., lot, concession, township, county) or tenure document
c. the size of the managed forest
d. a map (or aerial photo) showing:
   i. property boundaries
   ii. existing infrastructure (roads, trails, etc.)
   iii. location of watercourses and wetlands
   iv. area under management for timber production
   v. area managed for conservation/recreation purposes
   vi. known forest values (e.g., special sites), etc.
e. description of forest stands
f. prioritization of the management goals for the next 10-year period (e.g., timber production, recreation, conservation, maple syrup production, etc.)
g. professional recommendations to achieve the management goals
h. schedule of management operations including the timing of the next harvest, silvicultural activity, or construction of access roads/trails
i. a brief history of the property (length of ownership, past management activities, etc.)
j. a basic inventory of the forest under the plan. At a minimum, this inventory should consist of the species composition, basal area, and level of stocking

Where the land manager or member has access to some or all of the above information in digital format, it may be possible to represent the location and schedule of forest management operations using GIS or similar tools.

A list of legislation and policies (federal, provincial, local) that may affect forest management activities on the forest will be available to all group
A forest operations prescription/operating plan should be required for all road construction, silvicultural treatments, and commercial harvest operations. A municipal permit may also be required.

### Example Table of Contents for a Forest Management Plan

1: Property Owner or Tenure Holder Information  
   1.1 Registered Property Owner(s) / Tenure Holder  
   1.2 Plan Author Information  

2: Property or Tenure Location Information  
   2.1 Property / Tenure Location  
   2.2 Federal, Provincial and Local Policies and Regulations  

3: Property / Tenure History  
   3.1 History  
   3.2 Species at Risk  
   3.3 Local Natural Heritage Features  

4: Property / Tenure Map & Surrounding Area  

5: Member Forest Management Goals  
   5.1 General Management Goals  
   5.2 Detailed Property / Tenure management outcomes  
   5.3 Strategies to Meet Property / Tenure Goals  

6: Detailed Property / Tenure Map  

7: Managed Forest Compartment Descriptions  
   7.1 Forest Inventory Techniques  
   7.2 Forest Compartment Summary by Land Parcel  
   7.3 General Forest Soil & Drainage Description  
   7.4 Wildlife Habitat Inventory  

8: Ten-Year Activity Summary 202X–202X  


10: Access Trails  
   10.1 Access Trail Goals  
   10.2 Basic Trail Design Concepts  
   10.3 Trail Construction Best Management Practices  

11: Wildlife & Cavity Trees  

12: Coarse Woody Debris & Fine Woody Debris  

13: Buffer Zones Around Water & Open Wetlands
PART 1: SCOPE

Audits of group certification organizations to assess conformance with the SFI Small Scale Forest Management Module for Indigenous Peoples and Families.

PART 2: REFERENCES

IAF Mandatory Document for The Certification of Multiple Sites Based on Sampling Issue 2, Clause 6.1: Methodologies for Auditing of a Multi-site Organization Using Site Sampling (IAF MD1: 2018)


PART 3: GROUP CERTIFICATION ORGANIZATIONS

3.1 GENERAL

Group certification organizations formed to achieve SFI Small Scale Forest Management Module for Indigenous Peoples and Families certification, shall meet the requirements in this Appendix.

Group certification organizations formed to achieve SFI Small Scale Forest Management Module for Indigenous Peoples and Families certification, shall submit all the forest area under management within the area for the group certificate. All members in the group certification organization shall be subject to the internal monitoring and the internal audit program.

3.2 COMMITMENT AND POLICY

3.2.1 The group certification organization shall require a commitment:

a. to comply with module requirements and other applicable requirements of the certification system;
b. to integrate the group certification organization requirements in the group management system;
c. to continuously improve the group management system;
d. to continuously support the improvement of the sustainable forest management by members of the module 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 module in their operations.

3.2.3 Where a group certification organization plans any changes in the group management system, these changes shall be included in a group management plan.

3.2.4 Where a group certification organization decides to fulfil requirements of the module, these requirements shall be considered in a group management plan.

3.2.5 The group certification organization shall determine and maintain the resources needed for the establishment, implementation, maintenance, and continual improvement of the group management system.

3.2.6 The group certification organization shall define the necessary competence of persons doing work in the group management system.

3.2.7 The group certification organization shall have communication processes in place to raise the awareness of group members concerning:

a. the group management policy;
b. the requirements of the module;
c. their contribution to the effectiveness of the group management system, including the benefits of improved group performance;
3.3 ORGANIZATIONAL ROLES, RESPONSIBILITIES, AND AUTHORITIES FOR THE GROUP CERTIFICATION ORGANIZATION

3.3.1 Functions and responsibilities of the Group Manager

The following functions and responsibilities of the group manager shall be specified:

a. implement and maintain an effective management system covering all group members;
b. represent the group certification organization in the certification process, including in communications and relationships with the certification body, submission of an application for certification, and contractual relationship with the certification body;
c. establish written procedures for the management of the group certification organization;
d. establish written procedures for the acceptance of new 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 members who do not correct/close nonconformities. Members excluded from any group certification organizations based on nonconformities cannot be accepted within 12 months after exclusion;
f. keep documented information of:
   i. the group manager and members’ conformity with the requirements of the module,
   ii. all members, including their contact details, identification of their forest property and its/their size(s),
   iii. the certified area,
   iv. identification of affected stakeholders (for forest management group certification organizations),
   v. 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 module shall be up to date and adequately protected against loss of confidentiality, improper use, or loss of integrity.

h. establish connections with all members based on a binding written agreement which shall include the members’ commitment to comply with the module. The group manager shall have a written contract or other written agreement with all members covering the right of the group manager to implement and enforce any corrective or preventive measures, and to initiate the exclusion of any member from the scope of certification in the event of nonconformity with the module;

i. provide all members with a document confirming participation in the group certification organization.

j. provide all members with information and guidance required for the effective implementation and maintenance of the module;
k. address nonconformities reported from members which were identified under other certifications than the particular group certification organization and to ensure implementation with all members;
l. operate an internal monitoring program that provides for the evaluation of the group certification organization’s conformity with the module requirements;
m. operate an annual internal audit program covering both members and group manager;
n. operate a management review of the group certification organization and act on the results from the review;
o. provide full co-operation and assistance in responding effectively to all requests from the certification body, accreditation body for relevant data, documentation or other information; allowing access to the forest area covered by the group certification organization;
p. maintain appropriate mechanisms for resolving complaints and disputes relating to group management and the module requirements.

3.3.2 Function and responsibilities of Members

The following functions and responsibilities of the members shall be specified:

a. to provide the group manager with a binding written agreement, including a commitment on conformity with the module requirements and other applicable requirements of the certification system; members excluded from any certification group cannot apply for group membership within 12 months after exclusion;
b. to provide the group manager with information about previous group certification organization participation;
c. to comply with the module 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;
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.
4.1 MONITORING OF GROUP CERTIFICATION ORGANIZATION PERFORMANCE

4.1.1 The group certification organization shall maintain an internal monitoring program that provides confidence in the conformity of the group organization with the module requirements. The program shall determine:
   a. what shall be monitored and measured;
   b. the methods for monitoring, measurement, analysis and evaluation, as applicable, to ensure valid results;
   c. when the monitoring and measuring shall be performed;
   d. when the results from monitoring and measurement shall be analysed and evaluated;
   e. what documented information shall be available as evidence of the results.

4.1.2 The group certification organization shall evaluate the group management performance and the effectiveness of the group management system concerning the implementation of the module requirements.

4.2 INTERNAL AUDIT

4.2.1 The annual internal audit program shall provide information on whether the group certification organization’s management system:
   a. conforms to the group certification organization’s own requirements for its group management system and the requirements of the module;
   b. ensures the implementation of the module requirements at the member level;
   c. is effectively implemented and maintained.

4.2.2 The internal audit program shall cover the group manager and all members. The group manager shall be audited annually. The members may be selected on a sample basis.

4.2.3 The internal audit program which shall cover at least:
   a. the audit planning process;
   b. the audit criteria and scope;
   c. the competence and impartiality of the auditors;
   d. reporting the audit result to the group certification organization management;
   e. retaining of evidence of the implementation of the audit program and the audit results.

4.2.4 The internal audit program shall include procedures for:
   a. determination of the sample size;
   b. determination of sample categories;
   c. distribution of the sample to the categories;
   d. selection of the members.

4.2.5 At least 25% of the audit sample should be selected at random with the remaining sites selected on the basis of a risk assessment.

4.3 NONCONFORMITY, CORRECTIVE AND PREVENTATIVE ACTION

4.3.1 When a nonconformity occurs, the group manager shall implement corrective action and mitigate the impacts to the extent possible;

4.3.2 The group manager shall evaluate the need for preventative action to eliminate the causes of the nonconformity by:
   a. reviewing the nonconformity;
   b. determining the causes of the nonconformity;
   c. determining if similar nonconformities exist, or could potentially occur;
   d. implement any action needed;
   e. review the effectiveness of any corrective action taken;
   f. make changes to the group management system, if necessary.

4.3.3 The group manager shall retain documented information as evidence of:

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14 When designing and implementing a program to evaluate conformance with the SFI Small Scale Forest Management Module for Indigenous Peoples and Families, Certified Organizations should reference ISO 19011 Guidelines for auditing management systems.
15 Group certification organizations should reference IAF MD-1 for further information regarding audit sample selection.
a. the nature of the nonconformities and any subsequent actions taken;
b. the results of any corrective action.

4.3.4 A member who was excluded from a group certification organization shall be internally audited by the group manager before they are allowed to re-enter the group certification organization. The internal audit shall not take place sooner than 12 months after the exclusion.

4.4 MANAGEMENT REVIEW AND CONTINUAL IMPROVEMENT

4.4.1 An annual management review shall at least include:
   a. the status of actions from previous management reviews;
   b. changes in external and internal issues that are relevant to the group certification organization’s management system;
   c. the status of conformity with the module, that includes reviewing the results of the internal monitoring program the internal audit and the certification body’s evaluations and surveillance;
   d. information on the group certification organization’s performance, including trends in:
      i. nonconformities and corrective actions;
      ii. monitoring and measurement results;
      iii. audit results;
   e. opportunities for continual improvement.

4.4.2 The outputs of the management review shall include decisions related to continual improvement opportunities and any need for changes to the group certification organization’s management system.

4.4.3 The group certification organization shall retain documented information as evidence of the results of management reviews.
THE FOLLOWING DEFINITIONS APPLY TO ITALICIZED WORDS IN THE REQUIREMENTS FOR THE SFI 2022 STANDARDS AND RULES.

acceptable forest management standards: These standards are all endorsed in the United States and Canada by the Program for the Endorsement of Forest Certification schemes (PEFC).
  - SFI 2022 Forest Management Standard
  - SFI Small Lands Group Certification Module
  - SFI Small Scale Forest Management Module for Indigenous Peoples and Families
  - Canadian Standards Association (CAN/CSA-Z809)
  - Canadian Standards Association (CAN/CSA-Z804)
  - American Tree Farm System (ATFS) individual and group certification

adaptation: Climate change adaptation refers to actions that reduce the negative impact of climate change, while taking advantage of potential new opportunities. It involves adjusting policies and actions because of observed or expected changes in climate.

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).

Alliance for Zero Extinction: A global initiative of biodiversity conservation organizations, which aims to prevent extinctions by identifying and safeguarding key sites where species are in imminent danger of disappearing. The goal of the Alliance is to create a front line of defense against extinction by eliminating threats and restoring habitat to allow species populations to rebound.

American Tree Farm System® (ATFS): A national program that promotes the sustainable management of forests through education and outreach to private forest landowners.

aquatic habitat: An area where water is the principal medium and that provides the resources and environmental conditions to support occupancy, survival, and reproduction by individuals of a given species.

aquatic species: Animals that live on or within water during some stage of their development.

auditor: A person with the competence to conduct an audit (ISO 19011:2018).

audit team: One or more auditors conducting an audit, supported if needed by technical experts (ISO 19011:2018).

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.

bioenergy feedstock: Biomass used to produce 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:

certified area: The forest area covered by a SFI 2022 Forest Management Standard, SFI Small Lands Group Certification or SFI Small-Scale Forest Management Module for Indigenous Peoples and Families 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.

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 Forest Management Standard
- SFI Small Lands Group Certification Module
- SFI Small Scale Forest Management Module for Indigenous Peoples and Families
- Canadian Standards Association (CAN/CSA-Z809)
- Canadian Standards Association (CAN/CSA-Z804)
- American Tree Farm System (ATFS) individual and group certification.

post-consumer recycled content: Material generated by households or by commercial, industrial and institutional facilities in their role as end-users of the product, which can no longer be used for its intended purpose. Any claims about post-consumer recycled content by Certified organizations or label users shall be accurate and consistent with applicable law. 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.

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

Any claims about pre-consumer recycled content by Certified organizations or label users shall be accurate and consistent with applicable law. 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.

certified logging company: An entity that holds independent, in-the-forest verification of conformance with a logger certification program. The logger certification program shall require its members to:
- a. require its key personnel to complete SFI Implementation Committee approved qualified logging professional logger training program(s);
- b. comply with all applicable laws and regulations and measures to protect wildlife habitat including Forest with Exceptional Conservation Value (critically imperiled and imperiled species and ecological communities);
- c. use best management practices to protect water quality;
- d. adhere to a logging safety program;
- e. comply with acceptable silviculture and utilization standards;
- f. use aesthetic management techniques where applicable, and
- g. adhere to a management or harvest plan that is site specific and agreed to by the forest landowner.
Certified Organization: An organization certified by an accredited certification body to be in conformance with the SFI 2022 Forest Management Standard, SFI Small-Scale Forest Management Module for Indigenous Peoples and Families and/or the SFI 2022 Fiber Sourcing Standard and/or the SFI 2022 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 Fiber Sourcing Standard; and/or
- Pre-Consumer Recycled Content: Forest and tree-based material recovered from waste during a manufacturing process. Excluded is reutilization of materials such as rework, regrind or scrap generated in a process and capable of being reclaimed within the same process that generated it. Excluded are by-products resulting from primary production processes, such as sawmilling by-products (sawdust, chips, bark, etc.) or forestry residues (bark, chips from branches, roots, etc.) as they are not considered waste. Any claims about pre-consumer recycled content by Certified Organizations or label users shall be accurate and consistent with applicable law. 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: 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 or demolition. Any claims about post-consumer recycled content by Certified Organizations or label users shall be accurate and consistent with applicable law. Certified Organizations and label users are encouraged to consult the U.S. Federal Trade Commission’s guidelines on environmental claims in product advertising and communication and the guidelines on environmental labeling and advertising issued by the Fair Business Practices Branch of Industry Canada’s Competition Bureau, as appropriate, and to seek additional information and direction from national accreditation bodies, national standards bodies, and national, state and provincial consumer protection and competition laws; and/or
- Certified forest content: Includes content from specific forest tracts that are third-party certified to conform with the SFI 2022 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 SFI Section 4, Part 7 or SFI Section 5, Part 7 on the process to avoid controversial sources. Up to one third of the supply for secondary producers can come from non-controversial sources for use of the Certified Sourcing label; the other two-thirds must come from the sources defined under the certified sourcing definition — fiber that conforms with the SFI 2022 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:
- a. Forest activities which are not in compliance with applicable state, provincial, federal, or international laws.
- b. Forest activities which are contributing to regional declines in habitat conservation and species protection (including biodiversity and special sites, Alliance for Zero Extinction sites and key Biodiversity Areas, threatened and endangered species).
- c. Conversion sources originating from regions experiencing forest area decline.
- 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
- h. Conflict Timber.
- i. Genetically modified trees via forest tree biotechnology.
illegal logging: Harvesting and trading of wood fiber in violation of applicable laws and regulations in the country of harvest.

fiber sourced from areas without effective social laws: The United States and Canada have a strong legal framework. Fiber from countries without effective laws addressing the following will need a risk assessment:
1. workers’ health and safety;
2. fair labor practices;
3. Indigenous Peoples’ rights;
4. anti-discrimination and anti-harassment measures;
5. prevailing wages; and
6. workers’ right to organize.

conflict timber: “Timber that has been traded at some point in the chain of custody by armed groups, be they rebel factions or regular soldiers, or by a civilian administration involved in armed conflict or its representatives, either to perpetuate conflict or take advantage of conflict situations for personal gain. (...) Conflict timber is not necessarily illegal.” Note: Definition in quotations as used by the United Nations Environment Programme.

corruption sources: Roundwood and/or chips produced from conversion of forestland to other land uses resulting in regional forest area decline.

crew: An organized group of forest workers under the leadership of a designated person at a single site. A crew might contain a single person or dozens depending on the task and operation involved.

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 7 — Guidance to SFI 2022 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 has a direct contractual relationship for fiber sourcing.

ecologically important: Ecologically important can be defined as applying to natural communities, biological, ecological, or physical features which, either by themselves or in a network, contribute significantly to an ecosystem’s productivity, biodiversity, and resilience. Ecologically important areas may be so identified by the inclusion viable occurrences of species or natural communities that are integral to the identity or function of an ecosystem, but which may be relatively uncommon on the landscape, including species or ecological communities with a high “S-Rank” or “G-Rank” from NatureServe, subject to the discretion of the Certified Organization.

economic viability: The economic incentive necessary to keep forest ownerships profitable and competitive, and to keep people gainfully employed.

ecosystem services: Components of nature, directly enjoyed, consumed, or used to yield human well-being.

exotic tree species: A tree species introduced from outside its natural range. This does not include species that have become naturalized in an area and have a naturally reproducing population. (Note: Hybrids of native species or native plants that have been derived from genetic tree improvement and biotechnology programs are not considered exotic species.)

fiber sourced from areas without effective social laws: The United States and Canada have a strong legal framework. Fiber from countries without effective laws addressing the following will need a risk assessment:
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.
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 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 modification (GM), 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 7 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 7 of the SFI 2022 Standards and Rules.)

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.

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.

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.


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 7 — Guidance to SFI 2022 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: 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 Standards’ objectives and performance measures.

Indigenous Peoples: Inclusive of all Indigenous Peoples residing in Canada and the United States. More specifically, Indigenous Peoples are defined in the United States as members of federally recognized tribes and in Canada as those peoples that are recognized by section 35(2) of the Constitution Act, 1982.

In the United States, the US Department of Interior: Bureau of Indian Affairs publishes a list of each of the 573 federally recognized tribes.

In Canada, Indigenous and Northern Affairs Canada provides a list of the 619 recognized First Nations by province. 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 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).

invasive species(invasive): Species introduced from another country or geographic region outside its natural range that may have fewer natural population controls in the new environment, becoming a pest or nuisance species.

label users: Any Certified Organization, label licensee, secondary manufacturer, publisher, printer, retailer or distributor who has obtained a license to use the label; met Section 6 — 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, 3.14, 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, 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 11 SFI 2022 Forest Management Standard, Objective 4 SFI 2022 Fiber Sourcing Standard or the SFI Small-Scale Forest Management Module for Indigenous Peoples and Families: a level of government below federal, state or province such as county, district, city, township, municipality, town, or parish.

long-term: Extending over a relatively long time period — for the SFI 2022 Standards, this means the length of one forest management rotation or longer.

major nonconformity: One or more of the SFI 2022 Standard(s) performance measures or indicators has not been addressed or has not been implemented to the extent that a systematic failure of a Certified Organization’s 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 Standard(s) implementation which does not indicate a systematic failure to consistently meet an SFI objective, performance measure or indicator.

mitigation: Climate change mitigation consists of actions to limit the magnitude or rate of global warming and its related effects. This generally involves reductions in human emissions of greenhouse gases.

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.

native: Species of ecological communities occurring naturally in an ecological region, as neither a direct or indirect consequence of recent human activity. (Ecological Regions of North America: Levels I-II)

natural community: Natural communities are combinations of native plants and animals that are regularly found together in particular settings. Human-caused disturbances have been minimal, consistent with historical disturbance regimes (e.g., prescribed fire), or the natural community has recovered from that disturbance, or the human-caused disturbance falls within the range of natural disturbance. (Adapted from NatureServe).

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 4 and 5. 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 Forest Management Standard, SFI 2022 Fiber Sourcing Standard or the SFI Small-Scale Forest Management Module for Indigenous Peoples and Families a fundamental goal of sustainable forest management.

**Office of Label Use and Licensing:** Provides administrative support and oversight of SFI on product labeling, and serves as the depository for SFI 2022 Standards certificates, SFI 2022 Section 6 on-product label use certificates and PEFC ST 2002:2020 Chain of Custody of Forest Based Products-Requirements, 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. 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.

**other credible chain-of-custody standards:** Standards capable of tracking fiber back to a forest certified to the SFI 2022 Forest Management Standard, the SFI Small-Scale Forest Management Module for Indigenous Peoples, Families and Communities or other acceptable standards recognized by SFI. They include:

**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.

**performance measure:** 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.

**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.

Any claims about post-consumer recycled content by Certified Organizations or label users shall be accurate and consistent with applicable law. 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.

**practice(s):** The actual application or use of an idea, belief, or method, as opposed to theories relating to it.

**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.

Any claims about pre-consumer recycled content by Certified Organizations or label users shall be accurate and consistent with applicable law. 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.
**primary producers:** Manufacturing units that manufacture forest products and source 50% or more (by weight) of their wood-based raw materials directly from **primary sources.** Primary producers can include companies that manufacture roundwood, wood chips, and/or composite products.

**primary sources:** Roundwood (logs or pulpwood) and wood chips. Wood chips include:
- Field Manufactured Chips — chips produced from roundwood in the forest.
- Primary Chips — chips produced from roundwood other than in the forest or as residuals from production of other wood products.
- Mill Residual Chips — chips produced from slabs or other residuals from a primary operation.

**principle:** The vision and direction for sustainable forest management as embodied in the principles of the **SFI 2022 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.**

**protection (or protect):** Maintenance of the status or integrity, over the **long term,** of identified attributes or values including management where appropriate and considering historical disturbance patterns, fire risk and **forest health** when determining appropriate **conservation** strategies.

**public land:** SFI-certified land 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** the right and obligation to harvest the timber.

**qualified logging professional:** A person with specialized skills in timber harvesting 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 13 in the **SFI 2022 Forest Management Standard** or Objective 6 in the **SFI 2022 Fiber Sourcing Standard.**

1. 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 Standard(s)** (e.g., safety, protection of soils, streams, and other water bodies).
2. To be considered a qualified logging professional, an individual must complete the required training appropriate to their level of responsibility (e.g., owner, supervisor, employee) within the specified time period required by their **SFI Implementation Committee.** **SFI Implementation Committees** have the flexibility to require different training requirements for owners of logging businesses versus training requirements for other employees (e.g., supervisors). Once classified as a qualified logging professional, the individual must complete the required **SFI Implementation Committee** maintenance training within the prescribed time period to retain their status as a qualified logging professional.

**qualified resource professional:** A person who by training and experience can make forest management recommendations. Examples include foresters, soil scientists, hydrologists, forest engineers, forest ecologists, fishery and wildlife biologists or technically trained specialists in such fields.

**recycled content:** Pre-consumer recycled content and post-consumer recycled content.

**reestablishment (or reforest):** The reestablishment of forest cover either naturally or by seeding or **planting** of seedlings.

**riparian area:** Transition zone characterized by vegetation or geomorphology adjacent to rivers, streams, lakes, wetlands, and other water bodies.

**secondary producers:** Manufacturing units that produce forest products and source 50% or more (by weight) of their wood-based raw materials from **secondary sources.** Secondary producers can include manufacturers of finished forest products, such as plywood, furniture, windows, magazines, printers or catalogs, and manufacturers using market pulp.

**secondary sources:** Semi-finished solid wood, paper, market pulp, recycled wood fiber, or composite products obtained from a **primary producer** and/or a **secondary producer.**
SFI certification: A systematic and documented verification process to obtain and evaluate evidence objectively to determine whether a Certified Organization conforms to the requirements of SFI 2022 Standards and Rules.

SFI Implementation Committee: A state, provincial, or regional committee organized by Certified Organizations to facilitate or manage the programs and alliances that support the growth of SFI certification, including sustainable forest management.

SFI 2022 Audit Procedures and Auditor Qualifications and Accreditation: The principles and guidelines that detail specific requirements to Certified Organizations and certification bodies for conducting audits to the SFI 2022 Forest Management, Fiber Sourcing, Chain-of-Custody, and Certified Sourcing Standards and the SFI Small Lands Group Certification Module and the SFI Small-Scale Forest Management Module for Indigenous Peoples and Families.

SFI 2022 Certified Sourcing Standard: The requirements that detail processes for the use of the SFI certified sourcing label and claims.

SFI 2022 Chain-of-Custody Standard: The requirements that detail processes for tracking fiber content from certified forest content, recycled content, and certified sourcing.

SFI 2022 Fiber Sourcing Standard: The principles, objectives, performance measures and indicators that detail specific fiber sourcing requirements for Certified Organizations.

SFI 2022 Forest Management Standard: The principles, policies, objectives, performance measures and indicators that detail specific forest management requirements for Certified Organizations.

SFI 2022 Standards and Rules: SFI 2022 Sections 1-14 and the Interpretations for the Requirements for the SFI 2022 Standards and Rules.

SFI Small Lands Group Certification Module: A collaboratively developed group certification module based on the foundation of the SFI 2022 Fiber Sourcing Standard and incorporates the AFF Standards of Sustainability for Forest Management under the American Tree Farm System (“AFF Standards”). The principles and requirements detail processes for forest management by group certification organizations.

SFI Small-Scale Forest Management Module for Indigenous Peoples and Families: The principles, policies, objectives, performance measures and indicators that detail specific forest management requirements for Certified Organizations.

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.

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)

special sites: Sites that include geologically unique or culturally important features.

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

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. SFI Inc. directs all elements of the Sustainable Forestry Initiative 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 2018, 3.16).

third-party certification: An assessment of conformance to the SFI 2022 Standards and Rules conducted according to the requirements of SFI Section 10 SFI 2022 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 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, 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).

wildlife: Aquatic (marine and freshwater) and terrestrial fauna.

wood and fiber supply area: The geographic area from which a Certified Organization 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.