



SFI-00001

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**Section 2 . *SFI ~~2010-2014~~2015-2019 Standard***  
**Draft November 19 - 2013**

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## **Sustainable Forestry Initiative® ~~2010-2014~~2015-2019 Standard**

### **Principles of Sustainable Forestry [Normative]**

1. *Sustainable Forestry*
2. *Forest Productivity and Health*
3. *Protection of Water Resources*
4. *Protection of Biological Diversity*
5. *Aesthetics and Recreation*
6. *Protection of Special Sites*
7. *Responsible Fiber Sourcing Practices in North America*
8. *Avoidance of Controversial Sources including Illegal Logging in Offshore Fiber Sourcing*
9. *Legal Compliance*
10. *Research*
11. *Training and Education*
12. *Public Involvement*
13. *Transparency*
14. *Continual Improvement*

### **Objectives of Sustainable Forestry [Normative]**

Summary

#### **Forest Land Management Objectives**

- Objective 1 – Forest Management Planning  
Objective 2 – Forest *Productivity*  
Objective 3 – *Protection* and Maintenance of Water Resources  
Objective 4 – *Conservation of Biological Diversity* including *Forests with Exceptional Conservation Value*  
Objective 5 – Management of *Visual Quality* and Recreational Benefits  
Objective 6 – *Protection of Special Sites*  
Objective 7 – Efficient Use of Forest Resources  
[Objective 8 - Recognize and Respect Indigenous Peoples' Rights](#)

#### **Fiber Sourcing Objectives**

- [Objective 9 – Biodiversity](#)  
Objective ~~108~~ – ~~Adherence to Best Management Practices~~ ~~Landowner Outreach~~  
Objective ~~119~~ – Use of *Qualified Resource* and *Qualified Logging Professionals*  
Objective ~~124~~ – [Promote Conservation of Biological Diversity, Biodiversity Hotspots and High-Biodiversity Wilderness Areas](#) ~~Adherence to Best Management Practices~~  
Objective ~~131~~ – ~~Promote Conservation of Biological Diversity, Biodiversity Hotspots and High-Biodiversity Wilderness Areas~~ [Avoidance of Controversial Sources including Illegal Logging](#)  
Objective ~~142~~ – [Avoidance of Controversial Sources including Fiber Sourcing from Areas without Effective Social Laws](#) ~~Illegal Logging~~

Objective ~~153~~ – ~~Avoidance of Controversial Sources including Fiber Sourced From Areas Without Effective Social Laws~~ Legal and Regulatory Compliance

### **Forest Land Management and Fiber Sourcing Objectives**

~~Objective 14 – Legal and Regulatory Compliance~~

Objective ~~165~~ – *Forestry* Research, Science, and Technology

Objective ~~176~~ – Training and Education

Objective ~~187~~ – Community Involvement and Landowner Outreach in the Practice of *Sustainable Forestry*

Objective ~~198~~ – *Public Land* Management Responsibilities

Objective ~~2019~~ – Communications and Public Reporting

Objective ~~210~~ – Management Review and Continual Improvement

## **Sustainable Forestry Initiative ~~2010-2014~~2015-2019 Standard**

### **Principles for Sustainable Forestry**

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

#### **1. Sustainable Forestry**

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

#### **2. Forest Productivity and Health**

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

#### **3. Protection of Water Resources**

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

#### **4. Protection of Biological Diversity**

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

#### **5. Aesthetics and Recreation**

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

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

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

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

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

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

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

9. *Legal Compliance*

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

10. *Research*

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

11. *Training and Education*

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

12. *Public Involvement*

To broaden the practice of *sustainable forestry* on *public lands* through community involvement.

13. *Transparency*

To broaden the understanding of forest certification to the *SFI ~~2010-2014~~2015-2019 Standard* by documenting certification audits and making the findings publicly available.

14. *Continual Improvement*

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

These *SFI principles* are further refined in *objectives 1-2*<sup>19</sup>.

## ***Objectives for Sustainable Forestry***

### **Summary**

Some *Certified Program Participants* own forest land, others own forest land and manufacturing facilities, and others own manufacturing facilities only. As such:

- *SFI Standard* land management objectives 1-87 provide measures for evaluating *Certified Program Participants'* conformance with the *SFI ~~2010-2014~~2015-2019 Standard* on forest lands they own or control through *long-term* leases. Through these *objectives*, addressed in forest management plans, *Certified Program Participants* are implementing *sustainable forestry principles* by employing an array of economically, environmentally and socially sound practices in the *conservation* of forests – including appropriate *protection*, growth, harvest and use of those forests – using the *best scientific information available*.
- *SFI Standard* fiber sourcing objectives 98-11 and 15-210 provide measures for evaluating *Certified Program Participants'* conformance with the *SFI ~~2010-2014~~2015-2019 Standard* through their *fiber sourcing programs* within the United States and Canada.
- *SFI Standard* fiber sourcing objectives 121-143 provide measures for evaluating *Certified Program Participants'* conformance with the *SFI ~~2010-2014~~2015-2019 Standard* through their *fiber sourcing programs* outside the United States and Canada.
- *SFI Standard* land management and *fiber sourcing objectives* 154-210 provide measures for evaluating all *Certified Program Participants'* conformance with the *SFI ~~2010-2014~~2015-2019 Standard* for research, training, legal compliance, public and landowner involvement, management review, and continual improvement.

A summary of *SFI ~~2010-2014~~2015-2019 Standard objectives* follows:

#### **Objective 1. Forest Management Planning**

To broaden the implementation of *sustainable forestry* by ensuring *long-term* forest *productivity* and yield based on the use of the *best scientific information* available.

#### **Objective 2. Forest Productivity**

To ensure *long-term* forest *productivity*, carbon storage and *conservation* of forest resources through prompt *reforestation*, soil *conservation*, *afforestation* and other measures.

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

To protect water quality in streams, lakes and other water bodies.

#### **Objective 4. Conservation of Biological Diversity including Forests with Exceptional Conservation Value**

To manage the quality and distribution of *wildlife habitats* and contribute to the *conservation of biological diversity* by developing and implementing *stand-* and *landscape-level* measures that promote *habitat* diversity and the *conservation* of forest plants and animals, including *aquatic species*.

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

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

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

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

**Objective 7. *Efficient Use of Forest Resources***

To promote the efficient use of forest resources.

**Objective 8. Recognize and Respect Indigenous Peoples' Rights ~~Landowner Outreach~~**

To recognize and respect Indigenous Peoples' rights and traditional knowledge. To broaden the practice of *sustainable forestry* by forest landowners through *fiber sourcing programs*.

**Objective 9. *Biodiversity***

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

**Objective 10. *Adherence to Best Management Practices***

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

**Objective 119. *Use of Qualified Resource and Qualified Logging Professionals***

To broaden the practice of *sustainable forestry* by encouraging forest landowners to utilize the services of forest management and harvesting professionals.

**Objective 124. *Promote Conservation of Biological Diversity, Biodiversity Hotspots and High-Biodiversity Wilderness Areas***

To broaden the practice of *sustainable forestry* by conserving *biological diversity, biodiversity hotspots* and *high-biodiversity wilderness areas*.

**Objective 132. *Avoidance of Controversial Sources including Illegal Logging***

To broaden the practice of *sustainable forestry* by avoidance of *illegal logging*.

**Objective 143. *Avoidance of Controversial Sources including Fiber Sourced from Areas without Effective Social Laws***

To broaden the practice of *sustainable forestry* by avoiding *controversial sources*.

**Objective 154. *Legal and Regulatory Compliance***

Compliance with applicable federal, provincial, state and local laws and regulations.

**Objective 165. *Forestry Research, Science, and Technology***

To support *forestry* research, science, and technology, upon which sustainable forest management decisions are based.

**Objective 176. *Training and Education***

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

**Objective ~~187~~. Community Involvement and Landowner Outreach in the Practice of *Sustainable Forestry***

To broaden the practice of *sustainable forestry* by encouraging the public and *forestry* community to participate in the commitment to *sustainable forestry*, and publicly report progress.

**Objective ~~198~~: Public Land Management Responsibilities**

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

**Objective ~~2049~~. Communications and Public Reporting**

To broaden the practice of *sustainable forestry* by documenting progress and opportunities for improvement.

**Objective ~~210~~. Management Review and Continual Improvement**

To promote continual improvement in the practice of *sustainable forestry*, and to monitor, measure, and report performance in achieving the commitment to *sustainable forestry*.

**~~SFI 2010-2014~~2015-2019 Standard Objectives ~~1-87~~ for Forest Land Management**

**Objective 1. Forest Management Planning.** To broaden the implementation of sustainable forestry by ensuring long-term forest productivity and yield based on the use of the best scientific information available.

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

Indicators:

1. Forest management planning at a level appropriate to the size and scale of the operation, including:
  - a. a *long-term* resources analysis;
  - b. a periodic or ongoing *forest inventory*;
  - c. a *land classification* system;
  - d. soils inventory and maps, where available;
  - e. access to *growth-and-yield modeling* capabilities;
  - f. up-to-date maps or a *geographic information system (GIS)*;
  - g. recommended sustainable harvest levels for areas available for harvest; and
  - h. a review of non-timber issues (e.g. recreation, tourism, pilot projects and economic incentive *programs* to promote water *protection*, carbon storage, *bioenergy feedstock* production, or *biological diversity conservation*, or to address climate-induced ecosystem change).

2. Documented current harvest trends fall within long term sustainable levels identified in the forest management plan. ~~tation of annual harvest trends in relation to the sustainable forest management plan in a manner appropriate to document past and future activities.~~
3. A *forest inventory* system and a method to calculate growth and yield.
4. Periodic updates of *forest inventory* and recalculation of planned harvests to account for changes in growth due to *productivity* increases or decreases (e.g. improved data, *long-term* drought, fertilization, climate change, forest land ownership changes, etc.).
5. Documentation of forest practices (e.g., *planting*, fertilization, and thinning) consistent with assumptions in harvest plans.

Performance Measure 1.2. *Certified Program Participants* shall not convert one *forest type* to another *forest type*, unless in justified circumstances where the conversion:

Indicators:

1. Is in compliance with relevant national and regional policy and legislation related to land use and forest management; and
2. Would not convert native forest types that are rare and ecologically significant at the landscape level (4.3) or put any native forest types at risk of becoming rare; and
3. Does not create significant long-term adverse impacts on FECVs (4.2.2), old-growth forests (4.2.3), forests critical to threatened and endangered species (4.2.1), Special Sites (Objective 6); and
4. In the limited situations where a different *forest type* condition might be justified, an assessment considers:
  - a. Productivity/Stand Quality Conditions and impacts including economic values
  - b. Specific ecosystem issues related to the site such as invasive species, insect/disease issues, riparian protection needs and others as appropriate to site including regeneration challenges
  - c. Ecological impacts of the conversion including a review at the site and landscape scale as well as consideration for any appropriate mitigation measures

Performance Measure 1.3. *Certified Program Participants* shall not have within the scope of their certification to this SFI Standard, forest lands that have been converted to non-forest land use.

Indicators:

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

**Objective 2. Forest Productivity.** Ensure long-term forest productivity, carbon storage, and conservation of forest resources through prompt reforestation, soil conservation, afforestation and other measures.

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

Indicators:

- 1.1. ~~Designation of all harvest areas for either natural or artificial (planting or direct seeding) regeneration.~~  
~~Designation of all harvest areas for either *natural regeneration* or by *planting*.~~
- 1.2. ~~Indicator 2.1.2:—Documented reforestation plans and activities based on site-specific environmental ecological or forest health considerations or legal requirements. Where feasible artificial reforestation within two years or two planting seasons or by planned natural regeneration methods within five years.~~  
~~*Reforestation*, unless delayed for site-specific environmental or *forest health* considerations or legal requirements, through *planting* within two years or two *planting* seasons, or by planned *natural regeneration* methods within five years.~~
- 2.3. Clear criteria to judge adequate regeneration and appropriate actions to correct understocked areas and achieve acceptable species composition and stocking rates for both *planting* and *natural regeneration*.
- 3.4. ~~Plantings of exotic *trees species* should avoid risk on native ecosystems.~~ ~~*Minimized plantings of exotic tree species*, and research documentation that *exotic tree species*, planted operationally, pose minimal risk.~~
- 4.5. *Protection* of desirable or planned advanced *natural regeneration* during harvest.
- 5.6. *Planting programs* that consider potential ecological impacts of a different species or species mix from that which was harvested.
- 6.7. *Afforestation programs* that consider potential ecological impacts of the selection and *planting* of tree species in non-forested *landscapes*.

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

Indicators:

- 1. *Minimized* chemical use required to achieve management *objectives*.
- 2. Use of *least-toxic and narrowest-spectrum pesticides* necessary to achieve management *objectives*.
- 3. Use of pesticides registered for the intended use and applied in accordance with label requirements.
- 4. The World Health Organization (WHO) type 1A and 1B pesticides shall be prohibited, except where no other viable alternative is available.
- 3.5. Use of *integrated pest management* where feasible.

4.6. Supervision of forest chemical applications by state- or provincial-trained or certified applicators.

5.7. Use of management practices appropriate to the situation, for example:

- a. notification of adjoining landowners or nearby residents concerning applications and chemicals used;
- b. appropriate multilingual signs or oral warnings;
- c. control of public road access during and immediately after applications;
- d. designation of streamside and other needed buffer strips;
- e. use of positive shutoff and minimal-drift spray valves;
- f. aerial application of forest chemicals parallel to buffer zones to *minimize* drift;
- g. monitoring of water quality or safeguards to ensure proper equipment use and *protection* of streams, lakes and other water bodies;
- h. appropriate [transportation and](#) storage of chemicals;
- i. filing of required state or provincial reports; and/or
- j. use of methods to ensure *protection* of *threatened and endangered* species.

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

Indicators:

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

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

Indicators:

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

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

Indicator:

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

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

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

Indicators:

1. *Program* to implement federal, state or provincial *best management practices* water quality *best management practices* during all phases of management activities. ~~-~~
2. Contract provisions that specify conformance to *best management practices*.
3. Plans that address wet-weather events in order to maintain water quality (e.g. *forest inventory* systems, wet-weather tracts, definitions of acceptable operating conditions).
4. Monitoring of overall *best management practices* implementation.

Performance Measure 3.2. *Certified Program Participants* shall develop and implement water, wetland and riparian area protection measures based on soil type, terrain, vegetation, ecological function, harvesting system, state BMPs, provincial guidelines and other applicable factors. ~~*Certified Program Participants* shall have or develop, implement and document riparian protection measures based on soil type, terrain, vegetation, ecological function, harvesting system and other applicable factors.~~

Indicators:

1. ~~Program addressing management and protection of rivers, streams, lakes, wetlands, and other water bodies and riparian areas during all phases of management, including the layout and construction of roads and skid trails to maintain water movement and water quality.~~
2. Mapping of rivers, streams, lakes, wetlands and other water bodies as specified in state or provincial *best management practices* and, where appropriate, identification on the ground.
3. ~~Document and~~ implement ~~tation of~~ plans to manage ~~and~~ protect rivers, streams, lakes, wetlands, and other water bodies and riparian areas.
4. ~~Identification and protection of non-forested wetlands, including bogs, fens and marshes, and vernal pools of ecological significance.~~
5. ~~Where regulations or best management practices do not currently exist to protect riparian areas, use of experts to identify appropriate protection measures.~~

**Objective 4. Conservation of Biological Diversity including Forests with Exceptional Conservation Value.** To manage the quality and distribution of wildlife habitats and contribute to the conservation of biological diversity by developing and implementing stand- and landscape-level measures that promote a diversity of types of habitat and successional stages, and conservation of forest plants and animals, including aquatic species.

Performance Measure 4.1. *Certified Program Participants* shall conserve ~~have programs to promote biological diversity, at stand and landscape levels.~~

Indicators:

1. ~~Program to incorporate~~ promote the conservation of native biological diversity, including species, wildlife habitats and ecological community types: at stand and landscape levels.
2. ~~Program to protect threatened and endangered species.~~
3. ~~Program to locate and protect known sites associated with viable occurrences of critically imperiled and imperiled species and communities also known as Forests with Exceptional Conservation Value. Plans for protection may be developed independently or collaboratively, and may include Certified Program Participant management, cooperation with other stakeholders, or use of easements, conservation land sales, exchanges, or other conservation strategies.~~
2. Development ~~and implementation of~~ criteria and implementation of practices, as guided by regionally ~~based~~ appropriate ~~best~~ scientific information, to retain *stand-level wildlife habitat* elements such as snags, stumps, mast trees, down woody debris, den trees and nest trees.
3. Take into account spatial and temporal assessments ~~Program for assessment, conducted either individually or collaboratively,~~ of forest cover types, age or size classes, ~~and habitats at the individual ownership level,~~ and where credible data are available and relevant to the forest

~~management planning level, at the landscape scale, across the landscape, and take into account. Consider findings in planning and management activities to conserve biological diversity~~

~~2-4. 4-~~ *Certified Program Participants* are knowledgeable about credible state, provincial, or regional conservation planning and priority-setting efforts that include Indigenous peoples, that include a broad range of stakeholders and have a program to take into account the results to conserve biological diversity and consideration of these efforts in forest management planning. Examples of credible priority-setting efforts could be state wildlife action plans, state forest action plans, relevant habitat conservation plans or provincial wildlife recovery plans.

Comment [GM1]: Moved from 2010-2014 indicator 17.1.5 and then edited.

~~3-5. 5-~~ Identification and *protection of non-forested wetlands*, including bogs, fens and marshes, and vernal pools of ecological significance.

Comment [GM2]: Moved from 2010-2014 indicator 3.2.4 and inserted here.

~~7-~~ Support of and participation in plans or *programs for the conservation of old-growth forests in the region of ownership*.

~~6-~~ Participation in *programs* and demonstration of activities as appropriate to limit the introduction, spread and impact of *invasive exotic plants and animals* that directly threaten or are likely to threaten *native* plant and animal communities.

~~7-~~ Consider the role of natural disturbances in relation to biological diversity when developing forest management plans.

~~9-8-~~ *Program* to incorporate the role of prescribed or natural fire where appropriate.

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

#### Indicators:

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

Comment [GM3]: Moved from 2010-2014 indicator 4.1.2 and inserted here.

Comment [GM4]: Moved from 2010-2014 indicator 4.1.3 and inserted here.

Comment [GM5]: Moved from 2010-2014 indicator 4.1.6 and inserted here.

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

Indicators:

- ~~1. Use of information such as existing natural heritage data, and expert advice in identifying or selecting *special sites* ecologically important sites for *protection*.~~
- ~~2. Appropriate mapping, cataloging and management of identified sites of ecologically and geological important sites *see*.~~
- ~~6. Support of and participation in plans or *programs* for the *conservation of old-growth forests* in the region of ownership.~~
- ~~7. Participation in *programs* and demonstration of activities as appropriate to limit the introduction, impact and spread of *invasive exotic plants and animals* that directly threaten or are likely to threaten *native plant and animal communities*.~~
- ~~8. *Program* to incorporate the role of prescribed or natural fire where appropriate.~~

Performance Measure 4.42. *Certified Program Participants* shall apply knowledge gained through research, science, technology and field experience to manage *wildlife habitat* and contribute to the *conservation of biological diversity*.

Indicators:

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

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

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

Indicators:

1. *Program* to address *visual quality management*.

2. Incorporation of aesthetic considerations in harvesting, road, landing design and management, and other management activities where visual impacts are a concern.

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

Indicators:

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

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

Indicators:

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

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

Indicator:

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

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

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

Indicators:

Comment [GM6]: Sites of ecological importance now addressed in PM 4.3

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

**Objective 7. Efficient Use of ~~TimberFiber Forest~~ Resources.** To promote the efficient use of ~~timberfiber forest~~ resources.

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

Indicator:

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

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

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

Indicator:

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

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

Indicators:

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

**Comment [GM7]:** New Objective designed to collect all existing SFI requirements regarding Indigenous peoples rights as well as introduce new requirements.

**Comment [GM8]:** Moved from 2010-2014 indicator 18.2.1 a. – c.

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

Indicators:

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

***SFI ~~2010-2014~~2015-2019 Standard Objectives ~~98-2143~~ for Fiber Sourcing***

***Fiber sourcing within the United States and Canada (Objectives ~~98-11~~ and ~~15-21~~ ~~49~~ apply).***

***Objective 9 – Biodiversity.*** To broaden the practice of sustainable forestry by conserving biological diversity.

Performance Measure 9.1.- Promotion and conservation of biological diversity.

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

2. Program to address *Forests with Exceptional Conservation Value* in harvests of purchased *stumpage*.

***Objective 8- Landowner Outreach.*** To broaden the practice of sustainable forestry by forest landowners through fiber sourcing programs.

Performance Measure 8.1. *Certified Program Participants* shall provide information to landowners for reforestation following harvest, for the use of *best management practices*, and for identification and protection of important *habitat* elements for *wildlife and biodiversity*, including *Forests with Exceptional Conservation Value*.

**Comment [GM9]:** Moved from 2010-2014 indicator 8.1.2. and inserted here

**Comment [F10]:** Requirements from 2010-2014 Objective 8 moved to 2015-2019 Objective 9 or 2015-2019 Objective 18

Indicators:

- ~~1. Certified Program Participants shall supply regionally appropriate information or services (e.g. information packets, websites, newsletters, workshops, tours, etc.) to forest landowners, describing the importance and providing implementation guidance on:
  - ~~a. best management practices;~~
  - ~~b. reforestation and afforestation;~~
  - ~~c. visual quality management;~~
  - ~~d. conservation of critical wildlife habitat elements, biodiversity, threatened and endangered species, and Forests with Exceptional Conservation Value;~~
  - ~~e. management of harvest residue (e.g. slash, limbs, tops) considers economic, social, environmental factors (e.g. organic and nutrient value to future forests) and other utilization needs;~~
  - ~~f. control of invasive exotic plants and animals; and characteristics of special sites.~~~~
- ~~2. Program to address Forests with Exceptional Conservation Value in harvests of purchased stumpage.~~
- ~~3. Encourage forest landowners to participate in forest management certification programs.~~

**Objective 10. Adherence to Best Management Practices.** To broaden the practice of sustainable forestry through the use of best management practices to protect water quality.

Performance Measure-10.1. *Certified Program Participants* shall clearly define and implement *policies* to ensure that facility inventories and *fiber sourcing* activities do not compromise adherence to the *principles of sustainable forestry*.

Indicators:

- ~~g. Program for the purchase of raw materials from *certified logging professionals* (where available) and from *wood producers* that have completed training programs and are *recognized qualified logging professionals*.~~

1. Program to require that harvests of *purchased stumpage* comply with *best management practices*.

~~2. Contracts for the purchase of raw materials include provisions requiring the use of *best management practices*. Use of written agreements for the purchase of raw material sourced directly from the forest is required and must include provisions requiring the use of *best management practices*.~~

3. Program to address adverse weather *conditions*.

Comment [GM11]: This requirement moved to 2015-2019 Objective 17.

Comment [GM12]: Moved from 2010-2014 indicator 10.1.2 and inserted here

Comment [GM13]: Moved from 2010-2014 indicator 10.1.4 and inserted here

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

Comment [GM14]: Moved from 2010-2014 indicator 10.1.5 and inserted here

Performance Measure 10.2. *Certified Program Participants* shall monitor the use of *best management practices for water quality*.

Indicators:

1. A *verifiable monitoring system* to:

- a. monitor the use of *best management practices* utilized by *wood producers* supplying the *Certified Program Participant*; and
- b. evaluate use of *best management practices* across the *wood and fiber supply area*.

2. Use of information from the *verifiable monitoring system* to maintain effective conformance to *best management practices* and to identify and communicate areas for improved performance.

**Objective 119. Use of *Qualified Resource* and *Qualified Logging Professionals*.** To broaden the practice of sustainable forestry by encouraging forest landowners to utilize the services of forest management and harvesting professionals.

Performance Measure 119.1. *Certified Program Participants* shall encourage landowners to utilize the services of *certified logging professionals* (where available), *qualified resource professionals* and *qualified logging professionals* in applying *principles* of sustainable forest management on their lands.

Indicators:

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

**Fiber sourcing by facilities enrolled in the SFI program from sources outside the United States and Canada (Objectives 11-13 12-14 apply).**

**Objective 124. Promote *Conservation of Biological Diversity, Biodiversity Hotspots and High-Biodiversity Wilderness Areas*.** To broaden the practice of sustainable forestry by conserving biological diversity, biodiversity hotspots and high-biodiversity wilderness areas.

Performance Measure 124.1. *Certified Program Participants* shall ensure that their *fiber sourcing programs* support the *principles* of *sustainable forestry*, including efforts to promote *conservation of biological diversity*.

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Indicators:

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

**Objective 132. Avoidance of *Controversial Sources* including *Illegal Logging*.** To broaden the practice of sustainable forestry by avoidance of illegal logging.

Performance Measure 132.1. *Certified Program Participants* shall ensure that their *fiber sourcing programs* support the *principles* of *sustainable forestry*, including efforts to [reduce the risk of thwart illegal logging](#).

[\(Note: additional guidance is included in Section 7 SFI Legality Requirements and Policies for Avoidance of Illegal Logging\)](#)

Indicators:

1. Process to assess the risk that the *Certified Program Participants fiber sourcing program* could acquire material from *illegal logging* [such as consulting information from the World Resources Institute Risk Information Tool, the World Bank, or Transparency International.](#)
2. *Program* to address any significant risk identified under 132.1.1.
3. *Program* with *direct suppliers* to promote the *principles* of *sustainable forestry*.
4. Documented information that includes knowledge about *direct suppliers'* application of the *principles* of *sustainable forestry*.

**Objective 143. Avoidance of *Controversial Sources* including *Fiber Sourced from Areas without Effective Social Laws*.** To broaden the practice of sustainable forestry by avoiding controversial sources.

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Performance Measure [143.1](#). *Certified Program Participants* shall avoid *controversial sources* and encourage socially sound practices.

Indicators:

1. Process to assess the risk that the *Certified Program Participant's fiber sourcing* could take place in countries without effective laws addressing the following:
  - a. workers' health and safety;
  - b. fair labor practices;
  - c. indigenous peoples' rights;
  - d. anti-discrimination and anti-harassment measures;
  - e. prevailing wages; and
  - f. workers' right to organize.
2. *Program* to address any significant risk identified under [143.1.1](#).

***SFI ~~2010-2014~~2015-2019 Standard Objectives ~~154-219~~ for Forest Land Management and Fiber Sourcing***

**Objective 154. Legal and Regulatory Compliance.** Compliance with applicable federal, provincial, state and local laws and regulations.

Performance Measure [154.1](#). *Certified Program Participants* shall take appropriate steps to [avoid illegally harvested wood and to comply](#) with applicable federal, provincial, state and local *forestry* and related social and environmental laws and regulations.

Indicators:

1. Access to relevant laws and regulations in appropriate locations.
2. System to achieve compliance with applicable federal, provincial, state or local laws and regulations.
3. Demonstration of commitment to legal compliance through *available regulatory action information*.
4. [Process to assess the risk that the \*Certified Program Participants\* fiber sourcing program could acquire material from illegal logging by considering some of the following:](#)
  - [a. communications with suppliers](#)
  - [b. independent research](#)
  - [c. contract documentation](#)
  - [d. maintain records](#)
5. [Program to address any significant risk identified under 15.1.4](#)

Performance Measure 154.2. *Certified Program Participants* shall take appropriate steps to comply with all applicable social laws at the federal, provincial, state and local levels in the country in which the *Certified Program Participant* operates.

Indicator:

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

**Objective 165. Forestry Research, Science, and Technology.** To support forestry research, science, and technology, upon which sustainable forest management decisions are based.

Performance Measure 165.1. *Certified Program Participants* shall individually and/or through cooperative efforts involving *SFI Implementation Committees*, associations or other partners provide in-kind support or funding for forest research to improve *forest health, productivity*, and sustainable management of forest resources, and the environmental benefits and performance of forest products.

Indicators:

1. Financial or in-kind support of research to address questions of relevance in the region of operations. The research shall include some of the following issues:
  - a. *forest health, productivity*, and ecosystem functions;
  - b. chemical efficiency, use rate and *integrated pest management*;
  - c. water quality and/or effectiveness of *best management practices* including effectiveness of water quality and *best management practices* for protecting the *quality, diversity and* distributions of fish and *wildlife habitats*;
  - d. *wildlife* management at *stand* and *landscape* levels;
  - e. *conservation* of *biological diversity*;
  - f. ecological impacts of *bioenergy feedstock* removals on *productivity, wildlife habitat*, water quality and other ecosystem functions;
  - g. climate change research for both adaptation and mitigation;
  - g-h. reduction of catastrophic wildfire
  - h-i. social issues;
  - i-j. forest operations efficiencies and economics;
  - j-k. energy efficiency;
  - k-l. life cycle assessment;
  - l-m. avoidance of *illegal logging*; and
  - m-n. avoidance of *controversial sources*.
2. Research on genetically engineered trees via *forest tree biotechnology* shall adhere to all applicable federal, state, and provincial regulations and international protocols ratified by the US and/or Canada depending on jurisdiction of management.

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Performance Measure 165.2. *Certified Program Participants* shall individually and/or through cooperative efforts involving *SFI Implementation Committees*, associations or other partners develop or use state, provincial or regional analyses in support of their *sustainable forestry programs*.

Indicator:

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

Performance Measure 165.3. *Certified Program Participants* shall individually and/or through cooperative efforts involving *SFI Implementation Committees*, associations or other partners broaden the awareness of climate change impacts on forests, *wildlife* and *biological diversity*.

Indicators:

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

**Objective 176. Training and Education.** To improve the implementation of sustainable forestry practices through appropriate training and education programs.

Performance Measure 176.1. *Certified Program Participants* shall require appropriate training of personnel and contractors so that they are competent to fulfill their responsibilities under the *SFI ~~2010-2014~~2015-2019 Standard*.

Indicators:

1. Written statement of commitment to the *SFI ~~2010-2014~~2015-2019 Standard* communicated throughout the organization, particularly to facility and woodland managers, *fiber sourcing* staff and field foresters.
2. Assignment and understanding of roles and responsibilities for achieving *SFI ~~2010-2014~~2015-2019 Standard objectives*.
3. Staff education and training sufficient to their roles and responsibilities.

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

5. Certified Program Participants Forestry enterprises shall have a program for written agreements for the use of certified logging professionals (where available) and qualified logging professional or wood producers that have completed training programs and are recognized as qualified logging professionals.

Performance Measure 176.2. *Certified Program Participants* shall work individually and/or with *SFI Implementation Committees*, logging or forestry associations, or appropriate agencies or others in the forestry community to foster improvement in the professionalism of *wood producers*.

Indicators:

1. Participation in or support of *SFI Implementation Committees* to establish criteria and identify delivery mechanisms for *wood producers'* training courses and periodic continuing education that address:

- a. awareness of *sustainable forestry principles* and the *SFI* program;
- b. *best management practices*, including streamside management and road construction, maintenance and retirement;
- c. *reforestation, invasive exotic plants and animals, forest resource conservation, aesthetics, and special sites*;
- d. awareness of responsibilities under the U.S. Endangered Species Act, the Canadian Species at Risk Act, and other measures to protect *wildlife habitat* (e.g. *Forests with Exceptional Conservation Value*);

e. Awareness of rare forested natural communities as identified by provincial or state agencies, or by credible organizations such as NatureServe, The Nature Conservancy, etc.

f. logging safety;

g. U.S. Occupational Safety and Health Administration (OSHA) and Canadian Centre for Occupational Health and Safety (COHS) regulations, wage and hour rules, and other provincial, state and local employment laws;

h. transportation issues;

i. business management;

j. public policy and outreach; and

k. awareness of emerging technologies.

2. The SIC-approved wood producer's training programs shall have a continuing education component with coursework that supports the current logger training programs, safety and the principles of sustainable forestry

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

- a. completion of *SFI Implementation Committee* recognized logger training *programs* and meeting continuing education requirements of the training *program*;

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

**Objective 187. Community Involvement and Landowner Outreach in the Practice of Sustainable Forestry.** To broaden the practice of sustainable forestry by encouraging the public and forestry community to participate in the commitment to sustainable forestry, and publicly report progress.

Performance Measure 187.1. *Certified Program Participants* shall support and promote efforts by consulting foresters, state, provincial and federal agencies, state or local groups, professional societies, *conservation* organizations, indigenous peoples and governments, community groups, sporting organizations, labor, universities, extension agencies, the *American Tree Farm System*<sup>®</sup> 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. 2. Support for the education and outreach development to of educational materials for use with forest landowners, describing the importance and providing implementation guidance on: (e.g. information packets, websites, newsletters, workshops, tours, etc.).~~

- a. *best management practices*;
- b. *reforestation* and *afforestation*;
- c. *visual quality management*;
- d. *conservation* of critical *wildlife habitat* elements, *biodiversity*, *threatened and endangered* species, and *Forests with Exceptional Conservation Value*;
- e. management of harvest residue (e.g. slash, limbs, tops) considers economic, social, environmental factors (e.g. organic and nutrient value to future forests) and other utilization needs;
- f. control of *invasive exotic plants and animals*;
- g. characteristics of *special sites*, and

~~g-h. reduction of wildfire risk~~

~~3. Support for the development of regional, state or provincial information materials that provide forest landowners with practical approaches for addressing *special sites* and *biological diversity* issues, such as *invasive exotic plants and animals*, *specific wildlife habitat*, *Forests with Exceptional Conservation Value*, and *threatened and endangered species*.~~

Comment [GM15]: Moved from 2010-2014 indicator 8.1.1 a. – g. and inserted here

34. Participation in efforts to support or promote *conservation* of managed forests through voluntary market-based incentive *programs* such as current-use taxation *programs*, Forest Legacy Program<sup>1</sup> or *conservation* easements.

45. *Certified Program Participants* are knowledgeable about credible regional *conservation* planning and priority-setting efforts that include [Indigenous Peoples and](#) a broad range of stakeholders and have a *program* to take into account the results of these efforts in planning.

Performance Measure 187.2. *Certified Program Participants* shall support and promote, at the state, provincial or other appropriate levels, mechanisms for public outreach, education and involvement related to sustainable forest management.

Indicator:

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

Comment [GM16]: Moved from 2010-2014 indicator 8.1.3. and inserted here

Performance Measure 187.3. *Certified Program Participants* shall establish, at the state, provincial, or other appropriate levels, procedures to address concerns raised by loggers, consulting foresters, employees, unions, the public or other *Certified Program Participants* regarding practices that appear inconsistent with the *SFI Standard principles* and *objectives*.

Indicators:

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

**Objective 198: Public Land Management Responsibilities.** To promote and implement sustainable forest management on public lands.

Performance Measure 198.1. *Certified Program Participants* with forest *management responsibilities on public lands* shall participate in the development of *public land* planning and management processes.

Indicators:

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

Performance Measure [198.2](#). *Certified Program Participants* with forest *management responsibilities on public lands* shall confer with affected indigenous peoples.

Indicator:

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

**Objective [2019](#). Communications and Public Reporting.** To broaden the practice of sustainable forestry by documenting progress and opportunities for improvement.

Performance Measure [2019.1](#). A *Certified Program Participant* shall provide a summary audit report, prepared by the *certification body*, to *SFI Inc.* after the successful completion of a certification, recertification or surveillance audit to the *SFI [2010-2014](#)[2015-2019](#) Standard*.

Indicator:

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

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

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Performance Measure ~~2019~~.2. *Certified Program Participants* shall report annually to *SFI Inc.* on their conformance with the *SFI ~~2010-2014~~2015-2019 Standard*.

Indicators:

1. Prompt response to the *SFI* annual progress report.
2. Recordkeeping for all the categories of information needed for *SFI* annual progress reports.
3. Maintenance of copies of past reports to document progress and improvements to demonstrate conformance to the *SFI ~~2010-2014~~2015-2019 Standard*.

**Objective 219. Management Review and Continual Improvement.** To promote continual improvement in the practice of sustainable forestry, and to monitor, measure and report performance in achieving the commitment to sustainable forestry.

Performance Measure 219.1. *Certified Program Participants* shall establish a management review system to examine findings and progress in implementing the *SFI Standard*, to make appropriate improvements in *programs*, and to inform their employees of changes.

Indicators:

1. System to review commitments, *programs* and procedures to evaluate effectiveness.
2. System for collecting, reviewing, and reporting information to management regarding progress in achieving *SFI ~~2010-2014~~2015-2019 Standard objectives* and *performance measures*.
3. Annual review of progress by management and determination of changes and improvements necessary to continually improve conformance to the *SFI ~~2010-2014~~2015-2019 Standard*.

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**Section 3. *SFI Chain-of-Custody Standard***  
**Updated [November 19 2013](#) ~~January 2011~~**

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## SFI Chain-of-Custody Standard

### Preface

*SFI Inc.* is an independent, non-profit, charitable organization dedicated to promoting sustainable forest management in North America and supporting responsible procurement globally. The *SFI* Board is a three chamber Board of Directors representing environmental, social and economic interests equally, and the program addresses local needs through its grassroots network of [357 SFI Implementation](#) Committees across North America. *SFI Inc.* directs all elements of the *SFI program* including the *SFI* forest standard, chain-of-custody certification, responsible *fiber sourcing* requirements, labeling and marketing.

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

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

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

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

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Studies have shown that consumers appreciate the value of forest certification in helping them identify wood and paper products from legal, responsible sources. ~~A 2008 survey by GfK Roper Public Affairs & Media and the Yale School of Forestry and Environmental Studies found that North American consumers believe it is important or essential to have eco-labels that describe the environmental impacts caused by the manufacture, use and disposal of products. Of 10 eco-labels tested in the United States, the SFI label had the highest familiarity rating of any forest certification program.~~

The fact that the *SFI program* can deliver a steady supply of fiber from well-managed forests is especially important at a time when there is increasing demand for green building and responsible paper purchasing, and only 10 percent of the world's forests are certified. The American Consumer Council says it supports the good work of the *SFI program*, and applauds the positive and progressive actions it is taking. A poll by TerraChoice Environmental Marketing found that procurement specialists included the *SFI* label on a list of the top 10 eco-labels they relied on frequently to make buying decisions.

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## **SFI Chain-of-Custody Standard**

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## Section 1: General

### 1.1 Scope

This standard specifies requirements for chain of custody an organization must meet if its claims and or labels ~~referring to the certified forest content or the certified sourcing~~ used in the products it sells or transfers is to be recognized as credible and reliable.

In this standard, the term organization is used to cover any entity harvesting, ~~transporting~~, handling or processing forest-based products at any stage from a forest to a final consumer.

Organizations shall obtain an independent, third-party certification by an *SFI certification body* to the requirements set out in this standard if they choose to utilize an *SFI Chain-of-Custody* label or claim.

This standard specifies ~~three two~~ optional approaches for chain of custody. These are the physical separation method, the average percentage method, and the volume credit method. ~~namely physical separation and percentage-based methods.~~

This standard specifies the minimum management system requirements for the implementation and management of the chain of custody process. An organization's quality (ISO 9001:2008) or environmental management system (ISO 14001:2004) can be used to meet the minimum requirements for the management system defined in section 4 and to accommodate requirements for the certification process defined in sections 2 or 3.

This standard shall be used together with the requirements specifying the *origin*, which is to be verified by the chain of custody. Usage of labels and claims based on the implementation of this standard shall follow ISO 14020:2000.

The conformity assessment carried out by the third party (third-party certification) is considered as product certification and shall follow ISO/IEC Guide 65:1996 or ISO/IEC 17065:2012.

The term "shall" is used throughout this standard to indicate those provisions that are mandatory. The term "should" is used to indicate those provisions which, although not mandatory, are expected to be adopted and implemented.

## 1.2 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 2010-2014 Standard\*](#)
- ~~vi.~~ [Section 4 - Rules for Use of SFI-On-Product Labels](#)
- ~~vii.~~ [Section 5 - Rules for Use of Off-Product Marks](#)
- [viii.](#) [Section 7 – \*SFI\* Legality Requirements and Policies for Avoidance of Illegal Logging Policies](#)
- ~~ix.~~ [Section 9 - Appendix 1: Audits of Multi-Site Organizations](#)
- ~~x.~~ [Section 11 - Public Inquiries and Official Complaints](#)

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

### Informative References

- i. ISO 9000:2005 Quality management systems - Fundamentals and vocabulary
- ii. ISO 9001:2008 Quality management systems - Requirements
- iii. ISO 14001:2004 Environmental Management Systems - Specification with guidance for use
- ~~iv.~~ [PEFC ST 2002:2013 Chain of Custody of Forest Based Products - Requirements, May 24 2013](#)
- ~~iv.~~ [Program for the Endorsement of Forest Certification schemes \(PEFC\) Chain of Custody of Forest Based Products Requirements, Normative Document, Annex 4, dated June 17, 2005 including normative amendments of Oct. 27, 2006 and Oct. 5, 2007](#)
- v. Section 9 - *SFI 2010-2014* Audit Procedures and Auditor Qualifications and Accreditation
- vi. Section 13 – *SFI* Definitions

## Section 2: Requirements for Chain of Custody Process - Physical Separation Method

### 2.1 General Requirements for Physical Separation

2.1.1 The organization applying the physical separation method shall ensure that the *certified forest content* is separated or [controlled to ensure it is not mixed with or replaced by uncertified content clearly identifiable at all stages of the production or trading process](#).

2.1.2 The organization, whose *certified forest content* [and recycled content inputs are](#) not mixed with other raw material, ~~and/or where the *certified forest content* can be identified during the whole process,~~ should use physical separation as the preferred option.

### 2.2 Identification of the Origin

#### 2.2.1 Identification at Delivery Level

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

- (a) supplier identification,
- (b) quantity of delivery,
- (c) date of delivery / delivery period / accounting period,
- ~~(d) Category of *origin* =~~
  - i. [SFI Certified Forest Content](#)
  - ii. [SFI Certified Sourcing](#)
  - iii. [Post-Consumer Recycled](#)
  - iv. [Pre-Consumer Recycled](#)
  - ~~ii-v. [SFI Recycled Content](#)~~
- ~~(e) The supplier's chain of custody number, if applicable.~~

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

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

Note 2: An [organization/company](#) (e.g. printer or lumberyard) that uses the physical separation method and sources [inputs/products](#) from a supplier that uses the percentage-based method must know

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the percentage of *certified forest content* if it wants to label products or make claims about them.

### 2.2.2 Identification at Supplier Level

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

~~The organization shall ensure products meet appropriate criteria for *certified forest content*, which means it shall obtain confirmation from suppliers of *certified forest content* that the criteria have been met.~~

### 2.3 Separation of the Certified ~~Forest~~ Content

*Certified forest content* shall remain clearly identifiable throughout the entire sourcing, whole production, trading and sales storage 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 forest content* with verification of how it is controlled during the production, trading, and sales process to ensure it is not mixed with or replaced by uncertified material.

### 2.4 Sale of *Certified Content* Products

2.4.1 At the point of sale or transfer of the certified products to another entity, the organization shall provide the next entity in the chain customer with written information confirming the supplier's certification status and an official SFI claim statement providing a clear indication of input category. ~~a document verifying conformance with the chain of custody requirements.~~ 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 between the organization and the customer.

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

(a) organization's identification,

(b) quantity of delivery,

(c) date of delivery / delivery period / accounting period,

(d) an official *SFI claim*,

i. *SFI X% Certified Forest Content*

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- ii. SFI X% *Recycled Content*
- iii. SFI X% *pre-consumer recycled*
- iv. SFI X% *post-consumer recycled*
- v. SFI X% *Certified Sourcing*

(Note: Percentages of any combination of the above are permissible.)

- vi. SFI at Least X% *Certified Forest Content*

(d)(e) The organization's chain of custody number.

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

- 2.4.3** If the organization uses the logo or 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 *SFI* Off-Product Marks (Sections 4 and 5 in the *SFI* requirements document).

### **Section 3: Requirements for Chain-of-Custody Process – Mixing of Inputs - Average Percentage-Based Method and Volume Credit Method**

#### **3.1 General Requirements for Mixing of Inputs Percentage-Based Method**

##### **3.1.1 Application of for Mixing of Inputs Percentage-Based Method**

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

##### **3.1.2 Definition of the Production Batch Product Group**

**3.1.2.1** The organization shall implement the requirements for the chain of custody process of this standard for the specific production batch product group.

**3.1.2.2** The organization shall identify its production batch product group(es) based on the following criteria:

- (a) raw material included in the products covered by the production batch product group,
- (b) production site at which the products covered by the production batch product group have been produced,

(c) time period over which the products covered by the ~~production batch~~product group have been produced or sold/transferred.

**3.1.2.3** The ~~production batch~~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 ~~production batch~~product group).

**3.1.2.4** The organization shall identify an entity within the organization for which the ~~production batch~~product group is defined and only products produced or controlled by that entity shall be included within the ~~production batch~~product group.

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

**3.1.2.5** For credibility purposes of the ~~production batch~~product group, the maximum ~~claim time~~claim period ~~for calculating the percentage~~for calculating the percentage is three months.

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

Note: Physical on-product identification of the ~~production batch~~product group is not required if the certification percentage is applied to sold or transferred products as the ~~production batch~~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.

### 3.2 Identification of the Origin

#### 3.2.1 Identification at ~~Delivery~~ Delivery / Receipt Level

The organization shall identify and verify the category of *origin* of all procured raw material ~~– That has received~~. Associated documents with delivery and receipt of raw material shall include at least:

- (a) supplier identification,
- (b) quantity of delivery,
- (c) date of delivery / delivery period / claim accounting period,
- (d) ~~Category of *origin* –~~
  - i. SFI Certified Forest Content
  - ii. SFI Certified Sourcing
  - iii. Post-Consumer Recycled
  - iv. Pre-Consumer Recycled
  - v. SFI Recycled Content

~~(d)~~(e)      The supplier's chain of custody number if applicable.

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

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

#### 3.2.2 Identification at Supplier Level

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

### 3.3 Calculation of the Certified Percentage

3.3.1 The organization shall calculate the certification percentage separately for each ~~production batch~~ product group according to the following formula:

$$Pc [\%] = \frac{Vc}{Vc + Vo} \cdot 100$$

**Pc** Certification percentage  
**Vc** *Certified content*  
**Vo** Other raw material

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.

~~Note: When making claims about post-consumer recycled content, the post-consumer recycled content can count towards certified content and the amount must be disclosed to the customer. However, when making claims about certified content, the post-consumer recycled content must be counted as a neutral source. Neutral sources are not counted towards or against the calculation of the certified content percentages in chain of custody tracking.~~

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

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

- 3.3.3** 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 organization shall calculate the certification percentage either as a simple or rolling average percentage. Refer to Appendix 1 of this document for the definitions of simple and rolling average calculations.
- 3.3.5** The organization applying the simple certification percentage shall base the calculation of Pc (the certification percentage) for each ~~production batch~~product group on the figures for Vc (*certified content*) and Vo (other raw material) for that specific ~~production batch~~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 ~~production batch~~product group is sold or transferred.

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The ~~production batch~~ product group shall not exceed three months of production.

**3.3.6** The organization applying the rolling average certification percentage shall base the calculation of Pc (the certification percentage) for each ~~production batch claim period~~ on the figures for Vc (*certified content*) and Vo (other raw material) for a specified number of prior ~~production batch claim periods~~, (excluding the current ~~production batch claim period~~).

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

### 3.4 Transfer of the Calculated Percentage to the Outputs

#### 3.4.1 Average Percentage Method

The organization applying the average percentage method can label all the products covered by claim period the ~~production batch~~, provided that the percent of *certified forest content* is clearly communicated on the SFI label. In addition, the actual percentage of *certified forest content* must be communicated to the customer per 3.65.2.d

When the label is being applied on ~~solid wood~~ products with the "At Least X%" expression in the label, the claim must read, "Product Group Line Contains At Least X% Certified Forest Content." See *Section 4 – SFI Rules for Use of SFI On-Product Labels* for further guidance.

Comment [GM1]: Labels revised to show recognition of pre-consumer recycled material.



### 3.5 Volume Credit Method

**3.5.4-2.1** The organization shall apply the volume credit method for a single claim. The organization receiving a single delivery of material with more than one claim relating to the category of origin shall either use it as a single inseparable claim (eg. SFI/PEFC certified content) or shall only use one from the received claims (SFI or PEFC certified) for calculating the volume credits. The volume credit shall be distributed to the output products

Comment [GM2]: Language in this sections revised to more closely align with PEFC Volume Credit language.

from the volume credit account in a way that all products sold as certified are sold as 100% certified.

~~The organization applying volume credit shall recognize volume credits in the single measurement unit used for all raw material inputs. Volume credits shall be transferred to a volume credit account based on the amount of certified raw material used in each production batch. The amount of material considered certified can be calculated by using either the simple average or rolling average method.~~

~~Note: If the certification percentage for the production batch is 54% then the amount of the output that can be sold as a *SFI* chain-of-custody certified product is the amount of output that would be produced by 54% of the input raw material. The label used for this method is as follows.~~

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

~~**3.4.2.2** — The volume credit shall be distributed to the output products from the volume credit account in a way that all products sold as certified are sold as 100% certified. The amount of volume credit required for each output unit shall be based on the specific ratio of input raw material/output product units for that specific product.~~

**3.5.3** The organization shall calculate the volume credits using either:

(a) certification percentage (from section 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 organization applying the certification percentage shall calculate the volume credits by multiplying the volume of output products of the product group by the certified percentage.

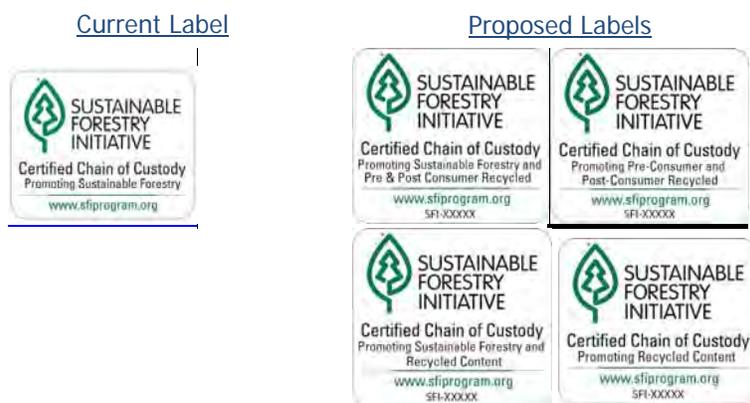
Example: If there are 100 tons of product, and 54% of the total output is *certified forest content*, then the organization can make a volume credit claim on 54 tons of the output.

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

Example: If the organization receives 500 mbf of input material with a claim of "70% SFI Certified Content" the amount of certified credits and the verifiable input/output ratio (including manufacturing losses) is 0.60 (e.g. 1 mbf of round wood results in 0.60 mbf of lumber), the organization achieves volume credits equal to 210 mbf of lumber.

3.5.6 The label used for the Volume Credit method shall be follows.

**Comment [GM3]:** New labels reflecting pre-consumer recycled materials



3.5.7 The organization can ~~accumulate~~ ~~emulate~~ the SFI Certified Credits or Recycled Credits volume credit by creating a volume credit account, which can be used for the next ~~production batches claim period~~.

3.5.8 The total quantity of credits cumulated at the credit account cannot exceed the sum of credits entered into the credit account during the last 12 months.

### 3.65 Sale of Products

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

~~time of the sale of the product. When the organization sells or transfers the certified products, the organization shall provide customers with a document verifying conformance with the chain of custody requirements. This can be in the form of, but not limited to, an invoice, bill of lading, shipping document, letter, or other forms of communications between the organization and the customer.~~

- 3.65.2** The organization shall ensure that documentation of the certified products clearly states at least the following information:
- (a) organization's identification,
  - (b) quantity of delivery,
  - (c) date of delivery / delivery period / claim ~~accounting~~ period
  - (d) an official SFI claim statement:

- i. SFI Certified Content - 100% as calculated under the volume credit method.
- ii. SFI Recycled Content- 100% as calculated under the volume credit method.

~~(d) Category of origin - (i.e. **Average percent users** - percentages from *certified forest content*, from *certified sourcing*, and from *post-consumer recycled content*. **Volume credit users** - percentage of transferred *certified forest content* per 3.4.2.2. If 100%, then the claim should be "100% certified as calculated under the volume credit method").~~

- (e) The organization's chain of custody number.

**3.6.3** If the organization uses the logo, both on-product and off-product usage shall be carried out according to the terms and conditions of the *Office of Label Use and Licensing* and the Rules for Use of *SFI On-Product Labels* and *SFI Off-Product Marks* (Sections 4 and 5 in the *SFI requirements document*).

### **3.76 Process to Avoid Controversial Sources Sourcing From Outside the United States and Canada**

#### **3.76.1 Process to Avoid Controversial Sources**

When ~~sourcing from outside the United States and Canada, raw materials are supplied without a SFI chain of custody claim and valid certificate or other credible chain of custody standard claim and valid certificate~~, the organization shall establish adequate measures to ensure that the certified products do not include raw material from *controversial sources*. Use of

controversial sources is not allowed in SFI-labeled products. [Controversial sources include forest activities which are not in compliance with applicable state, provincial or federal laws, particularly as they may relate to:](#)

- [legally required protection of threatened and endangered species,](#)
- [requirements of CITES \(The Convention on International Trade in Endangered Species of Wild Fauna and Flora\)](#)
- [legally required management of areas with designated high environmental and cultural values,](#)
- [labor regulations relating to forest workers,](#)
- [indigenous peoples' property, tenure and use rights](#)

[Fiber sourced from illegal logging and fiber sourced from areas without effective social laws are also controversial sources.](#)

[Note: Conversion sources cannot be included when calculating certified forest content.](#)

[For all raw materials supplied without a SFI \(or other credible chain of custody standard\) chain of custody claim and valid certificate the organization shall:](#)

[3.7.1.1](#) Require a signed self-declaration that the supplied raw material does not originate from *controversial sources*. If it has signed contracts with its suppliers, it shall include such a declaration in the contracts.

[3.7.1.2](#) Evaluate the potential risk of procuring raw material from *controversial sources* and establish a program to check a sample of self-declarations by suppliers, using a second- or third-party verification.

Note: The potential risk evaluation carried out by the organization should be based on the regional / country level.

[3.7.1.3](#) Ensure procurement from areas outside the United States and Canada promote the *conservation of biodiversity hotspots and high-biodiversity wilderness areas*.

[3.7.1.4](#) Develop a process with direct suppliers to promote the principles of sustainable forestry.

[3.7.1.5](#) Ensure it knows whether direct suppliers are applying the principles of sustainable forestry.

**3.76.1.6** Have a process in place to assess the risk of fiber from countries without effective social laws addressing the following:

- i. [1.](#)—workers' health and safety;
- ii. [2.](#)—fair labor practices;
- iii. [3.](#)—indigenous peoples' rights;
- iv. [4.](#)—antidiscrimination and anti-harassment measures;
- v. [5.](#)—prevailing wages; and
- vi. [6.](#)—workers' right to organize.

**3.76.1.7** Program to address any significant risk identified under [3.7.1.2](#) and [3.67.1.6](#)

**3.76.1.8** See Section 7 in the *SFI* requirements document for SFI's Policy on Illegal Logging.

#### **Section 4: Minimum Management System Requirements**

##### **4.1 General Requirements**

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

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

##### **4.2 Responsibilities and Authorities for Chain of Custody**

###### **4.2.1 Management Responsibilities**

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

**4.2.1.2** The organization's top management shall appoint a member of the management who, irrespective of other responsibilities, shall have overall responsibility and authority for the chain of custody.

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

#### **4.2.2 Responsibilities and Authorities for Chain of Custody**

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

- (a) raw material procurement and identification of the *origin*;
- (b) product processing covering physical separation or percentage calculation and transfer into output products;
- (c) product sale and labeling;
- (d) record keeping; and
- (e) internal audits and non-conformity control.

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

#### **4.3 Documented Procedures**

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

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

#### **4.4 Record Keeping**

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

- (a) records of all suppliers of forest-based raw material, including information to confirm requirements at the supplier level are met;
- (b) records of all purchased forest-based raw material, including information on its *origin*;
- (c) records that demonstrate how the certification percentage for each ~~production batch~~product group was calculated;

- (d) records of all forest-based products sold and their claimed *origin*, including, as applicable, records of movements in volume credit accounts;
- (e) records of internal audits, non-conformities which occurred and corrective actions taken; and
- (f) records of top management's periodic review of compliance with chain of custody requirements.

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

## **4.5 Resource Management**

### **4.5.1 Human Resources/Personnel**

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

### **4.5.2 Technical Facilities**

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

## **4.6 Internal Audit and Management Review~~Inspection and Control~~**

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

~~**4.6.2**~~ **4.6.2** The report from the internal audit shall be reviewed by the organization's top management at least annually. The 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 standard;
- b) Off-site interviews and desk audits are permissible, appropriate to the scope and scale of the organization;
- c) If there have been no inputs or outputs for a site or manufacturing facility over the past year, internal audits are not required;

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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 non-conformities are identified during the internal audit process, a Corrective Action Plan shall be developed at the site and/or organizational level.

4.6.3 Where the organization has outsourced activities within the scope of its chain of custody the organization shall develop procedures for the audit of these contractors.

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

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

4.6.6 The internal audit of outsource contractors shall:

a) determine the level of risk associated with the outsourced activities as determined by section 5.0 Outsourcing.

b) include within the scope of the internal audit those outsourced activities assessed as high risk.

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

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

## **Section 5 – Outsourcing Agreements**

### **5.1 Outsourcing Agreements**

Chain of custody certificate holders who outsource processing or manufacturing activities on a flexible basis to any one of a number of potential contractors may apply for inclusion of one or more of the outsourced processes within the scope of

**Comment [GM4]:** This section expanded to address requirements for including Outsourced operations within the scope of a CoC certification.

their SFI Chain-of-Custody certificate. ~~Organizations shall work with the SFI Certification Body to demonstrate legal ownership of all input material to be included in outsourced processing.~~  
Organizations that wish to include outsourcing within the scope of their SFI chain of custody certificate shall ensure the following:

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

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

## **5.2 Assessing Risk for Outsource Contractors**

As per the requirements of 4.6.6 outsourced activities shall be risk-ranked in accordance with the following criteria:

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

**Comment [GM5]:** New section to address risk ranking for the purposes of internal audits of the CoC system.

## Appendix 1: Calculation of the Certification Percentage

(Informative)

Definition of the [Production Batch/product group](#)

The organization shall identify [production batch/product group](#)(es) for which the certification percentage is calculated. The [production batch/product group](#) shall be identified for specific products or groups of products. Only products that consist of the same or similar raw material can be included in one [production batch/product group](#).

**Table 1: Example of chain-of-custody [production batch/product group](#) definition**

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

### Calculation of the Certification Percentage

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

#### Simple Percentage

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

#### Rolling Average Percentage

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

*Example of a Three-Month Rolling Average:*

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

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

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

1	2	3	4	5	6
No of the 1- month calcul. period	Volume of certified raw material procured (tonnes) *	Volume of other raw material (tonnes) *	Sum of volumes of certified raw material for previous 3 months (tonnes)	Sum of volumes of other raw material for previous 3 months (tonnes)	3-month rolling average percentage
j=i	Vc	Vo	Vc(3)	Vo(3)	Pc(3)
			$Vc(3) = \sum_{j=i}^{i-2} Vc_j$	$Vo(3) = \sum_{j=i}^{i-2} Vo_j$	$Pc = \frac{Vc(3)}{Vc(3)+Vo(3)}$
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%

\* 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.

$$Vc(3)_6 = Vc_6 + Vc_5 + Vc_4 ; Vc(3)_6 = 16 + 15 + 14 = \mathbf{45} \text{ [tonnes]}$$

- b. [column 5] Volume of other raw material is calculated as sum of volumes of other raw material procured in the previous 3 months.

$$Vo(3)_6 = Vo_6 + Vo_5 + Vo_4 ; Vo(3)_6 = 90 + 90 + 90 = \mathbf{270} \text{ [tonnes]}$$

- c. [column 6] The rolling average percentage is calculated according to the formula of chapter 3.3.1:  $Pc = Vc / [Vc + Vo]$

$$Pc_6 = 100 * Vc(3)_6 / [Vc(3)_6 + Vo(3)_6] ; Pc_6 = 100 * 45 / [45 + 270] = \mathbf{14.29 \%}$$

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

### Volume Credit Accumulation

The organization can establish a volume credit account for the input raw material used in the specific ~~production batch~~product group or for specific products of the ~~production batch~~product group if 3.54.2.4 applies.

**Table 3: example of volume credit accumulation (in tonnes)**

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

Example of calculation given in table 3 for the ~~production batch~~product group of month 14:

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

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

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

$$152.88 > 149.72, \text{ therefore credit account is } 149.72 \text{ [tonnes]}$$

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

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

**Use of the Volume Credit:**

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

**Table 4 – Example of draw down of the volume credit account for different product sales.**

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

## Appendix 2: *SFI* Chain-of-Custody Certificate Requirements (Informative)

1. **Certificate Statement:** The X company or facility has been independently certified by Y, an *SFI certification body* accredited to perform *SFI* program chain-of-custody audits that conform to the *SFI* Chain-of-Custody *Standard*.
2. **Certificate Meaning:** The certificate holder has been independently certified by an *SFI certification body* accredited to perform *SFI* chain-of-custody audits to the, *SFI* Chain-of-Custody *Standard*, and has received a license from the *SFI Office of Label Use and Licensing* authorizing use of the *SFI* service marks.
  - 2.1 **Certificate Content:** All *SFI* chain-of-custody certificates shall have the following information, at a minimum, on the certificate:
    - a. Chain of custody number: The numbering system will have a three-letter abbreviation of the *SFI certification body's* name, followed by "SFICOC", followed by the audit number. The audit number can be unique to the *SFI certification body*. (Example for certification body XYZ completing its 20<sup>th</sup> chain-of-custody audit: XYZ-SFICOC-0020).
    - b. The *SFI* off-product logo service mark (see below) must be placed on the certificate.



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- c. The logo of the accreditation firm (ANSI or SCC) for the *SFI certification body* conducting the chain of custody certification must be placed on the certificate.
3. **Eligible Entities:** Any company or facility that manufactures or distributes forest-based manufactured or printed products and wants to document that the material in the products was manufactured by a company certified to the *SFI* Standard is eligible to obtain an *SFI* Program Chain-of-Custody Certificate (Except as provided for in the *SFI* Policy on Illegal Logging in Section 7 of the *SFI* requirements document).
4. **Application for *SFI* Label Use:** The certified company and/or the *SFI certification body* will inform the *Office of Label Use and Licensing* of a successful completion along with a copy of the chain of custody certificate
5. **Issuance of License and Certificate.**
  - 5.1. **Issuance of License:** The *Office of Label Use and Licensing* shall issue the license to use the *SFI* off-product marks to the applicant upon written confirmation of successful completion of the chain of custody audit.

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

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

## Appendix 3: Criteria for the Evaluation of Chain-of-Custody Certification Standards for Use in the *SFI* Program

### Objective

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

### Criteria

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



## Section 4. Rules for Use of *SFI* On-Product Labels

Updated [November 19, 2013](#), ~~January 2011~~

**Section 4 [Rules for Use of SFI On-Product Labels](#)**

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## Rules for Use of SFI On-Product Labels

### Preface

*SFI Inc.* is an independent, non-profit, charitable organization dedicated to promoting sustainable forest management in North America and supporting responsible procurement globally. The *SFI* Board is a three chamber Board of Directors representing environmental, social and economic interests equally, and the program addresses local needs through its grassroots network of ~~357~~ *SFI* Implementation Committees across North America. *SFI Inc.* directs all elements of the *SFI* program including the *SFI* forest standard, chain-of-custody certification, *fiber sourcing* requirements, labeling and marketing.

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

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

~~Studies have shown that consumers appreciate the value of forest certification in helping them identify wood and paper products from legal, responsible sources. A 2008 survey by GfK Roper Public Affairs & Media and the Yale School of Forestry and Environmental Studies found that North American consumers believe it is important or essential to have eco-labels that describe the environmental impacts caused by the manufacture, use and disposal of products. Of 10 eco-labels tested in the United States, the *SFI* label had the highest familiarity rating of any forest certification program.~~

The fact that the *SFI* program can deliver a steady supply of fiber from well-managed forests is especially important at a time when there is increasing demand for green building and responsible paper purchasing, and only 10 percent of the world's forests are certified. The American Consumer Council says it supports the good work of the *SFI* program, and applauds the positive and progressive actions it is taking. A poll by TerraChoice Environmental Marketing found that procurement specialists included the *SFI* label on a list of the top 10 eco-labels they relied on frequently to make buying decisions.

## Rules for Use of *SFI Certified Sourcing* Label

### 1. Scope and Purpose

#### 1.1 Scope:

This section describes the requirements for *Certified Program Participants* and *secondary producers* in the United States or Canada seeking use of the *SFI Certified Sourcing* on-product label. *Primary* or *secondary producers* with operations outside of the United States and Canada should refer to section 4 of this document (page 5).

#### 1.2 Purpose:

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

#### 1.3 Label:

The following label applies to this section.



### 2. Normative and Informative References

#### 2.1 Normative:

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

- i. Section 2 - *SFI 20150-20194 Standard*
- ii. *Section 4 – Rules for Use of SFI On-Product Labels*
- iii. *Section 5 – Rules for Use of SFI Off-Product Labels*
- iv. Section 13 – *SFI Definitions*

#### 2.2 Informative:

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

- i. Section 3 – *SFI Chain-of-Custody Standard*
- ii. Section 9 – *SFI 20150-20194 Audit Procedures and Auditor Qualifications and Accreditation*

### 3. **Certified Sourcing Label**

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

If a *primary producer* sources from company-owned or company-controlled lands enrolled in the *SFI program*, those lands must be third-party certified to the *SFI 20150-20194 Standard*.

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

**3.3** — The label cannot be used if offshore raw material comes from *controversial sources* so adequate measures are needed to ensure certified products do not include fiber from *controversial sources*.

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

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

**3.4.1.1** If less than 5% (by weight) of a manufacturing unit's raw material supply comes from *secondary sources*, these sources are considered de minimis and no certification of this portion is required if all is from U.S. or Canadian sources.

**3.4.2** *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 production batch or time period (which cannot exceed one quarter). The percentage may be calculated as:

Rolling Average Percentage – The percentage calculated for wood fiber consumed during, for example, the previous four quarters or 12 months. The period over which the rolling average is calculated shall not exceed one year.

Simple Percentage – The percentage calculated for wood fiber consumed in the specific production batch.

**3.4.3** In all cases, the organization must demonstrate that the requirements of 3.1 and/or 3.2 are met before the label can be used in relation to a specific production batch or time period.

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

[3.4.5 The sourcing requirement may be met either at the product line or manufacturing unit level.](#)

#### **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 *Section 4 - Rules For Use Of SFI On-Product Labels* document.

**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 ( $\frac{2}{3}$ ) (by weight) of the wood or wood fiber in the product(s) or manufacturing unit as coming from *certified sourcing*. The other one-third ( $\frac{1}{3}$ ) cannot come from *controversial sources*.

#### **5. Certified sourcing**

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

5.1 Fiber that conforms with objectives ~~98-210~~ of Section 2 - SFI 2015~~0~~-201~~94~~ Standard's *fiber sourcing* requirements.

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

Any claims about *pre-consumer recycled content* by *Certified Program Participants* or *label users* shall be accurate and consistent with applicable law. *Certified Program Participants* and *label users* are encouraged to consult the U.S. Federal Trade Commission's guidelines

on environmental claims in product advertising and communication and the guidelines on environmental labeling and advertising issued by the Fair Business Practices Branch of Industry Canada's Competition Bureau, as appropriate, and to seek additional information and direction from national accreditation bodies, national standards bodies and national, state and provincial consumer protection and competition laws.

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

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

- 5.4 *Certified forest content*, which includes content from specific forest tracts that are third-party certified to conform with the SFI 2010-2014 Standard's forest land management requirements (Objectives 1-87 and 154-210) or other acceptable forest management standards (e.g. CAN/CSA-Z809 and ATFS).

[5.5 SFI Certified Sourcing Claim:](#)

[SFI Certified Sourcing](#) (Fiber that conforms with Objective 9-21 of Section 2, and/or from *pre-consumer recycled content*, and/or from *post-consumer recycled content*, and/or from an *acceptable forest management standard*).

5.6 *Non-controversial sources*: ~~If the raw material is sourced from outside of the United States and Canada,~~ the organization shall establish adequate measures to ensure that the labeled products do not come from *controversial sources*. See Section 3, 3.6 and Section 4, 6.1 on the process to avoid *controversial sources*. Up to one third of the supply for *secondary producers* can come from *non-controversial sources* for use of the certified sourcing label; the other two-thirds must come from the sources defined under the *certified sourcing* definition— fiber that conforms with objectives 98-210 of Section 2, ~~and/or pre consumer recycled content fiber,~~ and/or *post consumer recycled content fiber*, and/or ~~from an acceptable forest management standard.~~ *certified forest content*.

## 6. Process to Avoid *Controversial Sources*

### ~~Sourcing From Outside the United States and Canada~~

#### 6.1 ~~Process to Avoid~~ Avoidance of *Controversial Sources*

When raw materials are supplied without a SFI chain of custody claim and valid certificate or *other credible chain of custody standard* claim and valid certificate the organization shall establish adequate measures to ensure that the certified products do not include raw material from *controversial sources*. Use of controversial sources is not allowed in SFI-labeled products. Controversial sources include forest activities which are not in compliance with applicable state, provincial or federal laws, particularly as they may relate to:

- legally required protection of threatened and endangered species,
- requirements of CITES (The Convention on International Trade in Endangered Species of Wild Fauna and Flora)
- legally required management of areas with designated high environmental and cultural values,
- labor regulations relating to forest workers,
- indigenous peoples' property, tenure and use rights

Fiber sourced from *illegal logging* and fiber sourced from *areas without effective social laws* are also *controversial sources*. ~~When sourcing from outside the United States and Canada, the organization shall establish adequate measures to ensure that the certified products do not include raw material from *controversial sources*. Use of controversial sources is not allowed in SFI-labeled products.~~

Note: *Conversion sources* cannot be included when calculating *certified forest content*.

The organization shall:

- 6.1.1** Require a signed self-declaration that the supplied raw material does not originate from *controversial sources*. If it has signed contracts with its suppliers, it shall include such a declaration in the contracts.
- 6.1.2** Evaluate the potential risk of procuring raw material from *controversial sources* and establish a program to check a sample of self-declarations by suppliers, using second- or third-party verification.

Note: The potential risk evaluation carried out by the organization should be based on the regional / country level.

- 6.1.3** Ensure procurement from areas outside the United States and Canada promote the *conservation of biodiversity hotspots* and *high-biodiversity wilderness areas*.
- 6.1.4** Develop a process with direct suppliers to promote the principles of sustainable forestry.
- 6.1.5** Ensure it knows whether direct suppliers are applying the principles of sustainable forestry.
- 6.1.6** Have a process in place to assess the risk of fiber from countries without effective social laws addressing the following:
- workers' health and safety;
  - fair labor practices;
  - indigenous peoples' rights;
  - antidiscrimination and anti-harassment measures;
  - prevailing wages; and
  - workers' right to organize.
- 6.1.7** Program to address any significant risk identified under 6.1.2 and 6.1.6
- 6.1.8** See Section 7 in the *SFI* requirements document for *SFI Inc.'s* Policy on Illegal Logging.

## **7. Application Requirements**

- 7.1** *Primary producers* must annually submit to the *Office of Label Use and Licensing*:
1. A copy of their *Certified Sourcing* certificate issued to *Primary Producers* certified to Section 2 - SFI 201~~50~~-201~~94~~ *Fiber Sourcing* Objectives ~~98-210~~, and a copy of their annual audit report issued by an *SFI certification body* that clearly identifies the specific forestlands and/or manufacturing units covered under the scope of the certificate.
  2. Evidence of a successful completion of their most recent surveillance audit to the *SFI 201~~50~~-201~~94~~ Standard*.
  3. A list of the manufacturing unit(s) and product(s) for which the *SFI Certified Sourcing* Label use approval is sought.
- 7.2** *Secondary producers* must annually submit to the *Office of Label Use and Licensing*:
1. A copy of their *Certified Sourcing* certificate issued to *Secondary Producers* certified to Section 4 - SFI *Certified Sourcing* Label Use Requirements issued by an accredited *SFI certification body*.
  2. A list of the manufacturing unit(s) and product(s) for which the *SFI Certified Sourcing* Label use approval is sought.

- 7.3** *Primary or secondary producers* outside the United States and Canada must annually submit to the *Office of Label Use and Licensing*:
1. A copy of their *Certified Sourcing* certificate issued to *Secondary Producers* certified to Section 4 - *SFI Certified Sourcing* Label Use Requirements issued by an accredited *SFI certification body*.
  2. A list of the manufacturing unit(s) and product(s) for which the *SFI Certified Sourcing* Label use approval is sought.

## **8. Office of Label Use and Licensing**

- 8.1** 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 *SFI* Off-Product Marks (Sections 4 and 5 in the *SFI* requirements document), and shall maintain oversight of use of all *SFI* on-product labels.

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

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

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

- 8.5** Applicants must provide specific examples of proposed *SFI* on-product label use and related promotional literature to the *Office of Label Use and Licensing*, in keeping with the Rules For Use of *SFI* On-Product Labels and *SFI* Off-Product Marks (Sections 4 and 5 in the *SFI* requirements document).

- 8.6** In response to questions and issues raised by *SFI* on-product *label users* or *certification bodies*, the *Office of Label Use and Licensing* will periodically announce and formally adopt interpretations to *Section 4 - Rules For Use Of SFI On-Product Labels*. All interpretations will be posted at [www.sfiprogram.org](http://www.sfiprogram.org).

~~9. Other Conditions Pertinent to Primary and Secondary Producers~~

- ~~9.1—A *secondary producer* may use the Certified Sourcing Label on products from a single manufacturing unit as long as the specific supply for that product(s) or for that manufacturing unit meets all the content requirements set out in this document.~~
- ~~9.2—A *label user* may not use the *SFI program* label on any products from manufacturing unit(s) for which it has not obtained approval from the *Office of Label Use and Licensing*.~~
- ~~9.3—The *SFI* on-product label is to be used for specific product(s) or manufacturing unit(s), and must be certified and approved as such.~~

## Rules for Use of SFI Chain-of-Custody On-Product Labels

### 1. SFI-Certified Forest Content Labels

The *SFI program* has three chain-of-custody labels, each showing that some or all of the product's fiber content comes from forests that are third-party certified to the SFI forest management standard or other *acceptable forest management standards* such as, the Canadian Standards Association (CAN /CSA-Z809) and/or the American Tree Farm System (ATFS).

Primary manufacturers 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 manufacturer must be an SFI program participant;
- b. the primary manufacturer must be certified to all of the applicable objectives in the SFI 2015-2019 Standard.
- c. a company who owns or manages forestlands must be certified to objectives 1-8; 15-21.
- d. a company who only sources direct from the forest but does not manage the forestlands must be certified to objectives 9-21.
- e. a company who owns or manages forestlands and sources direct from the forest must be certified to all of the applicable objectives for Objectives 1-21.

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

This label may be used by any chain-of-custody certified company that uses the volume credit chain-of-custody method.



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

These two labels may be used by any chain-of-custody certified company that uses the average percentage chain-of-custody method.



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

Either of the chain-of-custody labels above can include a Mobius loop stating the percentage of *post-consumer recycled content* in the product, as illustrated below.



**Comment [JM1]:** Labels to be updated for Redline for posting with Mobius loop.

## General Rules for Use of *SFI* On-Product Labels

*SFI Inc.* owns the on-product labels shown in Appendix 2. All *SFI* marks are registered in the United States, Canada, European Union, China, Japan and South Korea.

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

Upon receiving written authorization from the *SFI program*, qualified organizations or companies may use the certification marks provided the following conditions and limitations are strictly adhered to:

1. All *SFI* labels are registered with both the U.S. Patent and Trademark Office and the Canadian Intellectual Property Office, and each mark must be individually accompanied by an ® to indicate that the on-product label is associated with the *SFI program*.
2. All projects with the *SFI* label must be sent to the *SFI Office of Label Use and Licensing* prior to press. There are no size or color restrictions on the label, but if the certified printer uses the above green/black version, the PMS color is 348.
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 met all requirements under PEFC's Annex 4 and Annex 5.
4. The recycled Mobius loop may only be used within the *SFI* label when the organization is certified to the *SFI* Chain-of-Custody Standard and Associated Labels (Sections 3 and 4), and can only be used to describe *post-consumer recycled*

*content* as described in *SFI* Definitions (Section 13) in the *SFI* requirements document.

5. The tree/leaf design may not be displayed by itself, and must always be accompanied with either “Sustainable Forestry Initiative” or “SFI”, the claim associated with the label, and the *SFI* website (www.sfiprogram.org).
6. The SFI label identification number must be added under the SFI program website. The numbering system is as follows: SFI-00000. The *label users* unique label ID number is provided by SFI Inc. The label ID number is a different number than the chain of custody number provided by the *certification body*.
7. For private branded products where the company has concern disclosing the relationship with the manufacturer or if there is concern with revealing strategic competitive information about the manufacturer SFI Inc can issue a second SFI label ID number. While the second SFI label ID number would be on the product when searched in the SFI on-line database the supplier information will read 'Contact SFI Inc for More Information on this Product (Tel: 202-596-3450)'. SFI staff can confirm for the person making the enquiry that the label is legitimate based on information supplied. This second SFI label ID number will only be granted for organizations who produce private branded products and request a private number in order to avoid disclosing competitive information. The manufacturer must continue to use their originally assigned SFI label ID number for all other products they manufacture and label that do not have competitiveness concerns as described above.
8. The on-product labels can be used in either horizontal or vertical styles.
9. The on-product labels can be used in English, French and Spanish, and translations are available.
10. Any public communication by *Certified Program Participants* and *label users* shall be accurate and consistent with applicable law and requirements for *SFI* logo use. *Certified Program Participants* and *label users* are encouraged to consult the U.S. Federal Trade Commission's guidelines on environmental claims in product advertising and communication and the guidelines on environmental labeling and advertising issued by the Fair Business Practices Branch of Industry Canada's Competition Bureau, as appropriate, and to seek additional information and direction from national accreditation bodies, national standards bodies and national, state and provincial consumer protection and competition laws.
11. The marks may be used on products, including shrink wrap and other product packaging, that have been produced by a primary or secondary producing facility, a publisher, a retailer, or a printer that has qualified for use of the appropriate mark pursuant to the criteria set out in *SFI* Section 3 and/or *SFI* Section 4 in the *SFI*

requirements document.

12. The marks may be used in product/brochures or advertising for products that qualify to use one of the on-product marks 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 mark on (specified product)" or, 2) in a picture of a product with the mark on the product.
  - b) When promoting the sale of trees or logs grown on certified land by landowners who have the land third-party certified to the *SFI Standard*.
  - c) When referencing the products of a company with mills that do not all qualify for the certification mark, this fact must be communicated (e.g. "only some of the mills producing 'x' product are qualified to use the *SFI* on-product label").
  - d) If all the products in a product line are not certified, the label must accurately state this (e.g. "this label only applies to the cover of this publication").
  - e) 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.
  - f) Use of the average percentage labels is contingent on the production batch having at least 10% *certified forest content*. *If the level of certified content is less than 10%, a claim can be made stating this percentage, but label usage is prohibited. Making a claim if the certified content*
  - g) When using the X% Chain of Custody label, the claims can be switched in order so "X% Certified Sourcing" or "X% Post Consumer Recycled" or "X% Pre Consumer Recycled" is first. Furthermore, label users can add the words, "At Least" in front of the X% Certified Forest Content" claim.
  - h) Printers that are certified to the *SFI* Chain-of-Custody Standard and Associated Labels (Section 3 in the *SFI* requirements document) may use their chain-of-custody procedures to account for product that is approved for the Certified Sourcing Label, and label that product with the Certified Sourcing Label. These organizations must obtain documentation from their suppliers that the product is approved for the Certified Sourcing Label.
  - i) Publishers can work with a certified printer and do not need a separate chain-of-custody certification unless they are actually printing the publication.
10. Any public communication by *Certified Program Participants* and *label users* shall be accurate and consistent with applicable laws and requirements for *SFI* logo use. *Certified Program Participants* and *label users* are encouraged to consult the U.S.

Federal Trade Commission's guidelines on environmental claims in product advertising and communication and the guidelines on environmental labeling and advertising issued by the Fair Business Practices Branch of Industry Canada's Competition Bureau, as appropriate, and to seek additional information and direction from national accreditation bodies, national standards bodies and national, state and provincial consumer protection and competition laws. *Label users* should consult with their legal counsel when preparing product advertising that includes an *SFI* on-product label or any other reference to the *SFI program*.

- a) Point of purchase (POP) materials should avoid environmental claims that can be tied to the product. Rather, they should explain the *SFI Certified Program Participant's* voluntary participation in a program for sustainable forest management. Avoid references or suggestions that the *SFI* program preserves forests.
  - b) Avoid promoting any specific attributes of the product(s) bearing the mark when discussing participation in the *SFI* program, other than those related to forest management.
  - c) Organizations can make claims about other certified processes (e.g. soy ink or alternate power sources) as long as it is clear that this is not associated with the *SFI* certification.
11. A *Certified Program Participant* may refer to its conformance to the *SFI Standard* and its third-party certification in company promotional advertising, annual reports or other documents generally describing the company and its operations. However, if all company facilities and/or acreage/hectares have not been certified, then the reference must be accurate as to the number of facilities and/or acreage/hectares that have been certified.
  12. *Label users* that are not *Certified Program Participants* may refer to the fact that they have one or more facilities certified to the *SFI* chain-of-custody or *fiber sourcing* certifications in promotional advertising, annual reports or other documents generally describing the company and its operations. However, unless all company facilities have been certified, the reference must be accurate as to the number of facilities.
  13. All advertising material must be sent to the *SFI* program's *Office of Label Use and Licensing* for review and approval. *SFI* staff are available to answer questions about the use of the marks and these rules.
  14. The *Office of Label Use and Licensing* reserves the right to request samples of all uses of the Certification Marks from time to time.
  15. 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 *Section 4 - Rules For Use Of SFI On-Product Labels*, 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.

16. *Label users* who observe misuse of any of these marks shall report this immediately to the *Office of Label Use and Licensing*.
17. When selling product as *SFI* chain-of-custody certified, the *SFI* chain-of-custody number must be added to one of the following documents: the label wrap, invoices, bill of lading, shipping documents, or letters during sale of product to the customer.
18. When using the *SFI* chain-of-custody X% content labels, the following rules must be taken into consideration:
  - i. The X% content label must equal all parts to 100%.
  - ii. If a specific attribute does not apply (e.g. *post-consumer recycled content*), the company must remove that tagline from the label.
  - iii. If a company wishes to make a 100% certified sourcing claim, the certified sourcing label must be used.
  - iv. The 100% *certified forest content* claim can be made only when the physical separation method has been used throughout the chain-of-custody process.
19. The organization approved to use the *SFI* on-product label can use either the color, black and white, or reversed style labels. Where one-color print is being used, the *SFI* label may be the same color as the rest of the product.
20. The size of the label can be determined by the certified company approved to use the *SFI* label.
21. If the label is being used on a small product (e.g. pencils) and the claim may not be legible, a company may apply to the *SFI Office of Label Use and Licensing* for additional exceptions on applying the *SFI* on-product label.
22. The following taglines can be used in combination with *SFI* on-product labels and with promotional materials that may or may not include the *SFI* label. The *SFI* website ([www.sfiprogram.org](http://www.sfiprogram.org)) can be added to any of these taglines.
  - i. The Sustainable Forestry Initiative® program promotes sustainable forest management.
  - ii. The Sustainable Forestry Initiative® program integrates the perpetual growing and harvesting of trees with the protection of wildlife, plants, soils, and water.
  - iii. This product is from a renewable, responsibly managed forest.
  - iv. The independent Sustainable Forestry Initiative® program is a North American standard committed to sustainable forest management.

- v. The independent Sustainable Forestry Initiative® program is a non-profit charitable organization committed to the sustainable management of North American forests.
23. The following geographic taglines can be used in combination with the *SFI* on-product labels and with promotional materials that may or may not include the *SFI* label. A *Certified Program Participant*, *primary* or *secondary producer* can only use these taglines if they successfully demonstrated to the *SFI certification body* conducting the *SFI* Section 3 chain-of-custody audit that they have tracked the sources of their supply, and that the wood fiber is sourced in North America in a manner consistent with the geographic tagline suggested. If a company sources any of its raw materials outside of North American, these claims can only be used if physical separation is employed. A 5% de minimis is acceptable.
- i. This wood is from a responsibly managed [North American/U.S./Canadian] forest.
  - ii. The fiber in this paper/packaging product is from a responsibly managed [North American/U.S./Canadian] forest.
  - iii. The fiber in this product meets the requirements of the independent Sustainable Forestry Initiative® program, delivering assurance that it comes from a responsibly managed [North American/U.S./Canadian] forest.
24. The *Office of Label Use and Licensing* reserves the right to refuse any label use that does not align with *SFI Inc.*'s strategic objective, which is to "ensure the *SFI Standard* is strong, grounded in science, progressive and based on integrity and proven through conservation collaboration resulting in wide market acceptance."



**Section 13. SFI Definitions**  
**Updated November 19, 2013 ~~January 2011~~**

## SFI Definitions

The following definitions apply to *italicized* words in the *Requirements for the SFI [2015-2019 Program: Standards, Rules for Label Use, Procedures and Guidance](#)*.

**afforestation:** The establishment of a forest or *stand* in an area where the preceding vegetation or land use was not forest.

**Alliance for Zero Extinction:** A global initiative of *biodiversity conservation* organizations, which aims to prevent extinctions by identifying and safeguarding key sites where species are in imminent danger of disappearing. The goal of the Alliance is to create a front line of defense against extinction by eliminating threats and restoring *habitat* to allow species populations to rebound.

**American Tree Farm System®:** A national program that promotes the sustainable management of forests through education and outreach to private forest landowners.

**aquatic habitat:** An area where water is the principal medium and that provides the resources and environmental conditions to support occupancy, survival and reproduction by individuals of a given species.

**aquatic species:** Animals that live on or within water during some stage of their development.

**auditor:** A person with the competence to conduct an audit (ISO 19011:2002, 3.8).

**audit team:** One or more *auditors* conducting an audit, supported if needed by *technical experts* (ISO 19011:2002, 3.9).

**available regulatory action information:** Statistics or regulatory compliance data collected by a federal, state, provincial, or local government agency. Note: Although conformance with laws is the intent, *certification bodies* are directed to look for a spirit and general record of compliance rather than isolated or unusual instances of deviation.

**best management practices (BMPs):** A practice or combination of practices for *protection* of water quality that is determined by a federal, provincial, state, or local government or other responsible entity, after problem assessment, examination of alternative practices, and appropriate public participation, to be the most effective and practicable (including technological, economic, and institutional considerations) means of conducting a forest management operation while addressing any environmental considerations.

**best scientific information:** Available factual information that is generally accepted by the broad scientific community. It includes but is not limited to peer-reviewed scientific information obtainable from any source, including government and non-governmental sources, that has been verified by field testing to the maximum extent feasible.

**biodiversity hotspots:** A biogeographic *conservation* region with more than 1,500 endemic plant species and less than 30 percent of its historical extent (Further information can be found under

Descriptions of *Biodiversity Hotspots* and *High-Biodiversity Wilderness Areas* in section 6 of the SFI requirements document).

**bioenergy feedstock:** Biomass used for the production of renewable energy. Biomass includes any organic products and byproducts derived from trees, plants and other biological organic matter, including limbs, bark and other cellulosic material, organic byproducts from wood pulping, and other biologically derived materials.

**biological diversity, biodiversity:** The variety and abundance of life forms, processes, functions, and structures of plants, animals and other living organisms, including the relative complexity of species, communities, gene pools and ecosystems at spatial scales that range from local to regional to global.

**certification body:** An independent *third party* that is accredited by:

- ANSI-ASQ National Accreditation Board (ANAB) as being competent to conduct certifications to the [SFI 2015-2019 Standard](#).
- American National Standards Institute (ANSI) as being competent to conduct certifications to the SFI Chain-of-Custody Standard.
- Standards Council of Canada (SCC) as being competent to conduct certifications to the [SFI 2015-2019 Standard](#) and the SFI Chain-of-Custody Standard.

**certified content:** Raw material that can count towards the calculation of *certified content* percentages in chain-of-custody tracking. Below are the acceptable *certified content* sources.

**certified forest content:** Raw material from lands third-party certified to *acceptable forest management standards*.

**acceptable forest management standards:** These standards are all endorsed in North America by the Program for the Endorsement of Forest Certification schemes (PEFC).

[SFI 2015-2019 Standard](#) (objectives for land management)

Canadian Standards Association (CAN/CSA-Z809)

[Canadian Standards Association \(CAN/CSA-Z804\)](#)

American Tree Farm System (ATFS) individual and group certification

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

*Post-consumer recycled content* can count towards the calculation of *certified content* percentages but must always be communicated as *post-consumer recycled content* and not *certified forest content*.

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

- [Pre-Consumer Recycled Content: Material diverted from the waste stream during a manufacturing process. It does not include materials such as rework, regrind or scrap generated in a process and capable of being reclaimed within the same process.](#)

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

**certified logging professional:** A *qualified logging professional* who has successfully completed and is a member in good standing, of a credible logger certification *program* recognized by the *SFI Implementation Committee*.

**certified program participant:** **1.** A forest landowner, forest land manager, *primary* or *secondary forest products producer* operating in the United States or Canada who participates in the *SFI* program through a contractual agreement to abide by the *SFI 2015-2019 Standard*, and who has been certified by an accredited *SFI certification body* to be in conformance with the *SFI 2015-2019 Standard*. **2.** An organization that has been certified by an accredited *SFI certification body* to be in conformance with the *SFI Chain-of Custody Standard* and associated labels (Sections 3 and 4).

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

- Fiber that conforms with objectives ~~8-209-21~~ of Section 2 - *SFI 2015-2019 Standard's fiber sourcing requirements*, [and/or-](#)
- *Pre-Consumer Recycled Content*: Material diverted from the waste stream during a manufacturing process. It does not include materials such as rework, regrind or scrap generated in a process and capable of being reclaimed within the same process-

Any claims about *pre-consumer recycled content* by ~~Program Participant~~Certified Program Participants or *label users* shall be accurate and consistent with applicable law. ~~Program Participant~~Certified Program Participants and *label users* are encouraged to consult the U.S.

Federal Trade Commission's guidelines on environmental claims in product advertising and communication and the guidelines on environmental labeling and advertising issued by the Fair Business Practices Branch of Industry Canada's Competition Bureau, as appropriate, and to seek additional information and direction from national accreditation bodies, national standards bodies and national, state and provincial consumer protection and competition laws, [and/or-](#)

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

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

- *Certified forest content*, which includes content from specific forest tracts that are third-party certified to conform with the SFI [2015-2019](#) Standard's forest land management requirements (Objectives ~~1-71-8~~ and ~~14-2016-21~~) or other acceptable forest management standards (e.g. CAN/CSA-Z809, [CAN/CSA-Z804](#), and ATFS).
- *Non-controversial sources:* If the raw material is sourced from outside of the United States and Canada, the organization shall establish adequate measures to ensure that the labeled products do not come from *controversial sources*. See Section 3, ~~3-63.7~~ and Section 4, 6.1 on the process to avoid *controversial sources*. Up to one third of the supply for *secondary producers* can come from *non-controversial sources* for use of the certified sourcing label; the other two-thirds must come from the sources defined under the *certified sourcing* definition— fiber that conforms with objectives ~~8-209-21~~ of Section 2, [and/or](#) *pre consumer recycled content*~~fiber~~, [and/or](#) *post consumer recycled content*~~fiber~~, and/or *certified forest content*.

**[claim period:](#)**Time period for which the chain of custody claim applies.

**[climate change:](#)** A change in the state of the climate that can be identified (e.g. by using statistical tests) by changes in the mean and/or the variability of its properties and that persists for an extended period typically decades or longer. Climate change may be due to natural internal processes or external forcings or to persistent anthropogenic changes in the composition of the atmosphere or in land use. *Note: taken from the Intergovernmental Panel on Climate Change (IPPC)*

**conservation:** 1. *Protection of plant and animal habitat.* 2. The management of a renewable natural resource with the *objective* of sustaining its *productivity* in perpetuity while providing for human use compatible with sustainability of the resource.

**controversial sources:**

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

*Note: Conversion sources cannot be included when calculating certified forest content. Use of controversial sources are not allowed in SFI-labeled products. Controversial sources include illegal logging and fiber sourced from areas without effective social laws.*

**illegal logging:** The theft of timber or logs and cutting in parks, reserves or other similar areas where otherwise precluded by laws such as the United States Lacey Act, as amended in 2008, the European Union Timber Regulation (EUTR), or other relevant state, provincial, or federal legislation. The Lacey Act<sup>1</sup> makes it unlawful to import, export, transport, sell, receive, acquire, or purchase in interstate or foreign commerce any plant, with some limited exceptions, taken, possessed, transported or sold in violation of the laws of the United States, a State, an Indian tribe, or any foreign law that protects plants. The EUTR<sup>2</sup> prohibits illegally harvested timber or products derived from such timber to be brought into the EU, and creates obligations for operators who place timber and timber products on the EU market. In addition, see Section 7 in the SFI requirements document, SFI Legality Requirements and Policies for Avoidance of Illegal Logging, for SFI Inc's Policy on Illegal Logging.

<sup>1</sup> The Food, Conservation, and Energy Act of 2008 (Pub.L. 110-234, 122 Stat. 923, enacted May 22, 2008, H.R. 2419, Section 8204. Prevention of Illegal Logging Practices, also known as the 2008 U.S. Farm Bill).

<sup>2</sup> Regulation EU No 995/2010 of the European Parliament and of the Council of 20 October 2010.

~~The theft of timber or logs and cutting in parks, reserves or other similar areas where otherwise precluded by laws such as the United States Lacey Act, as amended in 2008<sup>1</sup>. The~~

<sup>1</sup> ~~The Food, Conservation, and Energy Act of 2008 (Pub.L. 110-234, 122 Stat. 923, enacted May 22, 2008, H.R. 2419, Section 8204. Prevention of Illegal Logging Practices, also known as the 2008 U.S. Farm Bill). The Lacey Act also makes it unlawful to conduct these activities with respect to any plant (1) without payment of appropriate royalties, taxes, or stumpage fees required for the plant by any law or regulations of any State or any foreign country and (2) in violation of any limitation under any law or regulation of~~

~~Act combats trafficking in "illegal" wildlife, fish, and plants. As of May 22, 2008, the Lacey Act makes it unlawful to import, export, transport, sell, receive, acquire, or purchase in interstate or foreign commerce any plant, with some limited exceptions, taken, possessed, transported or sold in violation of the laws of the United States, a State, an Indian tribe, or any foreign law that protects plants. In addition, see Section 7 in the SFI requirements document for SFI Inc.'s Policy on Illegal Logging.~~

**fiber sourced from areas without effective social laws:** The United States and Canada have a strong legal framework. Fiber from countries without effective laws addressing the following will need a risk assessment:

1. workers' health and safety;
2. fair labor practices;
3. indigenous peoples' rights;
4. anti-discrimination and anti-harassment measures;
5. prevailing wages; and
6. workers' right to organize.

**conversion sources:** Roundwood and/or chips produced from conversion of forestland to other land uses. Manufacturers can use this wood to avoid wasting it but cannot include it when calculating *certified forest content* component.

**critically imperiled:** A plant or animal or community, often referred to as G1, that is globally extremely rare or, because of some factor(s), especially vulnerable to extinction. Typically, five or fewer occurrences or populations remain, or very few individuals (<1,000), acres (<2,000 acres or 809 hectares), or linear miles (<10 miles or 16 kilometers) exist (Further information can be found under *Forests with Exceptional Conservation Value* in section 6 of the SFI requirements document).

**culturally important:** having significance for or being representative of human activities or beliefs (e.g. documented areas such as cemeteries, sacred sites).

**degree:** A professional academic degree (e.g. bachelor's) or equivalent.

**direct supplier:** An individual or organization with whom a [\*Program Participant Certified Program Participant\*](#) has a direct contractual relationship for *fiber sourcing*.

**economic viability:** The economic incentive necessary to keep forest ownerships profitable and competitive, and to keep people gainfully employed.

**ecosystem services:** Components of nature, directly enjoyed, consumed, or used to yield human well-being.

**exotic tree species:** A tree species introduced from outside its natural range. This does not include species that have become naturalized in an area and have a naturally reproducing population. (Note:

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~~any State, or under any foreign law, governing the export or transshipment of plants. SFI has not included these prohibitions in its definition of illegal logging because they are covered by the requirement to comply with all applicable laws.~~

Hybrids of *native* species or *native* plants that have been derived from genetic tree improvement and biotechnology *programs* are not considered exotic species.)

**fiber sourcing:** Acquisition of roundwood (e.g. sawlogs or pulpwood) and field-manufactured or primary-mill residual chips, pulp and veneer to support a forest products facility.

**forest health:** The perceived condition of a forest derived from concerns about such factors as its age, structure, composition, function, vigor, presence of unusual levels of insects or disease, and resilience to disturbance.

**forest type:** [Classification of a forest stand by the dominant tree species or combination of tree species present \(examples include pine, oak-hickory, maple-beech-birch, spruce-fir, douglas fir, etc.\).](#)

**forest inventory:** 1. A set of *objective* sampling methods that quantify the spatial distribution, composition and rates of change of forest parameters within specified levels of precision for management purposes. 2. The listing of data from such a survey.

**forestry:** The profession embracing the science, art and practice of creating, managing, using and conserving forests and associated resources for human benefit and in a sustainable manner to meet desired goals, needs and values.

**forestry enterprise:** A business engaged in the management of forestland, having its own functions and administration and comprising one or more operating units (this does not include independent contractors).

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

**critically imperiled:** A plant or animal or community, often referred to as G1, that is globally extremely rare or, because of some factor(s), especially vulnerable to extinction. Typically, five or fewer occurrences or populations remain, or very few individuals (<1,000), acres (<2,000 acres or 809 hectares), or linear miles (<10 miles or 16 kilometers) exist (Further information can be found under *Forests with Exceptional Conservation Value* in section 6 of the SFI requirements document).

**imperiled:** A plant or animal or community, often referred to as G2, that is globally rare or, because of some factor(s), is very vulnerable to extinction or elimination. Typically, six to 20 occurrences, or few remaining individuals (1,000 to 3,000), or acres (2,000 to 10,000 acres or 809 to 4047 hectares), or linear miles (10 to 50 miles or 16 to 80.5 kilometers) exist (Further information can be found under *Forests with Exceptional Conservation Value* in section 6 of the SFI requirements document).

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

**geographic information system (GIS):** An organized collection of computer systems, personnel, knowledge and procedures designed to capture, store, update, manipulate, analyze, report and display forms of geographically referenced information and descriptive information.

**green-up requirement:** Previously clearcut harvest areas must have trees at least 3 years old or 5 feet (1.5 meters) high at the desired level of stocking before adjacent areas are clearcut.

**growing stock:** All the trees growing in a forest or in a specified part of it that meet specified standards of size, quality and vigor; generally expressed in terms of number or volume.

**growth-and-yield model:** A set of relationships, usually expressed as equations and embodied in a computer program or tables, that provides estimates of future *stand* development given initial *stand* conditions and a specified management regime.

**growth and drain:** The average annual net increase in the volume of trees during the period between inventories (including the increment in net volume of trees at the beginning of the specific year surviving to its end, plus the net volume of trees reaching the minimum size class during the year, minus the volume of trees that died during the year, and minus the net volume of trees that became cull trees during the year) minus the net volume of *growing stock* trees removed from the *forest inventory* during a specified year by harvesting, cultural operations such as timber *stand* improvement, or land clearing.

**habitat:** 1. A unit area of environment. 2. The place, natural or otherwise (including climate, food, cover and water) where an individual or population of animals or plants naturally or normally lives and develops.

**high-biodiversity wilderness areas:** The world's largest-remaining tracts of tropical forest that are more than 75 percent intact. These areas are characterized by extraordinary biological richness, including exceptional concentrations of endemic species, and are also of crucial importance to climate regulation, watershed *protection*, and maintenance of traditional indigenous lifestyles (Further information can be found under Descriptions of *Biodiversity Hotspots* and *High-Biodiversity Wilderness Areas* in section 6 of the SFI requirements document).

**illegal logging:** [The theft of timber or logs and cutting in parks, reserves or other similar areas where otherwise precluded by laws such as the United States Lacey Act, as amended in 2008, the European Union Timber Regulation \(EUTR\), or other relevant state, provincial, or federal legislation. The Lacey Act<sup>1</sup> makes it unlawful to import, export, transport, sell, receive, acquire, or purchase in interstate or foreign commerce any plant, with some limited exceptions, taken, possessed, transported or sold in violation of the laws of the United States, a State, an Indian tribe, or any foreign law that protects plants. The EUTR<sup>2</sup> prohibits illegally harvested timber or products derived from such timber to be brought into the EU, and creates obligations for operators who place timber and timber products on the EU market. In addition, see Section 7 in the SFI requirements document, SFI Legality Requirements and Policies for Avoidance of Illegal Logging, for SFI Inc's Policy on Illegal Logging.](#)

<sup>1</sup> The Food, Conservation, and Energy Act of 2008 (Pub.L. 110-234, 122 Stat. 923, enacted May 22, 2008.

[H.R. 2419, Section 8204. Prevention of Illegal Logging Practices, also known as the 2008 U.S. Farm Bill\).](#)  
[2 Regulation EU No 995/2010 of the European Parliament and of the Council of 20 October 2010.](#)

~~The theft of timber or logs and cutting in parks, reserves, or similar areas where otherwise precluded by laws such as the United States Lacey Act, as amended in 2008<sup>2</sup>. The Act combats trafficking in “illegal” wildlife, fish, and plants. The Food, Conservation, and Energy Act of 2008, effective May 22, 2008, amended As of May 22, 2008, the Lacey Act makes it unlawful to import, export, transport, sell, receive, acquire, or purchase in interstate or foreign commerce any plant, with some limited exceptions, taken, possessed, transported or sold in violation of the laws of the United States, a State, an Indian tribe, or any foreign law that protects plants. In addition, see Section 7 for SFI Inc.’s Policy on Illegal Logging.~~

**imperiled:** A plant or animal or community, often referred to as G2, that is globally rare or, because of some factor(s), is very vulnerable to extinction or elimination. Typically, six to 20 occurrences, or few remaining individuals (1,000 to 3,000), or acres (2,000 to 10,000 acres or 809 to 4047 hectares), or linear miles (10 to 50 miles or 16 to 80.5 kilometers) exist (Further information can be found under *Forests with Exceptional Conservation Value* in section 6 of the SFI requirements document).

**improved planting stock:** Products of tree improvement *programs* in which the parent trees were selected through Mendelian crosses for increased growth, pest resistance, or other desirable characteristics.

**indicator:** In the *SFI* program, a specific metric that provides information about an organization’s *forestry* and environmental performance, and that is integral to assessing conformance to the [SFI 2015-2019 Standard objectives and performance measures](#).

**integrated pest management:** The maintenance of destructive agents, including insects at tolerable levels, by the planned use of a variety of preventive, suppressive or regulatory tactics and strategies that are ecologically and economically efficient and socially acceptable.

**invasive exotic plants and animals:** Species introduced from another country or geographic region outside its natural range that may have fewer natural population controls in the new environment, becoming a pest or nuisance species.

**label users:** Any *certified Program Participant*, label licensee, secondary manufacturer, publisher, printer, retailer or distributor who has obtained a license to use the label; met [Section 3 SFI Chain-of-Custody Standard and /or Section 4 - Rules For Use Of SFI On-Product Labels](#) or the ~~[SFI Chain-of-Custody Standard](#)~~ and Associated Labels (~~[Sections 3 and 4](#)~~); and obtained approval from the *SFI Office of Label Use and Licensing* to use the *SFI* on-product label for at least one product or manufacturing unit.

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<sup>2</sup>~~The **Food, Conservation, and Energy Act of 2008** (Pub.L. 110-234, 122 Stat. 923, enacted May 22, 2008, H.R. 2419, (Section 8204. Prevention of Illegal Logging Practices, also known as the **2008 U.S. Farm Bill**). The Lacey Act also makes it unlawful to conduct these activities with respect to any plant (1) without payment of appropriate royalties, taxes, or stumpage fees required for the plant by any law or regulations of any State or any foreign country and (2) in violation of any limitation under any law or regulation of any State, or under any foreign law, governing the export or transshipment of plants. SFI has not included these prohibitions in its definition of illegal logging because they are covered by the requirement to comply with all applicable laws.~~

**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 several ecosystems, landforms, and plant communities across a defined area irrespective of ownership or other artificial boundaries and repeated in similar form throughout. 2. An area of land characterized by

- similar biogeoclimatic conditions that influence site potential;
- similar historical disturbance regimes that influence vegetation structure and species composition; and
- sufficient size to provide the range of *habitat* conditions for naturally occurring communities (except for a few megafauna with large spatial needs, e.g. wolves).

**lead auditor:** An *auditor* appointed to lead an *audit team*. Also referred to as an *audit team leader* (ISO 19011:2002, 3.9, note 1).

**least-toxic and narrowest-spectrum pesticide:** A chemical preparation used to control site-specific pests that *minimizes* impact to non-target organisms and causes the least impact to while meeting management objectives. The management objectives should consider the target pest, the degree of control needed, cost, and other issues, such as season and timing of application, rates and methods, terrain, forest conditions, and the presence or absence of water bodies.

**long-term:** Extending over a relatively long time period – for the *SFI 2015-2019 Standard*, this means the length of one forest management rotation.

**management responsibilities on public lands:** Accountability for developing plans and translating public agencies' missions, goals, and *objectives* to an organized set of actions.

**major nonconformity:** One or more of the *SFI 2015-2019 Standard performance measures or indicators* has not been addressed or has not been implemented to the extent that a systematic failure of a ~~Program Participant~~ *Certified Program Participant's SFI system* to meet an *SFI objective, performance measure or indicator* occurs.

**minimize:** To do only that which is necessary and appropriate to accomplish the task or *objective* described.

**minor nonconformity:** An isolated lapse in *SFI 2015-2019 Standard program* implementation which does not indicate a systematic failure to consistently meet an *SFI objective, performance measure or indicator*.

**native:** Species of ecological communities occurring naturally in an area, as neither a direct or indirect consequence of recent human activity.

**natural regeneration:** Establishment of a plant or a plant age class from natural seeding, sprouting, suckering or layering.

**neutral sources:** Raw material that is not counted towards or against the calculation of the *certified content* percentages in chain-of-custody tracking or *certified sourcing* tracking in *SFI* Sections 3 and 4. Below are the acceptable *neutral sources*.

Agricultural products (e.g. cotton or other non-wood fibers and biomass from wood fiber legally classified as agricultural by state, provincial or local government) and agricultural residues.

*Post-consumer recycled content* and *Pre-consumer recycled content* may be tracked as a *neutral source* when not making post-consumer or pre-consumer claims about the product.

**non-forested wetland:** A transitional area between aquatic and terrestrial ecosystems that does not support tree cover and is inundated or saturated for periods long enough to produce hydric soils and support hydrophytic vegetation.

**objective:** In the *SFI* program, a fundamental goal of sustainable forest management as embodied in *objectives* 1–20 of the *SFI 2015-2019 Standard*.

**office of label use and licensing:** Provides administrative support and oversight of the *SFI* on-product labeling program, and serves as the depository for *SFI 2015-2019 Standard* certificates, *SFI* Section 3 certificates, *SFI* Section 4 certificates in the *SFI* requirements document and PEFC [ST 2002:2013 Chain of Custody of Forest Based Products – Requirements, May 24 2013 U.S. chain-of-custody Annex 4](#) certificates, and other documents that must be submitted to receive approval for use of the *SFI* on-product labels and claims.

**old-growth forests:** A forested ecosystem distinguished by old trees and related structural attributes, such as tree size, down woody debris, canopy levels, and species composition. *Program Participant/Certified Program Participants* should utilize a definition specific to their region and particular forest types.

**origin:** The attributes of the raw material used in the product. This can be *certified forest content*, *certified sourcing* or *pre-consumer* or *post-consumer recycled content*.

**other credible chain-of-custody standards:** Standards capable of tracking fiber back to a forest certified to the *SFI 2015-2019 Standard* or other acceptable standards recognized by the *SFI* program. They include:

- [PEFC ST 2002:2013 Chain of Custody of Forest Based Products - Requirements, May 24 2013](#)
- [Program for the Endorsement of Forest Certification schemes \(PEFC\) Chain of Custody of Forest Based Products Requirements, Normative Document, Annex 4, dated June 17, 2005 including normative amendments of Oct. 27, 2006 and Oct. 5, 2007](#)

Additional programs may apply for similar recognition or be recognized by the *SFI* program in the future. The criteria used to assess other chain-of-custody standards can be found in *SFI* Section 3 (Appendix 3).

**other wood supplier:** A person or organization who infrequently supplies wood fiber on a small scale, such as farmers and small-scale land-clearing operators.

**performance measure:** In the *SFI* program, a means of judging whether an *objective* has been fulfilled.

**planting:** The establishment of a group or *stand* of young trees created by direct seeding or by *planting* seedlings or plantlets.

**policy:** A written statement of commitment to meet an *objective* or to implement a defined *program* or plan to achieve an *objective* or outcome.

**primary producers:** Manufacturing units that manufacture forest products and source 50% or more (by weight) of their wood-based raw materials directly from *primary sources*. *Primary producers* can include companies that manufacture roundwood, wood chips, and/or composite products.

**primary sources:** Roundwood (logs or pulpwood) and wood chips. Wood chips include:

Field Manufactured Chips - chips produced from roundwood in the forest.

Primary Chips - chips produced from roundwood other than in the forest or as residuals from production of other wood products.

Mill Residual Chips - chips produced from slabs or other residuals from a primary operation.

**principle:** In the *SFI* program, the vision and direction for sustainable forest management as embodied in principles 1–14 of the *SFI 2015-2019 Standard*.

**product group:** set of products manufactured or traded in the specified processes which are covered by the organization's chain of custody.

**productivity:** The inherent capacity of a particular site or ecosystem to produce a crop or tree stand, often measured in volume or height.

**program:** An organized system, process or set of activities to achieve an *objective* or *performance measure*.

~~**program participant:** A forest landowner, forest land manager, primary or secondary forest products producer operating in the United States or Canada who participates in the *SFI* program through a contractual agreement to abide by the *SFI 2010-2014 Standard*. *Certified Program Participants* cannot use the *SFI* on-product label or make claims their products are certified.~~

**Comment [JM1]:** This will be deleted dependent on the Board approval of new policy on Levels of Participation.

**protection:** Maintenance of the status or integrity, over the *long term*, of identified attributes or values including management where appropriate and giving consideration to historical disturbance patterns, fire risk and *forest health* when determining appropriate conservation strategies.

**public land:** Land enrolled in the *SFI* program that is owned or administratively managed by a government entity (federal, state, provincial, county or local), excluding easements or other encumbrances held by a government entity on private land.

**purchased stumpage:** standing timber under a contractual agreement that gives the *Program Participant* [Certified Program Participant](#) the right and obligation to harvest the timber.

**qualified logging professional:** A person with specialized skills in timber harvesting gained through experience or formal training who has successfully completed *wood producer training programs* [and continuing education requirements](#) recognized by *SFI Implementation Committees* as meeting the spirit and intent of *performance measure* under Objective 176 of the *SFI 2015-2019 Standard*.

- a. For a logging crew to be considered trained, each crew must operate under the direction of a [qualified logging professional individual, that is with on-site working as a member of the crew responsibility](#), who has completed the *SFI Implementation Committee* approved state or provincial logger training *program*.
- b. All of the components of a training *program* could take several years to carry out, determining the point at which a logger is considered a *qualified logging professional* should be based on the individual's commitment to the *program*. That is, if a logger completes all the components or modules offered in a given year, that logger should be considered as a *qualified logging professional*. If all available components or modules are not completed, then the logger is no longer considered trained until all available components are completed.

**qualified resource professional:** A person who by training and experience can make forest management recommendations. Examples include foresters, soil scientists, hydrologists, forest engineers, forest ecologists, fishery and *wildlife* biologists or technically trained specialists in such fields.

**recycled content:** [recycled content is defined as pre-consumer recycled content and post-consumer recycled content.](#)

**reforestation:** The reestablishment of forest cover either naturally or by seeding or *planting* of seedlings.

**riparian area:** [transition zone characterized by vegetation or geomorphology adjacent to rivers, streams, lakes, wetlands, and other water bodies.](#)

**secondary producers:** Manufacturing units that produce forest products and source 50% or more (by weight) of their wood-based raw materials from *secondary sources*. *Secondary producers* can include manufacturers of finished forest products, such as plywood, furniture, windows, magazines, printers or catalogs, and manufacturers using market pulp.

**Secondary Sources:** Semi-finished solid wood, paper, market pulp, recycled wood fiber, or composite products obtained from a *primary producer* and/or a *secondary producer*.

**SFI certification:** A systematic and documented verification process to obtain and evaluate evidence objectively to determine whether a ~~Program Participant~~Certified Program Participant's SFI program conforms to the SFI 2015-2019 Standard.

**SFI Implementation Committee (SIC):** A state, provincial, or regional committee organized by SFI ~~Program Participant~~Certified Program Participants to facilitate or manage the *programs* and alliances that support the growth of the SFI program, including sustainable forest management.

**silviculture:** The art and science of controlling the establishment, growth, composition, health, and quality of forests and woodlands to meet the diverse needs and values of landowners and society on a sustainable basis.

**skid trail:** A temporary path through the woods to transport felled trees or logs to a collection area for further transportation.

**special sites:** Sites that include ecologically or geologically unique or *culturally important* features.

**stand:** A contiguous group of trees sufficiently uniform in age, composition, and structure, and growing on a site of sufficiently uniform quality, to be a distinguishable unit.

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

**Sustainable Forestry Initiative Inc.:** SFI Inc. is a 501c(3) non-profit charitable organization, and is solely responsible for maintaining, overseeing and improving the Sustainable Forestry Initiative *program*. SFI Inc. directs all elements of the Sustainable Forestry Initiative *program* including the SFI *Standard*, chain-of-custody certification, *fiber sourcing* requirements, labeling and marketing. SFI Inc. is overseen by a three-chamber board of directors representing social, environmental and economic sectors.

**Sustainable Forestry Initiative 2015-2019 Standard (SFI Standard):** The *principles, policies, objectives, performance measures, and indicators* that detail specific requirements for ~~Program Participant~~Certified Program Participants. The SFI 2015-2019 Standard is the ~~fourth~~fifth revised standard since 1998.

**Sustainable Forestry Initiative Standard Audit Procedures and Auditor Qualifications and Accreditation:** The *principles* and guidelines that detail specific requirements to ~~Program Participant~~Certified Program Participants and *Certification bodies* for conducting audits to the SFI 2015-2019 Standard.

**technical expert:** A person who provides specific knowledge or expertise to the *audit team* (ISO 19011 2002, 3.10).

**third-party certification:** An assessment of conformance to the *SFI 2015-2019 Standard* conducted according to the standards of the *SFI Audit Procedures and Qualifications* and ISO 19011 by a qualified *certification body*.

**threatened and endangered:** Listed under The U.S. Endangered Species Act or The Canadian Species at Risk Act and listed under applicable state or provincial laws requiring *protection*.

**traditional forest-related knowledge:** Forest-related knowledge owned and maintained by indigenous peoples as a result of their traditional use of or tenure on forestland.

**varietal seedlings:** Genetically identical individuals produced through vegetative reproduction methods, such as micropropagation, tissue culture or somatic embryogenesis.

**vernal pool:** a seasonal wetland with sufficient water present during amphibian breeding season, absence of fish, and presence of wetland obligate fauna.

**verifiable monitoring system:** A system capable of being audited by a *third party* that includes:

- a. a means to characterize the ~~*Program Participant*~~*Certified Program Participant's wood and fiber supply area*, which may include sources certified to a standard that requires conformance with *best management practices*, including those sources from *certified logging professionals*;
- b. a process to identify and use sources of available data (e.g., state or provincial monitoring *programs*, certification status of suppliers) in the use of *best management practices*; and
- c. a method to assess supplier performance, if needed, to supplement available data.

**visual quality:** The seen aspects of both the land and the activities that occur upon it.

**visual quality management:** Minimization of the adverse visual effects of forest management activities.

**wetland:** (1) seasonally or permanently water-logged areas characterized by vegetation adapted for life in saturated /flooded conditions; (2) wetlands can be treed, shrubby or open and include bogs, fens, swamps, marshes and shallow open water areas; (3) wetlands may be stagnant systems (e.g. bogs), slow flowing (e.g. fens, swamps) or have fluctuating water levels (e.g. marshes, shallow open water).

**wildlife:** Aquatic (marine and freshwater) and terrestrial fauna.

**wood and fiber supply area:** The geographic area from which a ~~*Program Participant*~~*Certified Program Participant* procures, over time, most of its wood and fiber from *wood producers*.

**wood producer:** A person or organization, including loggers and wood dealers, involved in harvesting or regularly supplying wood fiber directly from the forest for commercial purposes.