



***SFI 2022 Fiber Sourcing Standard  
(Section 3)***

**May 1, 2020**

# Table of Contents

1.	GENERAL	3
1.1	SCOPE	3
1.2	ADDITIONAL REQUIREMENTS	3
1.3	REFERENCES	3
1.4	FIBER SOURCING STANDARD PRINCIPLES	4
1.5	SFI 2022 FIBER SOURCING OBJECTIVES	6
1.6	SFI2022 FIBER SOURCING REQUIREMENTS	7
	<i>Objective 1. Biodiversity in Fiber Sourcing.</i>	7
	<i>Objective 2. Adherence to Best Management Practices.</i>	7
	<i>Objective 3. Use of Qualified Resource and Qualified Logging Professionals.</i>	8
	<i>Objective 4. Legal and Regulatory Compliance.</i>	9
	<i>Objective 5. Forestry Research, Science and Technology.</i>	9
	<i>Objective 6. Training and Education.</i>	10
	<i>Objective 7. Community Involvement and Landowner Outreach.</i>	12
	<i>Objective 8. Public Land Management Responsibilities.</i>	14
	<i>Objective 9. Communications and Public Reporting.</i>	14
	<i>Objective 10. Management Review and Continual Improvement.</i>	15
	<i>Objective 11. Avoid Controversial Sources.</i>	15

## 1. General

### 1.1 Scope

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

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

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

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

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

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

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

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

### 1.2 Additional Requirements

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

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

### 1.3 References

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

#### **Normative References**

- i. ISO/IEC 17021:2015 - Conformity Assessment - Requirements for bodies providing audit and certification of management systems

- ii. ISO/IEC Guide 2:2004 Standardization and related activities - General vocabulary
- iii. Section 8 - SFI Policies
- iv. Section 10 – SFI 2022 Audit Procedures and *Auditor* Qualifications and Accreditation
- v. Section 11 - Communications and Public Reporting
- vi. Section 14 - SFI Definitions
- vii. Interpretations for the Requirements for the SFI 2022 Program

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

### **Informative References**

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

## **1.4 Fiber Sourcing Standard Principles**

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

### **1. Sustainable Forestry**

To practice *sustainable forestry* to meet the needs of the present while promoting the ability of future generations to meet their own needs by practicing a land stewardship ethic that integrates *reforestation* and the managing, growing, nurturing and harvesting of trees for useful products and *ecosystem services* such as the *conservation* of soil, air and water quality, climate change mitigation, *biological diversity*, *wildlife* and *aquatic habitats*, recreation and aesthetics.

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

To provide for regeneration after harvest and maintain the productive capacity of the forest land base, and to *protect* and maintain *long-term* forest and soil *productivity*. In addition, to *protect* forests from economically or environmentally undesirable levels of wildfire, pests,

diseases, *invasive species* and other damaging agents and thus maintain and improve *long-term forest health and productivity*.

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

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

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

To manage forests in ways that *protect* and promote *biological diversity*, including animal and plant species, *wildlife habitats*, *ecologically important* species and native *forest cover types*.

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

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

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

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

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

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

### **8. Legal Compliance**

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

### **9. Research**

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

### **10. Training and Education**

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

### **11. Community Involvement and Social Responsibility**

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

### **12. Transparency**

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

### **13. Continual Improvement**

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

## **14. Avoidance of *Controversial Sources***

To avoid wood fiber from *controversial sources* when procuring fiber in the United States, Canada and globally.

### **1.5 SFI 2022 Fiber Sourcing Objectives**

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

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

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

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

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

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

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

#### **Objective 4. *Legal and Regulatory Compliance***

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

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

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

#### **Objective 6. *Training and Education***

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

#### **Objective 7. *Community Involvement and Landowner Outreach***

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

#### **Objective 8. *Public Land Management Responsibilities***

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

#### **Objective 9. *Communications and Public Reporting***

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

#### **Objective 10. *Management Review and Continual Improvement***

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

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

## 1.6 SFI 2022 Fiber Sourcing Requirements

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

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

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

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

Indicators:

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

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

Indicators:

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

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

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

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

Indicators:

1. Use of written agreements for the purchase of raw material sourced directly from the forest is required and must include provisions requiring the use of *best management practices*.
2. *Program* to address adverse weather conditions.
3. *Certified Organizations* shall clearly define their *fiber sourcing policies* in writing and make them available to *wood producers*.

**Performance Measure 2.2.** *Certified Organizations* shall, individually or collaboratively monitor the use of *best management practices* relative to scale.

Indicators:

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

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

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

**Performance Measure 3.1.** *Certified Organizations* shall encourage landowners to utilize the services of *qualified logging professionals*, *certified logging companies* (where available), *qualified resource professionals* and in applying *principles* of sustainable forest management on their lands.

Indicators:

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



#### **Objective 4. Legal and Regulatory Compliance.**

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

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

Indicators:

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

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

Indicator:

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

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

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

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

Indicators:

1. Financial or in-kind support of research to address questions of relevance in the region of operations forest *productivity*, water quality, biodiversity, *landscape* ecology, community issues, support for Forest Inventory Analysis (FIA), SFI Conservation Grant Program, or similar areas which build broader understanding of the benefits and impacts of forest management.
2. Research on genetically modified trees via *forest tree biotechnology* shall adhere to all applicable federal, state, and provincial regulations and international protocols ratified by

the U.S. or Canada depending on jurisdiction of management. Refer to the *SFI policy on forest tree biotechnology* in Section 7.

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

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

Indicator:

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

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

Indicators:

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

## **Objective 6. Training and Education.**

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

**Performance Measure 6.1.** *Certified Organizations* shall require appropriate training of personnel and contractors so that they are competent to fulfill their responsibilities under the *SFI 2022 Fiber Sourcing Standard*.

Indicators:

1. Written statement of commitment to the *SFI 2021 Fiber Sourcing Standard* communicated throughout the organization, particularly to facility and woodland managers, *fiber sourcing* staff and field foresters.
2. Assignment and understanding of roles and responsibilities for achieving *SFI 2021 Fiber Sourcing Standard objectives*.

3. Staff education and training sufficient to their roles and responsibilities.
4. Contractor education and training sufficient to their roles and responsibilities.
5. *Certified Organizations* shall have written agreements for the use of *qualified logging professionals* and/or *certified logging professionals* (where available) and/or *wood producers* that have completed training programs and are recognized as *qualified logging professionals*.
6. *Certified Organizations* shall strive to achieve 100 percent of their raw material deliveries from *qualified logging professionals*, or *certified logging companies* where they exist, who:
  - a. has completed the *SFI Implementation Committee* approved *wood producer* training program;
  - b. is an owner of, employee of, or contracted by the *wood producer*;
  - c. has direct responsibility and is on-site regularly to consistently carry out the roles and responsibilities of the *qualified logging professional* or *certified logging companies* under the *SFI 2022 Forest Management or Fiber Sourcing Standards*.

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

Indicators:

1. Participation in or support of *SFI Implementation Committees* to establish criteria and identify delivery mechanisms for *wood producer* core training courses that 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. awareness of responsibilities under the U.S. Endangered Species Act, the Canadian Species at Risk Act, *Forests with Exceptional Conservation Value (critically imperiled and imperiled species and ecological communities)*, and other measures to *protect biodiversity and wildlife habitat*;
  - d. logging safety;
  - e. U.S. Occupational Safety and Health Administration (OSHA) and Canadian Centre for Occupational Health and Safety (CCOHS) regulations, wage and hour rules, and other provincial, state and local employment laws.
2. Participation in or support of *SFI Implementation Committees* to establish criteria and identify delivery mechanisms for *wood producer* continuing education training courses at least once every two years that address one or more of the following topics:
  - a. *reforestation, invasive species, forest resource conservation, aesthetics and special sites*;
  - b. awareness of rare forested natural communities as identified by provincial or state agencies, or by credible organizations such as NatureServe or The Nature Conservancy;
  - c. transportation issues;
  - d. business management;

- e. public policy and outreach;
- f. awareness of emerging technologies;
- g. logging safety;
- h. observed trends regarding the effectiveness of the *SFI Implementation Committee* approved *wood producer* training programs.

**Performance Measure 6.3.** *Certified Organizations* shall work individually and/or with *SFI Implementation Committees*, logging or *forestry* associations, or appropriate agencies or others in the *forestry* community to foster improvement in the professionalism of *wood producers* specific to *certified logging companies* where they exist.

1. Participation in or support of *SFI Implementation Committees* to establish criteria for recognition of logger certification *programs*, where they exist, that include:
  - a. completion of *SFI Implementation Committee* recognized logger training *programs* and meeting continuing education requirements of the training *program* or key personnel;
  - b. independent in-the-forest verification of conformance with the logger certification *program* standards;
  - c. compliance with all applicable laws and regulations including responsibilities under the U.S. Endangered Species Act, the Canadian Species at Risk Act and other measures to *protect wildlife habitat including Forest with Exceptional Conservation Value (critically imperiled and imperiled species and ecological communities)*;
  - d. use of *best management practices* to *protect* water quality;
  - e. adherence to a logging safety *program*;
  - f. compliance with acceptable *silviculture* and utilization standards;
  - g. aesthetic management techniques employed where applicable;
  - h. adherence to a management or harvest plan that is site specific and agreed to by the forest landowner; and
  - i. independent verification that each crew has an individual who:
    - i. has completed the *SFI Implementation Committee* approved *wood producer* training program,
    - ii. is an owner of, employee of, or contracted by the *wood producer*, and
    - iii. has direct responsibility and is on-site regularly to consistently carry out the roles and responsibilities of the *wood producer*.

### **Objective 7. Community Involvement and Landowner Outreach.**

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

**Performance Measure 7.1.** *Certified Organizations* shall support and promote efforts by consulting foresters, state, provincial and federal agencies, state or local groups, professional societies, *conservation* organizations, *Indigenous Peoples* and governments, community groups, sporting organizations, labor, universities, extension agencies, the *American Tree Farm System*<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. Support individually or collaboratively education and outreach to forest landowners describing the importance of and providing implementation guidance on:
  - a. *best management practices*;
  - b. *reforestation and afforestation*;
  - c. *visual quality management*;
  - d. *conservation objectives*, such as of critical *wildlife habitat* elements, biodiversity, *threatened and endangered species*, and *Forests with Exceptional Conservation Value*;
  - e. management of harvest residue (e.g., slash, limbs, tops) considers economic, social, environmental factors (e.g., organic and nutrient value to future forests) and other utilization needs;
  - f. control of *invasive species*;
  - g. characteristics of *special sites*; and
  - h. reduction of wildfire risk.
3. Participation in efforts to support or promote *conservation* of managed forests through voluntary market-based incentive *programs* such as current-use taxation *programs*, *Forest Legacy Program*, *conservation easements*, federal, state, or provincial cost share programs, or the SFI Conservation Grant program.
4. *Certified Organizations* are knowledgeable about credible regional *conservation* planning and priority-setting efforts that include a broad range of *stakeholders* and have a *program* to take into account the results of these efforts in planning.
5. *Certified Organizations* with *fiber sourcing programs*, either individually or collaboratively with *SFI Implementation Committees*, encourage forest landowners to participate in forest management certification *programs*.

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

Indicator:

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

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

Indicators:

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

### **Objective 8. Public Land Management Responsibilities.**

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

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

Indicators:

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

### **Objective 9. Communications and Public Reporting.**

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

**Performance Measure 9.1.** A *Certified Organization* shall provide a summary audit report, prepared by the *certification body*, to *SFI Inc.* after the successful completion of a certification, recertification or surveillance audit to the *SFI 2022 Fiber Sourcing Standard*.

Indicator:

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

h. the certification decision.

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

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

Indicators:

1. Prompt response to the *SFI* annual progress report survey.
2. Record keeping for all the categories of information needed for *SFI* annual progress report surveys.
3. Maintenance of copies of past survey reports to document progress and improvements to demonstrate conformance to the *SFI 2022 Fiber Sourcing Standard*.

### **Objective 10. Management Review and Continual Improvement.**

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

**Performance Measure 10.1.** *Certified Organizations* shall establish a management review system to examine findings and progress in implementing the *SFI 2022 Fiber Sourcing Standard*, to make appropriate improvements in *programs*, and to inform their employees of changes.

Indicators:

1. System to review commitments, *programs* and procedures to evaluate effectiveness.
2. System for collecting, reviewing and reporting information to management regarding progress in achieving *SFI 2022 Fiber Sourcing Standard objectives* and *performance measures*.
3. Annual review of progress by management and determination of changes and improvements necessary to continually improve conformance to the *SFI 2022 Fiber Sourcing Standard*.

### **Objective 11. Avoid Controversial Sources.**

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

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

Indicators:

1. The *Certified Organization* shall collect information on the source of the fiber, through a due diligence system to address the likelihood of sourcing from *controversial sources*. This includes:

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

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

Indicators:

1. The *Certified Organization* shall develop and implement a due diligence system (DDS) to manage the risk of sourcing fiber from *controversial sources* in accordance with the requirements of this standard.
2. The DDS risk assessment shall classify material into "low" and "high" risk categories.
3. The risk assessment shall be carried out at the regional level unless risk is consistent at the national level.
4. The *Certified Organization* shall review, and if necessary, revise its risk ratings on at least an annual basis.
5. The *Certified Organization* shall conduct a risk assessment before the first time of delivery for each new region of supply.

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

Indicators:

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



**Performance Measure 11.4.** The *Certified Organization* shall have a process to mitigate the risk of sourcing high risk fiber.

Indicators:

1. Where the risk assessment determines high risk, the *Certified Organization* shall implement a *program* to mitigate such risk and require a signed contract and/or self-declaration that the supplied fiber does not originate from *controversial sources*.
2. For each supply source where the risk is high, the risk assessment shall also identify the specific verifiable controls that the supplier has in place to substantially reduce the risk of sourcing fiber from *controversial sources*.
3. Where a *Certified Organization* receives fiber, and then learns the fiber may be from *controversial sources*, the fiber shall be segregated and prevented from entering the supply chain. If subsequent verification demonstrates that the risk of this fiber originating from *controversial sources* is low, the fiber can re-enter the supply chain.
4. The *Certified Organization* shall identify the verifiable measures to be implemented across the full supply chain for each source of supply identified as high risk to ensure that the supply is not from *controversial sources* which will include:
  - a. assessing the operating effectiveness of verifiable measures, through field-based verification.
  - b. for direct sources, include field and document verification of *controversial sources* risk factors back to the forest units from which fiber is sourced.
  - c. for indirect sources, include site and document verification of suppliers (such as lumber suppliers, chip suppliers and wood yards) to establish the absence of *controversial sources* risk factors in their inputs and sample-based field verification of their supply sources back to the forest units from which they source fiber.
5. Where sampling is conducted as part of the verification program, the sampling program should be risk based to draw valid conclusions across all fiber inputs.

**Performance Measure 11.5.** The *Certified Organization* shall have a process to avoid *controversial sources*.

Indicator:

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