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### Attachment 1: SFI PEFC Endorsement – Summary of Documentation Submitted

#### Assessment Matrix

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PART I: SFI's checklist for standard setting (PEFC ST 1001:2010)

1 Scope

Part I covers the requirements for standard setting defined in PEFC ST 1001:2010, *Standard Setting – Requirements*.

Any inconsistencies between this text and the original referred to document will be overruled by the content and wording of the technical document.

2 Checklist

Question	Assess. basis*	Reference to application documents
a) its status and structure, including a body responsible for consensus building (see 4.4) and for formal adoption of the standard (see 5.11),	Procedures	<p><b>Appendix 1 of the PEFC Endorsement Application - SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI Standard Development and Interpretations Process - Section 8</b> <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/</a></p> <p><b>1. Procedures for <i>SFI</i> Standard Revision</b></p> <p><b>1.1 Actors and Responsibilities</b></p> <p>The <i>SFI</i> Board of Directors is responsible for standard development and revision and will convene the Forum. The <i>SFI</i> Board of Directors, Resources Committee and the External Review Panel (independent oversight role) constitute the Forum and ensure that the revision process includes economic, environmental and social representation equally. Any individual can suggest candidates to the nominations committee. The nominations committee considers suggestions and invites individuals to be considered by the Board. The Forum follows the procedures outlined in this document for <i>SFI</i> Standard Revision<sup>1</sup>.</p> <p><b>1.1.1 <i>SFI</i> Board</b></p> <p><i>SFI</i> Board members include representatives of environmental, <i>conservation</i>, social professional and academic groups, independent professional loggers, small family forest owners, public officials, labor and the forest products industry. The 18 member <i>SFI</i> Board of Directors has representatives from the main geographic regions of the U.S. and Canada and includes:</p> <ul style="list-style-type: none"><li>• Six directors from non-profit environmental / <i>conservation</i> organizations representing the environmental sector;</li><li>• Six directors from community or social interest groups such as universities, labor, independent professional loggers, family forest owners or government agencies representing the social sector; and</li><li>• Six directors from the forest, paper and wood products industry or other for-profit forest ownership or management entities representing the economic sector.</li></ul> <p><i>SFI</i> Board members are invited by the Board Nominations Committee to participate as directors and must be approved by the full</p>

<sup>1</sup> Section 8 - *SFI* Standards Development and Interpretations Process is publicly available and can be found on the SFI website.

# Application for Assessment of the SFI 2015-2019 Standards and Rules for PEFC Endorsement

PART I: SFI's checklist for standard setting (PEFC ST 1001:2010)

Question	Assess. basis*	Reference to application documents
		<p>Board. The Board is a voluntary Board.</p> <p><b>1.1.2 SFI Resources Committee</b>  Each <i>SFI Inc.</i> Board member appoints one person from their organization (or other organization they may choose) to serve on the <i>SFI Inc.</i> Resources Committee (RC) or the Board member may choose to represent themselves on the Resources Committee. As such, the Resources Committee has the same equal representation of social, environmental and economic interests and geographical scope as the <i>SFI Inc.</i> Board.</p> <p><b>SFI By-Laws</b> <a href="http://www.sfiprogram.org/files/pdf/sfi-inc-bylaws-june-2013/">http://www.sfiprogram.org/files/pdf/sfi-inc-bylaws-june-2013/</a></p> <p><u>SFI By-Laws Article III:</u></p> <p>5. Voting. In order to ensure that no Sector of the Board of Directors can control the future of the Corporation, it shall take a minimum of sixty-six percent (66%) of those present to approve any action of the Board except where provided otherwise by law or by Article III.3.1 of these Bylaws. A Director may select an individual to represent him/her and to vote by proxy at one of the two meetings to be held each year. These individuals will be counted when determining a quorum.</p> <p>6. Amendments to the SFI Standard, Certification or Accreditation Procedures and Bylaws. Amendments to the Sustainable Forestry Initiative® Standard, including the Program Principles and Objectives, Performance Measures, and Indicators, may be made only at a meeting of the Board of Directors where notice of the nature of the proposed amendment(s) has been provided to the Directors at the previous meeting and the proposed language for the amendment(s) has been provided to the Directors at least forty-five days in advance of the meeting. Similarly, amendments to these Bylaws, as well as merger or dissolution of the Corporation, require that notice of the nature of the proposed amendment(s) or action be provided to the Directors at the previous meeting and the proposed language for the amendment(s) or action be provided to the Directors at least forty-five days in advance of the meeting.</p>
b) the record-keeping procedures,	Procedures	<p><b>Appendix 2 of the PEFC Endorsement Application - SFI Records Retention Policy</b></p> <p>VI. SFI STANDARDS AND GUIDELINES DOCUMENTS</p> <p>All final documents used in research and development of standards, specifications, or guidelines (including revisions and reaffirmations) shall be retained for a minimum of one standards development cycle. Records for standards that are withdrawn shall be kept for a minimum of five years from the date of withdrawal. These include background information, ballots, meeting books of standards committees, letters of interpretations, and documentation of standards provisions. Notes and drafts of any of these items should be disposed of after conversion to a final document. Such documents may be disposed of in as short a time frame as appropriate.</p> <p><b>Appendix 1 of the PEFC Endorsement Application - SFI 2015-2019 Standards and Rules</b></p>

Application for Assessment of the SFI 2015-2019 Standards and Rules for PEFC Endorsement

PART I: SFI’s checklist for standard setting (PEFC ST 1001:2010)

Question	Assess. basis*	Reference to application documents
		<p><b>SFI Standard Development and Interpretations Process - Section 8</b> <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/</a></p> <p>1.2 Procedures: The Forum shall maintain records regarding all comments and their disposition for review by the independent External Review Panel. All comments will be considered carefully and records of their disposition maintained for a minimum of five years and posted to the <i>SFI</i> website. As in any review process, it is not necessary to agree to every suggestion, but it is important that all comments be given consideration.</p> <p>These written procedures shall be publicly available to all interested parties. Additional information on the <i>SFI Standards</i> Development process, regional workshop reports and stakeholder comments submitted during both public comment periods and how they were addressed shall be publicly available and also maintained for a minimum of five years.</p>
c) the procedures for balanced representation of stakeholders,	Procedures	<p><b>Appendix 1 of the PEFC Endorsement Application - SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI Standard Development and Interpretations Process - Section 8</b> <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/</a></p> <p>1.2 Procedures The <i>Sustainable Forestry Initiative Standards</i> setting process shall be on a five year cycle, which is consistent with international protocols for forest certification standard revision cycles. The <i>SFI</i> Standards development process is open, transparent and consensus<sup>2</sup> based and <i>SFI Inc.</i> Board decisions regarding final changes to the <i>SFI Standards</i> shall be consistent with PEFC ST 1001:2010 for consensus<sup>3</sup> based decision making. The revision process shall begin in the first quarter of the year prior to the year the existing standard expires. The <i>SFI Standards</i> setting process shall begin with a public notice to all stakeholders prior to the start of the process. The start of the process will be communicated on the <i>SFI</i> website, in newsletters and emails to all stakeholders inviting comments. <i>SFI</i> shall identify stakeholders relevant to the objectives and scope of the standard-setting work. A stakeholder mapping exercise will be used to identify which interest sectors-both public and private-are relevant (environmental, economic, social) including stakeholders who may not be able to participate by conventional means and what means of communications will</p>

<sup>2</sup> Consensus as defined by PEFC and ISO: General agreement, characterized by the absence of sustained opposition to substantial issues by any important part of the concerned interests and by a process that involves seeking to take into account the views of all parties concerned and to reconcile any conflicting arguments. NOTE - **Consensus** need not imply unanimity. Item 1.7 in *ISO/IEC Guide 2:1991* and item 3.1 in *PEFC Standard Setting Requirements PEFC ST 1001:2010 dated 2010-11-26*. *PEFC ST 1001:2010* and *ISO Guide 59:1994, Code of Good Practice for Standardisation* are normative references.

<sup>3</sup> The SFI Inc. Board of Directors has a balance of stakeholders including representatives of environmental, *conservation*, social professional and academic groups, independent professional loggers, small family forest owners, public officials, labor and the forest products industry. The SFI Inc. Board of Directors voting structure in the SFI Inc. bylaws defines the consensus based approach used for final approval of revisions to the SFI Standard: a minimum of eighty percent of those present, which must include at least two representatives of each Sector [environmental, social, economic] is required to approve any action of the Board.

**Application for Assessment of the SFI 2015-2019 Standards and Rules for PEFC Endorsement**  
PART I: SFI's checklist for standard setting (PEFC ST 1001:2010)

Question	Assess. basis*	Reference to application documents
		<p>best reach each stakeholder group. This mapping exercise will be done at the beginning of each standard review process and will define who the stakeholders are and what is necessary to ensure all can participate in the process if they so choose.<sup>4</sup> The process shall include an initial 60 day public comment period, a second 60 day public comment period (the enquiry draft) and a final draft review period of at least 45 days (See Figure 1).</p> <p>The External Review Panel shall independently monitor the entire process including a review of all comments received on draft standards and their disposition.</p> <p>Broad public and stakeholder involvement is important to the <i>SFI program</i>. The <i>SFI Standards</i> review process shall be conducted on a national level in Canada and in the United States. Stakeholders, including disadvantaged and key stakeholders and those from the environmental community, forest products industry, private forest landowners, customers, local and federal government agencies, trade associations, landowner associations, academia and all other stakeholders shall be invited to participate in the review process. The start of the standards review process and all subsequent public review periods shall be communicated publicly to all interested stakeholders with an invitation to provide comments on the standards and standard setting process.<sup>5</sup></p> <p>The Standards Revision process is intended to be collaborative. While consensus on proposed <i>SFI Standards</i> revisions is desirable there may be issues for which consensus cannot be achieved. In these scenarios the Review Task Groups established by the Resources Committee may forward multiple recommended options to a Steering Committee, also established by the Resources Committee, who will review and prepare recommendations for the Resources Committee's review. Task Group Chairs shall be fair to all viewpoints; however, they are charged with moving the process forward in a timely manner. If consensus is not achieved by the Resources Committee, the issue (s) will be moved forward to the <i>SFI</i> Board of Director for final resolution either by consensus or according to voting procedures outlined in the <i>SFI</i> Board Director bylaws (<a href="http://www.sfiprogram.org/about-us/sfi-governance/">http://www.sfiprogram.org/about-us/sfi-governance/</a>). All recommendations developed by the task groups will be reviewed by the Board and may be accepted as is, modified, or returned to the task groups with instructions for additional consideration and discussion.</p> <p>The draft of proposed changes to the <i>SFI Standards</i> shall be released and published to the <i>SFI</i> website during the first quarter of the second review year, followed by an additional 60 day public comment period to allow all stakeholders an opportunity to provide additional comments regarding proposed changes.</p> <p>This draft will also be presented and discussed with <i>SFI Program Participants</i> and all other stakeholders at regional workshops conducted by the Forum and <i>SFI Inc.</i> throughout the U.S. and Canada. All stakeholders who have commented on proposed changes or who have proposed changes to the <i>SFI Standards</i> shall use this opportunity to raise any concerns regarding their comments and the manner in which the <i>SFI Standards</i> Review task group addressed their comments or suggested changes.</p>

<sup>4</sup> Stakeholders will be identified by doing a stakeholder mapping exercise that includes defining which interest sectors are relevant and why, and for each sector what are likely to be the key issues, who are the key stakeholders including those who may not be able to participate by conventional means, and what means of communication will best reach them.

<sup>5</sup> The public announcement will include where to find the publicly available standards-setting procedures, the objectives, scope and steps of the standards setting process including key dates, information on how stakeholders can participate in the process, information on how to submit comments on the standards and how to be involved in standards revision workshops and working groups.

# Application for Assessment of the SFI 2015-2019 Standards and Rules for PEFC Endorsement

PART I: SFI's checklist for standard setting (PEFC ST 1001:2010)

Question	Assess. basis*	Reference to application documents
		<p><b>Appendix 4 of the PEFC Endorsement Application</b> lists the Standard Revision Task Groups.</p> <p>Additional evidence of the balanced representation of stakeholders in the SFI Standard Revision process is found in <b>Appendices 5 - 8 of the PEFC Endorsement Application</b></p>
d) the standard-setting process,	Procedures	<p><b>Appendix 1 of the PEFC Endorsement Application - SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI Standard Development and Interpretations Process - Section 8</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/</a></p> <p>1.2 Procedures  The <i>Sustainable Forestry Initiative Standards</i> setting process shall be on a five year cycle, which is consistent with international protocols for forest certification standard revision cycles. The <i>SFI Standards</i> development process is open, transparent and consensus<sup>6</sup> based and <i>SFI Inc.</i> Board decisions regarding final changes to the <i>SFI Standards</i> shall be consistent with PEFC ST 1001:2010 for consensus<sup>7</sup> based decision making. The revision process shall begin in the first quarter of the year prior to the year the existing standard expires. The <i>SFI Standards</i> setting process shall begin with a public notice to all stakeholders prior to the start of the process. The start of the process will be communicated on the <i>SFI</i> website, in newsletters and emails to all stakeholders inviting comments. <i>SFI</i> shall identify stakeholders relevant to the objectives and scope of the standard-setting work. A stakeholder mapping exercise will be used to identify which interest sectors-both public and private-are relevant (environmental, economic, social) including stakeholders who may not be able to participate by conventional means and what means of communications will best reach each stakeholder group. This mapping exercise will be done at the beginning of each standard review process and will define who the stakeholders are and what is necessary to ensure all can participate in the process if they so choose.<sup>8</sup> The process shall include an initial 60 day public comment period, a second 60 day public comment period (the enquiry draft) and a final draft review period of at least 45 days (See Figure 1).</p> <p>The External Review Panel shall independently monitor the entire process including a review of all comments received on draft standards and their disposition.</p> <p>Broad public and stakeholder involvement is important to the <i>SFI program</i>. The <i>SFI Standards</i> review process shall be conducted on</p>

<sup>6</sup> Consensus as defined by PEFC and ISO: General agreement, characterized by the absence of sustained opposition to substantial issues by any important part of the concerned interests and by a process that involves seeking to take into account the views of all parties concerned and to reconcile any conflicting arguments. NOTE - **Consensus** need not imply unanimity. Item 1.7 in *ISO/IEC Guide 2:1991* and item 3.1 in *PEFC Standard Setting Requirements PEFC ST 1001:2010 dated 2010-11-26*. *PEFC ST 1001:2010* and *ISO Guide 59:1994, Code of Good Practice for Standardisation* are normative references.

<sup>7</sup> The SFI Inc. Board of Directors has a balance of stakeholders including representatives of environmental, *conservation*, social professional and academic groups, independent professional loggers, small family forest owners, public officials, labor and the forest products industry. The SFI Inc. Board of Directors voting structure in the SFI Inc. bylaws defines the consensus based approach used for final approval of revisions to the SFI Standard: a minimum of eighty percent of those present, which must include at least two representatives of each Sector [environmental, social, economic] is required to approve any action of the Board.

<sup>8</sup> Stakeholders will be identified by doing a stakeholder mapping exercise that includes defining which interest sectors are relevant and why, and for each sector what are likely to be the key issues, who are the key stakeholders including those who may not be able to participate by conventional means, and what means of communication will best reach them.

Application for Assessment of the SFI 2015-2019 Standards and Rules for PEFC Endorsement

PART I: SFI’s checklist for standard setting (PEFC ST 1001:2010)

Question	Assess. basis*	Reference to application documents
		<p>a national level in Canada and in the United States. Stakeholders, including disadvantaged and key stakeholders and those from the environmental community, forest products industry, private forest landowners, customers, local and federal government agencies, trade associations, landowner associations, academia and all other stakeholders shall be invited to participate in the review process. The start of the standards review process and all subsequent public review periods shall be communicated publicly to all interested stakeholders with an invitation to provide comments on the standards and standard setting process.<sup>9</sup></p> <p>The Standards Revision process is intended to be collaborative. While consensus on proposed <i>SFI Standards</i> revisions is desirable there may be issues for which consensus cannot be achieved. In these scenarios the Review Task Groups established by the Resources Committee may forward multiple recommended options to a Steering Committee, also established by the Resources Committee, who will review and prepare recommendations for the Resources Committee’s review. Task Group Chairs shall be fair to all viewpoints; however, they are charged with moving the process forward in a timely manner. If consensus is not achieved by the Resources Committee, the issue (s) will be moved forward to the <i>SFI</i> Board of Director for final resolution either by consensus or according to voting procedures outlined in the <i>SFI</i> Board Director bylaws (<a href="http://www.sfiprogram.org/about-us/sfi-governance/">http://www.sfiprogram.org/about-us/sfi-governance/</a>). All recommendations developed by the task groups will be reviewed by the Board and may be accepted as is, modified, or returned to the task groups with instructions for additional consideration and discussion.</p> <p>The draft of proposed changes to the <i>SFI Standards</i> shall be released and published to the <i>SFI</i> website during the first quarter of the second review year, followed by an additional 60 day public comment period to allow all stakeholders an opportunity to provide additional comments regarding proposed changes.</p> <p>This draft will also be presented and discussed with <i>SFI Program Participants</i> and all other stakeholders at regional workshops conducted by the Forum and <i>SFI Inc.</i> throughout the U.S. and Canada. All stakeholders who have commented on proposed changes or who have proposed changes to the <i>SFI Standards</i> shall use this opportunity to raise any concerns regarding their comments and the manner in which the <i>SFI Standards</i> Review task group addressed their comments or suggested changes.</p> <p>Formal complaints regarding the disposition of comments shall be submitted in writing to the External Review Panel Secretariat (<a href="http://sfierp.org/erpfqa">http://sfierp.org/erpfqa</a>) for review.<sup>10</sup> The ERP shall acknowledge receipt of all complaints, impartially and objectively review all complaints and provide feedback to the Forum regarding complaints where additional review and potential action by the Forum is warranted. Once resolved, the decision on the complaint and the complaint process shall be communicated to the complainant. A final draft of the proposed changes to the <i>SFI Standards</i> shall be delivered to the <i>SFI Inc.</i> Board of Directors during the third quarter of the final review year. The <i>SFI Inc.</i> Board will meet in the third quarter of the final review year at the <i>SFI</i> annual conference to discuss the <i>SFI Standards</i> draft and begin the 45-day advance notice to review proposed changes to the standards before Board approval can occur. The proposed changes to the <i>SFI Standards</i> draft will be presented at the <i>SFI</i> annual conference in September.</p>

<sup>9</sup> The public announcement will include where to find the publicly available standards-setting procedures, the objectives, scope and steps of the standards setting process including key dates, information on how stakeholders can participate in the process, information on how to submit comments on the standards and how to be involved in standards revision workshops and working groups.

<sup>10</sup> The ERP process for reviewing complaints will be posted on the ERP website.



Application for Assessment of the SFI 2015-2019 Standards and Rules for PEFC Endorsement

PART I: SFI’s checklist for standard setting (PEFC ST 1001:2010)

Question	Assess. basis*	Reference to application documents
		<p>Upon completion of the <i>SFI</i> Board 45-day advance review period the <i>SFI Standards</i> shall be finalized by the Forum and approved by the <i>SFI</i> Board and published to the <i>SFI program</i> website. Printed copies will be available during the first quarter of the following year. All <i>Program Participants</i> have one year to fully implement new and revised <i>SFI Standards</i> elements adopted by the Forum. The Forum shall maintain records regarding all comments and their disposition for review by the independent External Review Panel. All comments will be considered carefully and records of their disposition maintained for a minimum of five years and posted to the <i>SFI</i> website. As in any review process, it is not necessary to agree to every suggestion, but it is important that all comments be given consideration.</p> <p>These written procedures shall be publicly available to all interested parties. Additional information on the <i>SFI Standards</i> Development process, regional workshop reports and stakeholder comments submitted during both public comment periods and how they were addressed shall be publicly available and also maintained for a minimum of five years.</p> <p>SFI Standard Development and Interpretations Process (Section 8) – Figure 1 gives a graphic illustration of the SFI 2015-2019 Standard Revision Process. <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/</a></p>
e) the mechanism for reaching consensus, and	Procedures	<p><b>Appendix 1 of the PEFC Endorsement Application - SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI Standard Development and Interpretations Process - Section 8</b> <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/</a></p> <p>1.2 Procedures The <i>Sustainable Forestry Initiative Standards</i> setting process shall be on a five year cycle, which is consistent with international protocols for forest certification standard revision cycles. The <i>SFI</i> Standards development process is open, transparent and consensus<sup>11</sup> based and <i>SFI Inc.</i> Board decisions regarding final changes to the <i>SFI Standards</i> shall be consistent with PEFC ST 1001:2010 for consensus<sup>12</sup> based decision making.</p> <p><b>Also, see Appendix 7 of the PEFC Endorsement Application - SFI 2015-2019 SFI Standards Revision Task Group Expectations</b></p>
		<b>Appendix 1 of the PEFC Endorsement Application - SFI 2015-2019 Standards and Rules</b>

<sup>11</sup> Consensus as defined by PEFC and ISO: General agreement, characterized by the absence of sustained opposition to substantial issues by any important part of the concerned interests and by a process that involves seeking to take into account the views of all parties concerned and to reconcile any conflicting arguments. NOTE - **Consensus** need not imply unanimity. Item 1.7 in *ISO/IEC Guide 2:1991* and item 3.1 in *PEFC Standard Setting Requirements PEFC ST 1001:2010 dated 2010-11-26. PEFC ST 1001:2010* and *ISO Guide 59:1994, Code of Good Practice for Standardisation* are normative references.

<sup>12</sup> The SFI Inc. Board of Directors has a balance of stakeholders including representatives of environmental, *conservation*, social professional and academic groups, independent professional loggers, small family forest owners, public officials, labor and the forest products industry. The SFI Inc. Board of Directors voting structure in the SFI Inc. bylaws defines the consensus based approach used for final approval of revisions to the SFI Standard: a minimum of eighty percent of those present, which must include at least two representatives of each Sector [environmental, social, economic] is required to approve any action of the Board.



# Application for Assessment of the SFI 2015-2019 Standards and Rules for PEFC Endorsement

PART I: SFI's checklist for standard setting (PEFC ST 1001:2010)

Question	Assess. basis*	Reference to application documents
f) revision of standards/normative documents.	Procedures	<p><b>SFI Standard Development and Interpretations Process - Section 8</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/</a></p> <p>1.2 Procedures  The <i>Sustainable Forestry Initiative Standards</i> setting process shall be on a five year cycle, which is consistent with international protocols for forest certification standard revision cycles.</p>
4.2 The standardising body shall make its standard-setting procedures publicly available and shall regularly review its standard-setting procedures including consideration of comments from stakeholders.	Procedures	<p><b>Appendix 1 of the PEFC Endorsement Application - SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI Standard Development and Interpretations - Process Section 8</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/</a></p> <p>1.2 Procedures  .... The draft of proposed changes to the <i>SFI Standards</i> shall be released and published to the <i>SFI</i> website during the first quarter of the second review year, followed by an additional 60 day public comment period to allow all stakeholders an opportunity to provide additional comments regarding proposed changes.</p> <p>This draft will also be presented and discussed with <i>SFI Program Participants</i> and all other stakeholders at regional workshops conducted by the Forum and <i>SFI Inc.</i> throughout the U.S. and Canada. All stakeholders who have commented on proposed changes or who have proposed changes to the <i>SFI Standards</i> shall use this opportunity to raise any concerns regarding their comments and the manner in which the <i>SFI Standards</i> Review task group addressed their comments or suggested changes.</p> <p>Formal complaints regarding the disposition of comments shall be submitted in writing to the External Review Panel Secretariat (<a href="http://sfierp.org/erpfq">http://sfierp.org/erpfq</a>) for review.<sup>13</sup> The ERP shall acknowledge receipt of all complaints, impartially and objectively review all complaints and provide feedback to the Forum regarding complaints where additional review and potential action by the Forum is warranted. Once resolved, the decision on the complaint and the complaint process shall be communicated to the complainant.</p> <p>A final draft of the proposed changes to the <i>SFI Standards</i> shall be delivered to the <i>SFI Inc.</i> Board of Directors during the third quarter of the final review year. The <i>SFI Inc.</i> Board will meet in the third quarter of the final review year at the <i>SFI</i> annual conference to discuss the <i>SFI Standards</i> draft and begin the 45-day advance notice to review proposed changes to the standards before Board approval can occur. The proposed changes to the <i>SFI Standards</i> draft will be presented at the <i>SFI</i> annual conference in September.</p>
	Process	<p><b>SFI 2015-2019 Standard Review Process (Appendix 3 of the PEFC Endorsement Application - SFI 2015-2019 Standard Revision Process)</b></p>

<sup>13</sup> The ERP process for reviewing complaints will be posted on the ERP website.

# Application for Assessment of the SFI 2015-2019 Standards and Rules for PEFC Endorsement

PART I: SFI's checklist for standard setting (PEFC ST 1001:2010)

Question	Assess. basis*	Reference to application documents
		<a href="http://www.sfiprogram.org/sfi-standard-2010-2014/introduction-to-the-standard/standard-review-process/">http://www.sfiprogram.org/sfi-standard-2010-2014/introduction-to-the-standard/standard-review-process/</a>  For SFI responses to comments received during 1 <sup>st</sup> 60 day comment period (June 5 – August 6, 2013) <a href="http://www.sfiprogram.org/files/pdf/2010-2014-sfi-standard-review-survey-comments-received/">http://www.sfiprogram.org/files/pdf/2010-2014-sfi-standard-review-survey-comments-received/</a>  For SFI responses to comments received during 2nd 60 day comment period (Jan 6 – Mar 7 2014), 2014) <a href="http://www.sfiprogram.org/files/pdf/final-comment-period-comments-sfi-2015-2019-standard-language/">http://www.sfiprogram.org/files/pdf/final-comment-period-comments-sfi-2015-2019-standard-language/</a>
4.3 The standardising body shall keep records relating to the standard-setting process providing evidence of compliance with the requirements of this document and the standardising body's own procedures. The records shall be kept for a minimum of five years and shall be available to interested parties upon request.	Procedures	<b>Appendix 1 of the PEFC Endorsement Application - SFI 2015-2019 Standards and Rules</b>  <b>SFI Standard Development and Interpretations Process - Section 8</b> <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/</a>  1.2 Procedures: The Forum shall maintain records regarding all comments and their disposition for review by the independent External Review Panel. All comments will be considered carefully and records of their disposition maintained for a minimum of five years and posted to the <i>SFI</i> website. As in any review process, it is not necessary to agree to every suggestion, but it is important that all comments be given consideration.  These written procedures shall be publicly available to all interested parties. Additional information on the <i>SFI Standards</i> Development process, regional workshop reports and stakeholder comments submitted during both public comment periods and how they were addressed shall be publicly available and also maintained for a minimum of five years.
	Process	<b>Appendix 3 of the PEFC Endorsement Application - SFI 2015-2019 Standard Revision Process</b> <a href="http://www.sfiprogram.org/sfi-standard-2010-2014/introduction-to-the-standard/standard-review-process/">http://www.sfiprogram.org/sfi-standard-2010-2014/introduction-to-the-standard/standard-review-process/</a>  For SFI responses to comments received during 1 <sup>st</sup> 60 day comment period (June 5 – August 6, 2013) <a href="http://www.sfiprogram.org/files/pdf/2010-2014-sfi-standard-review-survey-comments-received/">http://www.sfiprogram.org/files/pdf/2010-2014-sfi-standard-review-survey-comments-received/</a>  Responses to comments received during 2nd 60 day comment period (Jan 6 – Mar 7, 2014) <a href="http://www.sfiprogram.org/files/pdf/final-comment-period-comments-sfi-2015-2019-standard-language/">http://www.sfiprogram.org/files/pdf/final-comment-period-comments-sfi-2015-2019-standard-language/</a>
4.4 The standardising body shall establish a permanent or temporary working group/committee responsible for standard-setting activities. The working group/committee shall:	Procedures	<b>Appendix 1 of the PEFC Endorsement Application - SFI 2015-2019 Standards and Rules</b>  <b>SFI Standard Development and Interpretations Process - Section 8</b> <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/</a>

# Application for Assessment of the SFI 2015-2019 Standards and Rules for PEFC Endorsement

PART I: SFI's checklist for standard setting (PEFC ST 1001:2010)

Question	Assess. basis*	Reference to application documents
		<p>1.2 Procedures:</p> <p>The Standards Revision process is intended to be collaborative. While consensus on proposed <i>SFI Standards</i> revisions is desirable there may be issues for which consensus cannot be achieved. In these scenarios the Review Task Groups established by the Resources Committee may forward multiple recommended options to a Steering Committee, also established by the Resources Committee, who will review and prepare recommendations for the Resources Committee's review. Task Group Chairs shall be fair to all viewpoints; however, they are charged with moving the process forward in a timely manner. If consensus is not achieved by the Resources Committee, the issue (s) will be moved forward to the <i>SFI</i> Board of Director for final resolution either by consensus or according to voting procedures outlined in the <i>SFI</i> Board Director bylaws (<a href="http://www.sfiprogram.org/about-us/sfi-governance/">http://www.sfiprogram.org/about-us/sfi-governance/</a>). All recommendations developed by the task groups will be reviewed by the Board and may be accepted as is, modified, or returned to the task groups with instructions for additional consideration and discussion.</p>
	Process	<p><b>Appendix 4 of the PEFC Endorsement Application - Standard Revision Task Group Rosters May 7, 2014</b></p> <p>The Standard Revision Task Groups are listed in the document above.</p> <p>Procedures 1.2 As part of the Standard Revision process, comments were received during two 60-day public comment periods in 2013 and 2014, and input was received from 12 public workshops across the United States and Canada. About 10,000 stakeholders were invited to submit comments. Participants included public and private landowners, forest sector representatives, indigenous communities, conservation groups, industry, academia and government officials. Task Groups worked through the fall of 2013 collating and reviewing comments (based on SFI 2010-2014) from the first comment period and then again in the spring of 2014 collating and reviewing the comments on the first draft of the SFI 2015-2019 Standards.</p> <p>Independent oversight was provided at each stage of the revision process by the <a href="#">SFI External Review Panel</a>, a distinguished group of independent experts representing conservation, professional, academic and public organizations, operating at arm's length from SFI. The SFI External Review Panel reviewed every public comment submitted to ensure that all comments were considered, and to guarantee the Standard revision process was transparent, objective and credible. The responses to comments are posted on the <a href="#">SFI website</a>.</p>
a) be accessible to materially and directly affected stakeholders,	Procedures	<p><b>Appendix 1 of the PEFC Endorsement Application - SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI Standard Development and Interpretations Process - Section 8</b> <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/</a></p> <p>Procedures 1.2 The SFI Standards setting process shall begin with a public notice to all stakeholders prior to the start of the process. The start of</p>

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PART I: SFI's checklist for standard setting (PEFC ST 1001:2010)

Question	Assess. basis*	Reference to application documents
		the process will be communicated on the SFI website, in newsletters and emails to all stakeholders inviting comments. SFI shall identify stakeholders relevant to the objectives and scope of the standard-setting work. A stakeholder mapping exercise will be used to identify which interest sectors-both public and private-are relevant (environmental, economic, social) including stakeholders who may not be able to participate by conventional means and what means of communications will best reach each stakeholder group. This mapping exercise will be done at the beginning of each standard review process and will define who the stakeholders are and what is necessary to ensure all can participate in the process if they so choose. <sup>14</sup>
	Process	<b>Appendix 3 of the PEFC Endorsement Application - SFI 2015-2019 Standard Revision Process</b> <a href="http://www.sfiprogram.org/sfi-standard-2010-2014/introduction-to-the-standard/standard-review-process/">http://www.sfiprogram.org/sfi-standard-2010-2014/introduction-to-the-standard/standard-review-process/</a>  For SFI responses to comments received during 1 <sup>st</sup> 60 day comment period (June 5 – August 6, 2013) <a href="http://www.sfiprogram.org/files/pdf/2010-2014-sfi-standard-review-survey-comments-received/">http://www.sfiprogram.org/files/pdf/2010-2014-sfi-standard-review-survey-comments-received/</a>  For SFI responses to comments received during 2nd 60 day comment period (Jan 6 – Mar 7 2014), 2014) <a href="http://www.sfiprogram.org/files/pdf/final-comment-period-comments-sfi-2015-2019-standard-language/">http://www.sfiprogram.org/files/pdf/final-comment-period-comments-sfi-2015-2019-standard-language/</a>
b) have balanced representation and decision-making by stakeholder categories relevant to the subject matter and geographical scope of the standard where single concerned interests shall not dominate nor be dominated in the process, and	Procedures	<b>Appendix 1 of the PEFC Endorsement Application - SFI 2015-2019 Standards and Rules</b>  <b>SFI Standard Development and Interpretations Process - Section 8</b> <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/</a>  <b>Appendix 4 of the PEFC Endorsement Application</b> lists the Standards Revision Task Groups.
	Process	<b>Appendix 1 of the PEFC Endorsement Application - SFI 2015-2019 Standards and Rules</b>  <b>SFI Standard Development and Interpretations Process - Section 8</b> <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/</a>  1.1 Actors and Responsibilities The SFI Board of Directors is responsible for standard development and revision and will convene the Forum. The SFI Board of Directors, Resources Committee and the External Review Panel (independent oversight role) constitute the Forum and ensure that the revision process includes economic, environmental and social representation equally. Any individual can suggest candidates to the nominations committee. The nominations committee considers suggestions and invites individuals to be considered by the Board. The Forum follows the procedures outlined in this document for SFI Standard Revision <sup>15</sup> .

<sup>14</sup> Stakeholders will be identified by doing a stakeholder mapping exercise that includes defining which interest sectors are relevant and why, and for each sector what are likely to be the key issues, who are the key stakeholders including those who may not be able to participate by conventional means, and what means of communication will best reach them.

<sup>15</sup> Section 8 - *SFI* Standards Development and Interpretations Process is publicly available and can be found on the SFI website.

# Application for Assessment of the SFI 2015-2019 Standards and Rules for PEFC Endorsement

PART I: SFI's checklist for standard setting (PEFC ST 1001:2010)

Question	Assess. basis*	Reference to application documents
		<p>1.1.1 SFI Board SFI Board members include representatives of environmental, conservation, social professional and academic groups, independent professional loggers, small family forest owners, public officials, labor and the forest products industry. The 18 member SFI Board of Directors has representatives from the main geographic regions of the U.S. and Canada and includes:</p> <ul style="list-style-type: none"> <li>• Six directors from non-profit environmental /conservation organizations representing the environmental sector;</li> <li>• Six directors from community or social interest groups such as universities, labor, independent professional loggers, family forest owners or government agencies representing the social sector; and</li> <li>• Six directors from the forest, paper and wood products industry or other for-profit forest ownership or management entities representing the economic sector.</li> </ul> <p>SFI Board members are invited by the Board Nominations Committee to participate as directors and must be approved by the full Board. The Board is a voluntary Board.</p> <p>1.1.2 SFI Resources Committee Each SFI Inc. Board member appoints one person from their organization (or other organization they may choose) to serve on the SFI Inc. Resources Committee (RC) or the Board member may choose to represent themselves on the Resources Committee. As such, the Resources Committee has the same equal representation of social, environmental and economic interests and geographical scope as the SFI Inc. Board.</p> <p>1.1.3 SFI External Review Panel The SFI External Review Panel is an independent panel of experts that provides diverse perspectives and expertise to the Sustainable Forestry Initiative® (SFI®) program while contributing to quality assurance and continuous improvement. As part of the Forum, Panel members provide external independent oversight to ensure the standard revision process is objective and credible and that all comments are treated equally and fairly. The volunteer External Review Panel is made up of 15-18 external experts and has representatives from the main geographic regions of the U.S. and Canada where the SFI Standards are applied. Its membership maintains a balance of technical skills and organizational experience, with four to six members from each of the following categories – environmental/conservation groups, professional/academic groups, and public agencies (local, state, provincial, tribal or federal governments). Panel members come from universities, government agencies, foundations, professional associations, and landowner/conservation organizations. The SFI External Review Panel selects its own members based on their individual expertise and experience, following an election process set out in its charter. It develops its own agenda to represent the public interest as an outside observer of the SFI program. All stakeholders can suggest candidates to the SFI External Review Panel for consideration.</p> <p>See the SFI Board and Resource Committee and Forest Management Task Group Rosters at <b>Appendix 6.</b></p>

# Application for Assessment of the SFI 2015-2019 Standards and Rules for PEFC Endorsement

PART I: SFI's checklist for standard setting (PEFC ST 1001:2010)

Question	Assess. basis*	Reference to application documents
c) include stakeholders with expertise relevant to the subject matter of the standard, those that are materially affected by the standard, and those that can influence the implementation of the standard. The materially affected stakeholders shall represent a meaningful segment of the participants.	Procedures	<p><b>Appendix 1 of the PEFC Endorsement Application - SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI Standard Development and Interpretations Process - Section 8</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/</a></p> <p>Procedures 1.2  Broad public and stakeholder involvement is important to the <i>SFI program</i>. The <i>SFI Standards</i> review process shall be conducted on a national level in Canada and in the United States. Stakeholders, including disadvantaged and key stakeholders and those from the environmental community, forest products industry, private forest landowners, customers, local and federal government agencies, trade associations, landowner associations, academia and all other stakeholders shall be invited to participate in the review process. The start of the standards review process and all subsequent public review periods shall be communicated publicly to all interested stakeholders with an invitation to provide comments on the standards and standard setting process.<sup>16</sup></p> <p>The Standards Revision process is intended to be collaborative. While consensus on proposed <i>SFI Standards</i> revisions is desirable there may be issues for which consensus cannot be achieved. In these scenarios the Review Task Groups established by the Resources Committee may forward multiple recommended options to a Steering Committee, also established by the Resources Committee, who will review and prepare recommendations for the Resources Committee's review. Task Group Chairs shall be fair to all viewpoints; however, they are charged with moving the process forward in a timely manner. If consensus is not achieved by the Resources Committee, the issue (s) will be moved forward to the <i>SFI</i> Board of Director for final resolution either by consensus or according to voting procedures outlined in the <i>SFI</i> Board Director bylaws (<a href="http://www.sfiprogram.org/about-us/sfi-governance/">http://www.sfiprogram.org/about-us/sfi-governance/</a>). All recommendations developed by the task groups will be reviewed by the Board and may be accepted as is, modified, or returned to the task groups with instructions for additional consideration and discussion.</p>
	Process	<p><b>Appendix 3 of the PEFC Endorsement Application</b> outlines the process for the SFI Standard Revision.  <b>Appendix 4 of the PEFC Endorsement Application</b> lists the Standard Revision Working Groups</p>
4.5 The standardising body shall establish procedures for dealing with any substantive and procedural complaints relating to the standardising activities which are accessible to stakeholders. Upon receipt of the complaint, the standard-setting body shall:	Procedures	<p><b>Appendix 1 of the PEFC Endorsement Application - SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI Standard Development and Interpretations Process - Section 8</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/</a></p> <p>1.1.3 <i>SFI</i> External Review Panel  The SFI External Review Panel is an independent panel of experts that provides diverse perspectives and expertise to the Sustainable Forestry Initiative® (SFI®) program while contributing to quality assurance and continuous improvement. As part of the Forum, Panel</p>

<sup>16</sup> The public announcement will include where to find the publicly available standards-setting procedures, the objectives, scope and steps of the standards setting process including key dates, information on how stakeholders can participate in the process, information on how to submit comments on the standards and how to be involved in standards revision workshops and working groups.

**Application for Assessment of the SFI 2015-2019 Standards and Rules for PEFC Endorsement**  
PART I: SFI's checklist for standard setting (PEFC ST 1001:2010)

Question	Assess. basis*	Reference to application documents
		<p>members provide external independent oversight to ensure the standard revision process is objective and credible and that all comments are treated equally and fairly. The volunteer External Review Panel is made up of 15-18 external experts and has representatives from the main geographic regions of the U.S. and Canada where the <i>SFI Standards</i> are applied. Its membership maintains a balance of technical skills and organizational experience, with four to six members from each of the following categories – environmental/<i>conservation</i> groups, professional/academic groups, and public agencies (local, state, provincial, tribal or federal governments). Panel members come from universities, government agencies, foundations, professional associations, and landowner/<i>conservation</i> organizations. The <i>SFI</i> External Review Panel selects its own members based on their individual expertise and experience, following an election process set out in its charter. It develops its own agenda to represent the public interest as an outside observer of the <i>SFI program</i>. All stakeholders can suggest candidates to the <i>SFI</i> External Review Panel for consideration.</p> <p>1.2 Procedures</p> <p>The <i>Sustainable Forestry Initiative Standards</i> setting process shall be on a five year cycle, which is consistent with international protocols for forest certification standard revision cycles. The <i>SFI</i> Standards development process is open, transparent and consensus<sup>17</sup> based and <i>SFI Inc.</i> Board decisions regarding final changes to the <i>SFI Standards</i> shall be consistent with PEFC ST 1001:2010 for consensus<sup>18</sup> based decision making. The revision process shall begin in the first quarter of the year prior to the year the existing standard expires. The <i>SFI Standards</i> setting process shall begin with a public notice to all stakeholders prior to the start of the process. The start of the process will be communicated on the <i>SFI</i> website, in newsletters and emails to all stakeholders inviting comments. <i>SFI</i> shall identify stakeholders relevant to the objectives and scope of the standard-setting work. A stakeholder mapping exercise will be used to identify which interest sectors-both public and private-are relevant (environmental, economic, social) including stakeholders who may not be able to participate by conventional means and what means of communications will best reach each stakeholder group. This mapping exercise will be done at the beginning of each standard review process and will define who the stakeholders are and what is necessary to ensure all can participate in the process if they so choose.<sup>19</sup> The process shall include an initial 60 day public comment period, a second 60 day public comment period (the enquiry draft) and a final draft review period of at least 45 days (See Figure 1).</p> <p>The External Review Panel shall independently monitor the entire process including a review of all comments received on draft standards and their disposition.</p>

<sup>17</sup> Consensus as defined by PEFC and ISO: General agreement, characterized by the absence of sustained opposition to substantial issues by any important part of the concerned interests and by a process that involves seeking to take into account the views of all parties concerned and to reconcile any conflicting arguments. NOTE - **Consensus** need not imply unanimity. Item 1.7 in *ISO/IEC Guide 2:1991* and item 3.1 in *PEFC Standard Setting Requirements PEFC ST 1001:2010 dated 2010-11-26*. *PEFC ST 1001:2010* and *ISO Guide 59:1994, Code of Good Practice for Standardisation* are normative references.

<sup>18</sup> The SFI Inc. Board of Directors has a balance of stakeholders including representatives of environmental, *conservation*, social professional and academic groups, independent professional loggers, small family forest owners, public officials, labor and the forest products industry. The SFI Inc. Board of Directors voting structure in the SFI Inc. bylaws defines the consensus based approach used for final approval of revisions to the SFI Standard: a minimum of eighty percent of those present, which must include at least two representatives of each Sector [environmental, social, economic] is required to approve any action of the Board.

<sup>19</sup> Stakeholders will be identified by doing a stakeholder mapping exercise that includes defining which interest sectors are relevant and why, and for each sector what are likely to be the key issues, who are the key stakeholders including those who may not be able to participate by conventional means, and what means of communication will best reach them.



# Application for Assessment of the SFI 2015-2019 Standards and Rules for PEFC Endorsement

## PART I: SFI's checklist for standard setting (PEFC ST 1001:2010)

Question	Assess. basis*	Reference to application documents
	Process	No complaints were received. However, in the event that comments were received the process followed is outlined in 1.1.3 and 1.2 in SFI Standard Development and Interpretations Process - Section 8.
a) acknowledge receipt of the complaint to the complainant,	Procedures	<p><b>Appendix 1 of the PEFC Endorsement Application - SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI Standard Development and Interpretations Process - Section 8</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/</a></p> <p>1.1.3 SFI External Review Panel  The SFI External Review Panel is an independent panel of experts that provides diverse perspectives and expertise to the Sustainable Forestry Initiative® (SFI®) program while contributing to quality assurance and continuous improvement. As part of the Forum, Panel members provide external independent oversight to ensure the standard revision process is objective and credible and that all comments are treated equally and fairly. The volunteer External Review Panel is made up of 15-18 external experts and has representatives from the main geographic regions of the U.S. and Canada where the SFI Standards are applied. Its membership maintains a balance of technical skills and organizational experience, with four to six members from each of the following categories – environmental/conservation groups, professional/academic groups, and public agencies (local, state, provincial, tribal or federal governments). Panel members come from universities, government agencies, foundations, professional associations, and landowner/conservation organizations. The SFI External Review Panel selects its own members based on their individual expertise and experience, following an election process set out in its charter. It develops its own agenda to represent the public interest as an outside observer of the SFI program. All stakeholders can suggest candidates to the SFI External Review Panel for consideration.</p> <p>1.2 Procedures  The External Review Panel shall independently monitor the entire process including a review of all comments received on draft standards and their disposition.</p> <p>Formal complaints regarding the disposition of comments shall be submitted in writing to the External Review Panel Secretariat ( <a href="http://sfierp.org/resources">http://sfierp.org/resources</a> ) for review.<sup>20</sup> The ERP shall acknowledge receipt of all complaints, impartially and objectively review all complaints and provide feedback to the Forum regarding complaints where additional review and potential action by the Forum is warranted.</p>
	Process	<p><b>Appendix 1 of the PEFC Endorsement Application - SFI 2015-2019 Standards and Rules</b></p> <p>No complaints were received. However, in the event that comments were received the process followed is outlined in 1.1.3 and 1.2 in SFI Standard Development and Interpretations Process - Section 8.</p>
		<b>Appendix 1 of the PEFC Endorsement Application - SFI 2015-2019 Standards and Rules</b>

<sup>20</sup> The ERP process for reviewing complaints will be posted on the ERP website.

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PART I: SFI's checklist for standard setting (PEFC ST 1001:2010)

Question	Assess. basis*	Reference to application documents
b) gather and verify all necessary information to validate the complaint, impartially and objectively evaluate the subject matter of the complaint, and make a decision upon the complaint, and	Procedures	<p>SFI Standard Development and Interpretations Process - Section 8  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/</a></p> <p>1.2 Procedures  The External Review Panel shall independently monitor the entire process including a review of all comments received on draft standards and their disposition.</p> <p>Formal complaints regarding the disposition of comments shall be submitted in writing to the External Review Panel Secretariat (<a href="http://sfierp.org/resources">http://sfierp.org/resources</a>) for review.<sup>21</sup> The ERP shall acknowledge receipt of all complaints, impartially and objectively review all complaints and provide feedback to the Forum regarding complaints where additional review and potential action by the Forum is warranted. Once resolved, the decision on the complaint and the complaint process shall be communicated to the complainant.</p> <p>Additionally, SFI accepts formal complaints on non-standard development related items as per the procedures in SFI Section 11:  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-11-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-11-pdf/</a></p>
	Process	<p>No complaints were received. However, in the event that comments were received the process followed is outlined in 1.1.3 and 1.2 in SFI Standard Development and Interpretations Process - Section 8.</p>
c) formally communicate the decision on the complaint and of the complaint handling process to the complainant.	Procedures	<p><b>Appendix 1 of the PEFC Endorsement Application - SFI 2015-2019 Standards and Rules</b></p> <p>SFI Standard Development and Interpretations Process - Section 8  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/</a></p> <p>1.2 Procedures  The External Review Panel shall independently monitor the entire process including a review of all comments received on draft standards and their disposition.</p> <p>Formal complaints regarding the disposition of comments shall be submitted in writing to the External Review Panel Secretariat (<a href="http://sfierp.org/resources">http://sfierp.org/resources</a>) for review.<sup>22</sup> The ERP shall acknowledge receipt of all complaints, impartially and objectively review all complaints and provide feedback to the Forum regarding complaints where additional review and potential action by the Forum is warranted. Once resolved, the decision on the complaint and the complaint process shall be communicated to the complainant.</p> <p>Additionally, SFI accepts formal complaints on non-standard development related items as per the procedures in SFI Section – 11  Public Inquiries and Official Complaint  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-11-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-11-pdf/</a></p>
		<p>No complaints were received. However, in the event that comments were received the process followed is outlined in 1.1.3 and 1.2</p>

<sup>21</sup> The ERP process for reviewing complaints will be posted on the ERP website.

<sup>22</sup> The ERP process for reviewing complaints will be posted on the ERP website.

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PART I: SFI's checklist for standard setting (PEFC ST 1001:2010)

Question	Assess. basis*	Reference to application documents
	Process	in SFI Standard Development and Interpretations Process - Section 8.
4.6 The standardising body shall establish at least one contact point for enquiries and complaints relating to its standard-setting activities. The contact point shall be made easily available.	Procedures	<p><b>Appendix 1 of the PEFC Endorsement Application - SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI Standard Development and Interpretations Process - Section 8</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/</a></p> <p>Formal complaints regarding the disposition of comments shall be submitted in writing to the External Review Panel Secretariat (<a href="http://sfierp.org/resources">http://sfierp.org/resources</a> ) for review. The ERP shall acknowledge receipt of all complaints, impartially and objectively review all complaints and provide feedback to the Forum regarding complaints where additional review and potential action by the Forum is warranted. Once resolved, the decision on the complaint and the complaint process shall be communicated to the complainant.</p> <p>ERP members can be viewed at: <a href="http://sfierp.org/panelmembers/">http://sfierp.org/panelmembers/</a></p> <p>ERP Secretariat and primary contact is Mr. Neil Sampson.</p>
5.1 The standardising body shall identify stakeholders relevant to the objectives and scope of the standard-setting work.	Procedures	<p><b>Appendix 1 of the PEFC Endorsement Application - SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI Standard Development and Interpretations Process - Section 8</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/</a></p> <p>The start of the process will be communicated on the <i>SFI</i> website, in newsletters and emails to all stakeholders inviting comments. <i>SFI</i> shall identify stakeholders relevant to the objectives and scope of the standard-setting work. A stakeholder mapping exercise will be used to identify which interest sectors-both public and private-are relevant (environmental, economic, social) including stakeholders who may not be able to participate by conventional means and what means of communications will best reach each stakeholder group. This mapping exercise will be done at the beginning of each standard review process and will define who the stakeholders are and what is necessary to ensure all can participate in the process if they so choose.<sup>23</sup></p> <p>Broad public and stakeholder involvement is important to the <i>SFI program</i>. The <i>SFI Standards</i> review process shall be conducted on a national level in Canada and in the United States. Stakeholders, including disadvantaged and key stakeholders and those from the environmental community, forest products industry, private forest landowners, customers, local and federal government agencies, trade associations, landowner associations, academia and all other stakeholders shall be invited to participate in the review process. The start of the standards review process and all subsequent public review periods shall be communicated publicly to all interested stakeholders with an invitation to provide comments on the standards and standard setting process.<sup>24</sup></p>

<sup>23</sup> Stakeholders will be identified by doing a stakeholder mapping exercise that includes defining which interest sectors are relevant and why, and for each sector what are likely to be the key issues, who are the key stakeholders including those who may not be able to participate by conventional means, and what means of communication will best reach them.

<sup>24</sup> The public announcement will include where to find the publicly available standards-setting procedures, the objectives, scope and steps of the standards setting process including key dates, information on how stakeholders can participate in the process, information on how to submit comments on the standards and how to be involved in standards revision workshops and working groups.

# Application for Assessment of the SFI 2015-2019 Standards and Rules for PEFC Endorsement

PART I: SFI's checklist for standard setting (PEFC ST 1001:2010)

Question	Assess. basis*	Reference to application documents
		<p><b>Appendix 5 of the PEFC Endorsement Application</b> details the SFI 2015-2019 Standard Development – Stakeholder Mapping Exercise process</p> <p>A stakeholder mapping exercise will be used to identify which interest sectors-both public and private-are relevant (environmental, economic, social) including stakeholders who may not be able to participate by conventional means and what means of communications will best reach each stakeholder group. This mapping exercise will be done at the beginning of each standard review process and will define who the stakeholders are and what is necessary to ensure all can participate in the process if they so choose ( Stakeholders will be identified by doing a stakeholder mapping exercise that includes defining which interest sectors are relevant and why, and for each sector what are likely to be the key issues, who are the key stakeholders including those who may not be able to participate by conventional means, and what means of communication will best reach them.)</p> <p>SFI collects and maintains a database of contacts interested and involved in all aspects of the SFI program. This includes all certificate holders implementing sections of the SFI standard, SFI board, committees and grassroots organizations carrying out program strategy and direction as well as contacts that come in contact with SFI in the marketplace such as architects, conservation groups, associations and customers only to name a few. Made up of nearly 10,000 people, the map of these stakeholder groups is listed on the last three pages of this document.</p>
	Process	<p>SFI Inc. staff conducted stakeholder mapping exercise as per the processes contained in the Appendices below. Using the extensive SFI Inc. contacts database invitation to comment were sent to nearly 10,000 individuals and organizations.</p> <p><b>Appendices 4 – 7</b> of the SFI PEFC Endorsement Application details the process used.</p>
5.2 The standardising body shall identify disadvantaged and key stakeholders. The standardising body shall address the constraints of their participation and proactively seek their participation and contribution in the standard-setting activities.	Procedures	<p><b>Appendix 1 of the PEFC Endorsement Application - SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI Standard Development and Interpretations Process - Section 8</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/</a></p> <p>1.2 Procedures  The start of the process will be communicated on the <i>SFI</i> website, in newsletters and emails to all stakeholders inviting comments. <i>SFI</i> shall identify stakeholders relevant to the objectives and scope of the standard-setting work. A stakeholder mapping exercise will be used to identify which interest sectors-both public and private-are relevant (environmental, economic, social) including stakeholders who may not be able to participate by conventional means and what means of communications will best reach each</p>

**Application for Assessment of the SFI 2015-2019 Standards and Rules for PEFC Endorsement**  
PART I: SFI's checklist for standard setting (PEFC ST 1001:2010)

Question	Assess. basis*	Reference to application documents
		<p>stakeholder group. This mapping exercise will be done at the beginning of each standard review process and will define who the stakeholders are and what is necessary to ensure all can participate in the process if they so choose.<sup>25</sup></p> <p>Broad public and stakeholder involvement is important to the <i>SFI program</i>. The <i>SFI Standards</i> review process shall be conducted on a national level in Canada and in the United States. Stakeholders, including disadvantaged and key stakeholders and those from the environmental community, forest products industry, private forest landowners, customers, local and federal government agencies, trade associations, landowner associations, academia and all other stakeholders shall be invited to participate in the review process. The start of the standards review process and all subsequent public review periods shall be communicated publicly to all interested stakeholders with an invitation to provide comments on the standards and standard setting process.<sup>26</sup></p> <p><b>Appendix 5 of the PEFC Endorsement Application - 2013 Stakeholder Mapping Exercise</b></p> <p>Stakeholder Mapping Exercise A stakeholder mapping exercise will be used to identify which interest sectors-both public and private-are relevant (environmental, economic, social) including stakeholders who may not be able to participate by conventional means and what means of communications will best reach each stakeholder group. This mapping exercise will be done at the beginning of each standard review process and will define who the stakeholders are and what is necessary to ensure all can participate in the process if they so choose ( Stakeholders will be identified by doing a stakeholder mapping exercise that includes defining which interest sectors are relevant and why, and for each sector what are likely to be the key issues, who are the key stakeholders including those who may not be able to participate by conventional means, and what means of communication will best reach them.)</p> <p>SFI collects and maintains a database of contacts interested and involved in all aspects of the SFI program. This includes all certificate holders implementing sections of the SFI standard, SFI board, committees and grassroots organizations carrying out program strategy and direction as well as contacts that come in contact with SFI in the marketplace such as architects, conservation groups, associations and customers only to name a few. Made up of nearly 10,000 people, the map of these stakeholder groups is listed on the last three pages of this document.</p>
	Process	<p>SFI Inc. staff conducted stakeholder mapping exercise as per the process contained in the Appendix below. Using the extensive SFI Inc. contacts database invitation to comment were sent to nearly 10,000 individuals and organizations.</p> <p><b>Appendix 5 of the PEFC Endorsement Application</b> details the Stakeholder mapping process.</p>
5.3 The standardising body shall make a public	Procedures	<p><b>Appendix 1 of the PEFC Endorsement Application - SFI 2015-2019 Standards and Rules</b></p>

<sup>25</sup> Stakeholders will be identified by doing a stakeholder mapping exercise that includes defining which interest sectors are relevant and why, and for each sector what are likely to be the key issues, who are the key stakeholders including those who may not be able to participate by conventional means, and what means of communication will best reach them.

<sup>26</sup> The public announcement will include where to find the publicly available standards-setting procedures, the objectives, scope and steps of the standards setting process including key dates, information on how stakeholders can participate in the process, information on how to submit comments on the standards and how to be involved in standards revision workshops and working groups.

# Application for Assessment of the SFI 2015-2019 Standards and Rules for PEFC Endorsement

PART I: SFI's checklist for standard setting (PEFC ST 1001:2010)

Question	Assess. basis*	Reference to application documents
announcement of the start of the standard-setting process and include an invitation for participation in a timely manner on its website and in suitable media as appropriate to afford stakeholders an opportunity for meaningful contributions.		<b>SFI Standard Development and Interpretations Process - Section 8</b> <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/</a> 1.2 Procedures The start of the process will be communicated on the <i>SFI</i> website, in newsletters and emails to all stakeholders inviting comments. <i>SFI</i> shall identify stakeholders relevant to the objectives and scope of the standard-setting work.
	Process	<b>Appendix 8 of the PEFC Endorsement Application - SFI Press Release on reaching out to 10,000 stakeholders for standard revision</b> June 2013 Launch Pres Release <a href="http://www.sfiprogram.org/media-resources/news/sfi-reaches-out-to-10000-stakeholders-to-revise-its-forestry-standard/">http://www.sfiprogram.org/media-resources/news/sfi-reaches-out-to-10000-stakeholders-to-revise-its-forestry-standard/</a> <b>Appendix 9 of the PEFC Endorsement Application - SFI Seeks Input for Standard Revision January 7, 2014</b> Jan 2014 Press Release <a href="http://www.sfiprogram.org/media-resources/news/sfi-reaches-out-to-thousands-to-improve-forestry-standard/">http://www.sfiprogram.org/media-resources/news/sfi-reaches-out-to-thousands-to-improve-forestry-standard/</a>
a) information about the objectives, scope and the steps of the standard-setting process and its timetable,	Procedures	<b>Appendix 1 of the PEFC Endorsement Application - SFI 2015-2019 Standards and Rules</b> <b>SFI Standard Development and Interpretations Process - Section 8</b> <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/</a> 1.2 Procedures The start of the process will be communicated on the <i>SFI</i> website, in newsletters and emails to all stakeholders inviting comments. <i>SFI</i> shall identify stakeholders relevant to the objectives and scope of the standard-setting work.
	Process	The objectives , scope and steps in the SFI 2015-2-19 Standards Revision were communicated to stakeholders are outlined in <b>Appendices 8, 10 and 11 of the PEFC Endorsement Application.</b>
b) information about opportunities for stakeholders to participate in the process,	Procedures	<b>Appendix 1 of the PEFC Endorsement Application - SFI 2015-2019 Standards and Rules</b> <b>SFI Standard Development and Interpretations Process - Section 8</b> <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/</a> 1.2 Procedures The start of the process will be communicated on the <i>SFI</i> website, in newsletters and emails to all stakeholders inviting comments. <i>SFI</i> shall identify stakeholders relevant to the objectives and scope of the standard-setting work.
	Process	Opportunities for stakeholders to participate in the SFI 2015-2019 Standards Revision were communicated to stakeholders as per <b>Appendices 8, 10 and 11 of the PEFC Endorsement Application</b>

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PART I: SFI's checklist for standard setting (PEFC ST 1001:2010)

Question	Assess. basis*	Reference to application documents
(c) an invitation to stakeholders to nominate their representative(s) to the working group/committee. The invitation to disadvantaged and key stakeholders shall be made in a manner that ensures that the information reaches intended recipients and in a format that is understandable,	Procedures	<b>Appendix 3 of the PEFC Endorsement Application - SFI 2015-2019 Standard Revision Process</b>
		<p>The SFI 2015-2019 Standard Review Process outlines how stakeholders were nominated to the working groups. <a href="http://www.sfiprogram.org/sfi-standard-2010-2014/introduction-to-the-standard/standard-review-process/">http://www.sfiprogram.org/sfi-standard-2010-2014/introduction-to-the-standard/standard-review-process/</a></p> <p><b>SFI Standard Development and Interpretations Process - Section 8</b> <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/</a></p> <p>1.2 Procedures: The <i>SFI</i> Standards development process is open, transparent and consensus<sup>27</sup> based and <i>SFI Inc.</i> Board decisions regarding final changes to the <i>SFI Standards</i> shall be consistent with PEFC ST 1001:2010 for consensus<sup>28</sup> based decision making. The revision process shall begin in the first quarter of the year prior to the year the existing standard expires. The <i>SFI Standards</i> setting process shall begin with a public notice to all stakeholders prior to the start of the process. The start of the process will be communicated on the <i>SFI</i> website, in newsletters and emails to all stakeholders inviting comments. <i>SFI</i> shall identify stakeholders relevant to the objectives and scope of the standard-setting work. A stakeholder mapping exercise will be used to identify which interest sectors- both public and private-are relevant (environmental, economic, social) including stakeholders who may not be able to participate by conventional means and what means of communications will best reach each stakeholder group. This mapping exercise will be done at the beginning of each standard review process and will define who the stakeholders are and what is necessary to ensure all can participate in the process if they so choose.<sup>29</sup> The process shall include an initial 60 day public comment period, a second 60 day public comment period (the enquiry draft) and a final draft review period of at least 45 days (See Figure 1).</p> <p>Broad public and stakeholder involvement is important to the <i>SFI program</i>. The <i>SFI Standards</i> review process shall be conducted on a national level in Canada and in the United States. Stakeholders, including disadvantaged and key stakeholders and those from the environmental community, forest products industry, private forest landowners, customers, local and federal government agencies, trade associations, landowner associations, academia and all other stakeholders shall be invited to participate in the review process. The start of the standards review process and all subsequent public review periods shall be communicated publicly to all interested stakeholders with an invitation to provide comments on the standards and standard setting process.<sup>30</sup></p>

<sup>27</sup> Consensus as defined by PEFC and ISO: General agreement, characterized by the absence of sustained opposition to substantial issues by any important part of the concerned interests and by a process that involves seeking to take into account the views of all parties concerned and to reconcile any conflicting arguments. NOTE - **Consensus** need not imply unanimity. Item 1.7 in *ISO/IEC Guide 2:1991* and item 3.1 in *PEFC Standard Setting Requirements PEFC ST 1001:2010 dated 2010-11-26*. *PEFC ST 1001:2010* and *ISO Guide 59:1994, Code of Good Practice for Standardisation* are normative references.

<sup>28</sup> The SFI Inc. Board of Directors has a balance of stakeholders including representatives of environmental, *conservation*, social professional and academic groups, independent professional loggers, small family forest owners, public officials, labor and the forest products industry. The SFI Inc. Board of Directors voting structure in the SFI Inc. bylaws defines the consensus based approach used for final approval of revisions to the SFI Standard: a minimum of eighty percent of those present, which must include at least two representatives of each Sector [environmental, social, economic] is required to approve any action of the Board.

<sup>29</sup> Stakeholders will be identified by doing a stakeholder mapping exercise that includes defining which interest sectors are relevant and why, and for each sector what are likely to be the key issues, who are the key stakeholders including those who may not be able to participate by conventional means, and what means of communication will best reach them.

<sup>30</sup> The public announcement will include where to find the publicly available standards-setting procedures, the objectives, scope and steps of the standards setting process including key dates, information on how stakeholders can participate in the process, information on how to submit comments on the standards and how to be involved in standards revision workshops and working groups.



# Application for Assessment of the SFI 2015-2019 Standards and Rules for PEFC Endorsement

PART I: SFI's checklist for standard setting (PEFC ST 1001:2010)

Question	Assess. basis*	Reference to application documents
		<p><u>SFI 2015-2019 Standard Development – Stakeholder Mapping Exercise</u></p> <p>A stakeholder mapping exercise will be used to identify which interest sectors-both public and private-are relevant (environmental, economic, social) including stakeholders who may not be able to participate by conventional means and what means of communications will best reach each stakeholder group. This mapping exercise will be done at the beginning of each standard review process and will define who the stakeholders are and what is necessary to ensure all can participate in the process if they so choose ( Stakeholders will be identified by doing a stakeholder mapping exercise that includes defining which interest sectors are relevant and why, and for each sector what are likely to be the key issues, who are the key stakeholders including those who may not be able to participate by conventional means, and what means of communication will best reach them.)</p> <p>SFI collects and maintains a database of contacts interested and involved in all aspects of the SFI program. This includes all certificate holders implementing sections of the SFI standard, SFI board, committees and grassroots organizations carrying out program strategy and direction as well as contacts that come in contact with SFI in the marketplace such as architects, conservation groups, associations and customers only to name a few. Made up of nearly 10,000 people.</p> <p>In addition, the SFI standard revision process (currently underway) has <u>actively</u> invited close to10,000 individuals and organizations to participate in the actual review process. This includes submission of written comments (on two separate occasions), participation in numerous regional workshops and participation on working groups. SFI has considered all requests for those who want to work in the standards setting process.</p> <p>The Resources Committee and numerous working groups/committees function as the groups that reviews all comments received from the open written comment periods and workshops. These working groups then develop recommended changes to the standards for SFI Board consideration.</p>
	Process	<p>Communication was via newsletters, emails and postings to the SFI website to allow for access by all stakeholder groups. The following appendices provide additional evidence of stakeholder engagement.</p> <p>The processes by which stakeholders were invited to nominate representative(s) to the Standard Revision Task Groups working group/committee are detailed in <b>Appendices 1, 5, 6, 7, 8, 9, 10 and 11 of the PEFC Endorsement Packet.</b></p>
d) an invitation to comment on the scope and the standard-setting process, and	Procedures	<p><b>Appendix 3 - PEFC Endorsement Application - SFI 2015-2019 Standard Revision Process</b>  <a href="http://www.sfiprogram.org/sfi-standard-2010-2014/introduction-to-the-standard/standard-review-process/">http://www.sfiprogram.org/sfi-standard-2010-2014/introduction-to-the-standard/standard-review-process/</a></p> <p><b>Appendix 1 of the PEFC Endorsement Application - SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI Standard Development and Interpretations Process - Section 8</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/</a></p> <p>1.1 Actors and Responsibilities</p>

**Application for Assessment of the SFI 2015-2019 Standards and Rules for PEFC Endorsement**  
PART I: SFI’s checklist for standard setting (PEFC ST 1001:2010)

Question	Assess. basis*	Reference to application documents
		<p>Any individual can suggest candidates to the nominations committee. The nominations committee considers suggestions and invites individuals to be considered by the Board.</p> <p>1.1.1 SFI Board SFI Board members are invited by the Board Nominations Committee to participate as directors and must be approved by the full Board.</p> <p>1.2 Procedures: The <i>SFI</i> Standards development process is open, transparent and consensus<sup>31</sup> based and <i>SFI Inc.</i> Board decisions regarding final changes to the <i>SFI Standards</i> shall be consistent with PEFC ST 1001:2010 for consensus<sup>32</sup> based decision making. The revision process shall begin in the first quarter of the year prior to the year the existing standard expires. The <i>SFI Standards</i> setting process shall begin with a public notice to all stakeholders prior to the start of the process. The start of the process will be communicated on the <i>SFI</i> website, in newsletters and emails to all stakeholders inviting comments. <i>SFI</i> shall identify stakeholders relevant to the objectives and scope of the standard-setting work. A stakeholder mapping exercise will be used to identify which interest sectors-both public and private-are relevant (environmental, economic, social) including stakeholders who may not be able to participate by conventional means and what means of communications will best reach each stakeholder group. This mapping exercise will be done at the beginning of each standard review process and will define who the stakeholders are and what is necessary to ensure all can participate in the process if they so choose.<sup>33</sup> The process shall include an initial 60 day public comment period, a second 60 day public comment period (the enquiry draft) and a final draft review period of at least 45 days (See Figure 1).</p> <p>Broad public and stakeholder involvement is important to the <i>SFI program</i>. The <i>SFI Standards</i> review process shall be conducted on a national level in Canada and in the United States. Stakeholders, including disadvantaged and key stakeholders and those from the environmental community, forest products industry, private forest landowners, customers, local and federal government agencies, trade associations, landowner associations, academia and all other stakeholders shall be invited to participate in the review process. The start of the standards review process and all subsequent public review periods shall be communicated publicly to all interested stakeholders with an invitation to provide comments on the standards and standard setting process.<sup>34</sup></p>
	Process	<p>SFI sent out a request for any individual wanting to participate on a Standard review working group to be considered.</p> <p>In addition, the SFI standard revision process (currently underway) has <u>actively</u> invited close to 10,000 individuals and organizations to participate in the actual review process. This includes submission of written comments (on two separate occasions), participation</p>

<sup>31</sup> Consensus as defined by PEFC and ISO: General agreement, characterized by the absence of sustained opposition to substantial issues by any important part of the concerned interests and by a process that involves seeking to take into account the views of all parties concerned and to reconcile any conflicting arguments. NOTE - **Consensus** need not imply unanimity. Item 1.7 in *ISO/IEC Guide 2:1991* and item 3.1 in *PEFC Standard Setting Requirements PEFC ST 1001:2010 dated 2010-11-26*. *PEFC ST 1001:2010* and *ISO Guide 59:1994, Code of Good Practice for Standardisation* are normative references.

<sup>32</sup> The SFI Inc. Board of Directors has a balance of stakeholders including representatives of environmental, *conservation*, social professional and academic groups, independent professional loggers, small family forest owners, public officials, labor and the forest products industry. The SFI Inc. Board of Directors voting structure in the SFI Inc. bylaws defines the consensus based approach used for final approval of revisions to the SFI Standard: a minimum of eighty percent of those present, which must include at least two representatives of each Sector [environmental, social, economic] is required to approve any action of the Board.

<sup>33</sup> Stakeholders will be identified by doing a stakeholder mapping exercise that includes defining which interest sectors are relevant and why, and for each sector what are likely to be the key issues, who are the key stakeholders including those who may not be able to participate by conventional means, and what means of communication will best reach them.

<sup>34</sup> The public announcement will include where to find the publicly available standards-setting procedures, the objectives, scope and steps of the standards setting process including key dates, information on how stakeholders can participate in the process, information on how to submit comments on the standards and how to be involved in standards revision workshops and working groups.

**Application for Assessment of the SFI 2015-2019 Standards and Rules for PEFC Endorsement**  
PART I: SFI's checklist for standard setting (PEFC ST 1001:2010)

Question	Assess. basis*	Reference to application documents
		<p>in numerous regional workshops and participation on working groups. SFI has considered all requests for those who want to work in the standards setting process.</p> <p>The Resources Committee and numerous working groups/committees function as the groups that reviews all comments received from the open written comment periods and workshops. These working groups then develop recommended changes to the standards for SFI Board consideration.</p>
e) reference to publicly available standard-setting procedures.	Procedures	<p><b>Appendix 1 of the PEFC Endorsement Application - SFI 2015-2019 Standards and Rules</b></p> <p>SFI Standard Development and Interpretations Process - Section 8 <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/</a></p> <p>The SFI Standard Development and Interpretation Process is available on the SFI website at all times.</p>
	Process	<p><b>Appendix 1 of the PEFC Endorsement Application - SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI Standard Development and Interpretations Process - Section 8</b> <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/</a></p> <p><b>1.1 Actors and Responsibilities:</b> "Any individual can suggest candidates to the nominations committee. The nominations committee considers suggestions and invites individuals to be considered by the Board."</p> <p><b>1.1.1 SFI Board</b> "SFI Board members are invited by the Board Nominations Committee to participate as directors and must be approved by the full Board."</p> <p><b>1.2 Procedures:</b> The <i>SFI</i> Standards development process is open, transparent and consensus<sup>35</sup> based and <i>SFI Inc.</i> Board decisions regarding final changes to the <i>SFI Standards</i> shall be consistent with PEFC ST 1001:2010 for consensus<sup>36</sup> based decision making. The revision process shall begin in the first quarter of the year prior to the year the existing standard expires. The <i>SFI Standards</i> setting process shall begin with a public notice to all stakeholders prior to the start of the process. The start of the process will be communicated on</p>

<sup>35</sup> Consensus as defined by PEFC and ISO: General agreement, characterized by the absence of sustained opposition to substantial issues by any important part of the concerned interests and by a process that involves seeking to take into account the views of all parties concerned and to reconcile any conflicting arguments. NOTE - **Consensus** need not imply unanimity. Item 1.7 in *ISO/IEC Guide 2:1991* and item 3.1 in *PEFC Standard Setting Requirements PEFC ST 1001:2010 dated 2010-11-26. PEFC ST 1001:2010* and *ISO Guide 59:1994, Code of Good Practice for Standardisation* are normative references.

<sup>36</sup> The SFI Inc. Board of Directors has a balance of stakeholders including representatives of environmental, *conservation*, social professional and academic groups, independent professional loggers, small family forest owners, public officials, labor and the forest products industry. The SFI Inc. Board of Directors voting structure in the SFI Inc. bylaws defines the consensus based approach used for final approval of revisions to the SFI Standard: a minimum of eighty percent of those present, which must include at least two representatives of each Sector [environmental, social, economic] is required to approve any action of the Board.

# Application for Assessment of the SFI 2015-2019 Standards and Rules for PEFC Endorsement

## PART I: SFI's checklist for standard setting (PEFC ST 1001:2010)

Question	Assess. basis*	Reference to application documents
		<p>the <i>SFI</i> website, in newsletters and emails to all stakeholders inviting comments. <i>SFI</i> shall identify stakeholders relevant to the objectives and scope of the standard-setting work. A stakeholder mapping exercise will be used to identify which interest sectors- both public and private-are relevant (environmental, economic, social) including stakeholders who may not be able to participate by conventional means and what means of communications will best reach each stakeholder group. This mapping exercise will be done at the beginning of each standard review process and will define who the stakeholders are and what is necessary to ensure all can participate in the process if they so choose.<sup>37</sup> The process shall include an initial 60 day public comment period, a second 60 day public comment period (the enquiry draft) and a final draft review period of at least 45 days (See Figure 1).</p> <p>Broad public and stakeholder involvement is important to the <i>SFI program</i>. The <i>SFI Standards</i> review process shall be conducted on a national level in Canada and in the United States. Stakeholders, including disadvantaged and key stakeholders and those from the environmental community, forest products industry, private forest landowners, customers, local and federal government agencies, trade associations, landowner associations, academia and all other stakeholders shall be invited to participate in the review process. The start of the standards review process and all subsequent public review periods shall be communicated publicly to all interested stakeholders with an invitation to provide comments on the standards and standard setting process.<sup>38</sup></p> <p><b>Appendix 3 of the PEFC Endorsement Application - SFI 2015-2019 Standard Revision Process</b>  <a href="http://www.sfiprogram.org/sfi-standard-2010-2014/introduction-to-the-standard/standard-review-process/">http://www.sfiprogram.org/sfi-standard-2010-2014/introduction-to-the-standard/standard-review-process/</a></p>
5.4 The standardising body shall review the standard-setting process based on comments received from the public announcement and establish a working group/committee or adjust the composition of an already existing working group/committee based on received nominations. The acceptance and refusal of nominations shall be justifiable in relation to the requirements for balanced representation of the working group/committee and resources available for the standard-setting.	Procedures	<p>SFI sent out a request for any individual wanting to participate on a Standard review working group to be considered. In addition, the SFI standard revision process <u>actively</u> invited close to 10,000 individuals and organizations to participate in the actual review process. This includes submission of written comments (on two separate occasions), participation in numerous regional workshops and participation on working groups. SFI has considered all requests for those who want to work in the standards setting process.</p> <p>The Resources Committee and numerous working groups/committees function as the groups that reviews all comments received from the open written comment periods and workshops. These working groups then develop recommended changes to the standards for SFI Board consideration.</p>
	Process	<p>SFI Standards Revision Task Groups reviewed the comments received as per <b>Appendices 4, 5, 6, 7, 9, 10 and 11 of the PEFC Endorsement Packet.</b></p>
		<b>Appendix 1 of the PEFC Endorsement Application - SFI 2015-2019 Standards and Rules</b>

<sup>37</sup> Stakeholders will be identified by doing a stakeholder mapping exercise that includes defining which interest sectors are relevant and why, and for each sector what are likely to be the key issues, who are the key stakeholders including those who may not be able to participate by conventional means, and what means of communication will best reach them.

<sup>38</sup> The public announcement will include where to find the publicly available standards-setting procedures, the objectives, scope and steps of the standards setting process including key dates, information on how stakeholders can participate in the process, information on how to submit comments on the standards and how to be involved in standards revision workshops and working groups.

# Application for Assessment of the SFI 2015-2019 Standards and Rules for PEFC Endorsement

PART I: SFI's checklist for standard setting (PEFC ST 1001:2010)

Question	Assess. basis*	Reference to application documents
a) working drafts shall be available to all members of the working group/committee,	Procedures	<p><b>SFI Standard Development and Interpretations Process - Section 8</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/</a></p> <p>1.2 Procedures  The Standards Revision process is intended to be collaborative. While consensus on proposed <i>SFI Standards</i> revisions is desirable there may be issues for which consensus cannot be achieved. In these scenarios the Review Task Groups established by the Resources Committee may forward multiple recommended options to a Steering Committee, also established by the Resources Committee, who will review and prepare recommendations for the Resources Committee's review. Task Group Chairs shall be fair to all viewpoints; however, they are charged with moving the process forward in a timely manner. If consensus is not achieved by the Resources Committee, the issue (s) will be moved forward to the <i>SFI</i> Board of Director for final resolution either by consensus or according to voting procedures outlined in the <i>SFI</i> Board Director bylaws (<a href="http://www.sfiprogram.org/about-us/sfi-governance/">http://www.sfiprogram.org/about-us/sfi-governance/</a>). All recommendations developed by the task groups will be reviewed by the Board and may be accepted as is, modified, or returned to the task groups with instructions for additional consideration and discussion.</p> <p>The draft of proposed changes to the <i>SFI Standards</i> shall be released and published to the <i>SFI</i> website during the first quarter of the second review year, followed by an additional 60 day public comment period to allow all stakeholders an opportunity to provide additional comments regarding proposed changes.</p> <p>This draft will also be presented and discussed with <i>SFI Program Participants</i> and all other stakeholders at regional workshops conducted by the Forum and <i>SFI Inc.</i> throughout the U.S. and Canada. All stakeholders who have commented on proposed changes or who have proposed changes to the <i>SFI Standards</i> shall use this opportunity to raise any concerns regarding their comments and the manner in which the <i>SFI Standards</i> Review task group addressed their comments or suggested changes.</p>
	Process	Examples of the working drafts for the SFI 2015-2019 Standards Revision and periodic updates on the progress of the revision are contained in <b>Appendices 12, 13, 14 and 15 of the PEFC Endorsement Packet.</b>
b) all members of the working group shall be provided with meaningful opportunities to contribute to the development or revision of the standard and submit comments to the working drafts, and	Procedures	<p><b>Appendix 1 of the PEFC Endorsement Application - SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI Standard Development and Interpretations Process - Section 8</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/</a></p> <p>The SFI Board is the Standardization Body and has final approval of the SFI Standard. The role of the Board is very clear in the SFI process.</p> <p>The procedures and flow chart are clear in demonstrating every instance where the Board reviews and makes decisions regarding changes to the standard. In addition, the Resources Committee members are appointment by their respective Board member and represent the Board in all phases of the review via the working groups.</p>

# Application for Assessment of the SFI 2015-2019 Standards and Rules for PEFC Endorsement

PART I: SFI's checklist for standard setting (PEFC ST 1001:2010)

Question	Assess. basis*	Reference to application documents
		<b>Appendix 3 of the PEFC Endorsement Application - SFI 2015-2019 Standard Revision Process</b> <a href="http://www.sfiprogram.org/sfi-standard-2010-2014/introduction-to-the-standard/standard-review-process/">http://www.sfiprogram.org/sfi-standard-2010-2014/introduction-to-the-standard/standard-review-process/</a>
	Process	<p>Responses to comments received during 1<sup>st</sup> 60 day comment period (June 5 – August 6, 2013) <a href="http://www.sfiprogram.org/files/pdf/2010-2014-sfi-standard-review-survey-comments-received/">http://www.sfiprogram.org/files/pdf/2010-2014-sfi-standard-review-survey-comments-received/</a></p> <p>Responses to comments received during 2nd 60 day comment period (Jan 6 – Mar 7, 2014) <a href="http://www.sfiprogram.org/files/pdf/final-comment-period-comments-sfi-2015-2019-standard-language/">http://www.sfiprogram.org/files/pdf/final-comment-period-comments-sfi-2015-2019-standard-language/</a> <a href="#">SFI Standards Revision Workshops</a></p> <p>SFI Inc staff conducted 12 workshops across the US and Canada and 2 webinars to solicit direct input from stakeholders for the Standards Revision process. Examples of these processes are given in the <b>Appendices 16 and 17 of the PEFC Endorsement Packet</b>.</p>
c) comments and views submitted by any member of the working group/committee shall be considered in an open and transparent way and their resolution and proposed changes shall be recorded.	Procedures	<p><b>Appendix 1 of the PEFC Endorsement Application - SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI Standard Development and Interpretations Process - Section 8</b> <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/</a></p> <p><b>Appendix 3 of the PEFC Endorsement Application - SFI 2015-2019 Standard Revision Process</b> <a href="http://www.sfiprogram.org/sfi-standard-2010-2014/introduction-to-the-standard/standard-review-process/">http://www.sfiprogram.org/sfi-standard-2010-2014/introduction-to-the-standard/standard-review-process/</a></p> <p>Responses to comments received during 1<sup>st</sup> 60 day comment period (June 5 – August 6, 2013) posted at: <a href="http://www.sfiprogram.org/files/pdf/2010-2014-sfi-standard-review-survey-comments-received/">http://www.sfiprogram.org/files/pdf/2010-2014-sfi-standard-review-survey-comments-received/</a></p> <p>Responses to comments received during 2nd 60 day comment period (Jan 6 – Mar 7 2014), 2014) posted at: <a href="http://www.sfiprogram.org/files/pdf/final-comment-period-comments-sfi-2015-2019-standard-language/">http://www.sfiprogram.org/files/pdf/final-comment-period-comments-sfi-2015-2019-standard-language/</a></p>
	Process	<p>The SFI Board appoints one representative from their organization to represent them on the SFI Resources Committee.</p> <p>The SFI Resources Committee organizes the review process and entertains nominations, requests and suggestions for populating the working groups/committee that review and develop recommendations on changes proposed by any stakeholder (written comments, workshop comments).</p> <p>All comments received are reviewed by the working groups and decisions regarding their disposition and any standard changes made as a result of the comments are recorded and publicly posted on the SFI website.</p>

# Application for Assessment of the SFI 2015-2019 Standards and Rules for PEFC Endorsement

PART I: SFI's checklist for standard setting (PEFC ST 1001:2010)

Question	Assess. basis*	Reference to application documents
		<p>It is important to understand that anyone, including Board members, PEFC members, market campaigners, can submit comments during the review process and all are treated equally.</p> <p>And, <u>as a final step, which go beyond PEFC requirements</u>, the independent External Review Panel reviews all of the comments received and their disposition and the rationale regarding their disposition, to ensure all comments are treated equally and fairly.</p>
a) the start and the end of the public consultation is announced in a timely manner in suitable media,		<p><b>Appendix 1 of the PEFC Endorsement Application - SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI Standard Development and Interpretations Process - Section 8</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/</a></p> <p>1.2 Procedures  The <i>Sustainable Forestry Initiative Standards</i> setting process shall be on a five year cycle, which is consistent with international protocols for forest certification standard revision cycles. The <i>SFI</i> Standards development process is open, transparent and consensus<sup>39</sup> based and <i>SFI Inc.</i> Board decisions regarding final changes to the <i>SFI Standards</i> shall be consistent with PEFC ST 1001:2010 for consensus<sup>40</sup> based decision making. The revision process shall begin in the first quarter of the year prior to the year the existing standard expires. The <i>SFI Standards</i> setting process shall begin with a public notice to all stakeholders prior to the start of the process. The start of the process will be communicated on the <i>SFI</i> website, in newsletters and emails to all stakeholders inviting comments. <i>SFI</i> shall identify stakeholders relevant to the objectives and scope of the standard-setting work. A stakeholder mapping exercise will be used to identify which interest sectors-both public and private-are relevant (environmental, economic, social) including stakeholders who may not be able to participate by conventional means and what means of communications will best reach each stakeholder group. This mapping exercise will be done at the beginning of each standard review process and will define who the stakeholders are and what is necessary to ensure all can participate in the process if they so choose.<sup>41</sup> The process shall include an initial 60 day public comment period, a second 60 day public comment period (the enquiry draft) and a final draft review period of at least 45 days (See Figure 1).</p>
	Process	<p><b>Appendix 8 of the PEFC Endorsement Application - June 2013 Launch Press Release</b>  <a href="http://www.sfiprogram.org/media-resources/news/sfi-reaches-out-to-10000-stakeholders-to-revise-its-forestry-standard/">http://www.sfiprogram.org/media-resources/news/sfi-reaches-out-to-10000-stakeholders-to-revise-its-forestry-standard/</a></p> <p><b>Appendix 9 of the PEFC Endorsement Application - January 2014 Press Release</b>  <a href="http://www.sfiprogram.org/media-resources/news/sfi-reaches-out-to-thousands-to-improve-forestry-standard/">http://www.sfiprogram.org/media-resources/news/sfi-reaches-out-to-thousands-to-improve-forestry-standard/</a></p>

<sup>39</sup> Consensus as defined by PEFC and ISO: General agreement, characterized by the absence of sustained opposition to substantial issues by any important part of the concerned interests and by a process that involves seeking to take into account the views of all parties concerned and to reconcile any conflicting arguments. NOTE - **Consensus** need not imply unanimity. Item 1.7 in *ISO/IEC Guide 2:1991* and item 3.1 in *PEFC Standard Setting Requirements PEFC ST 1001:2010 dated 2010-11-26*. *PEFC ST 1001:2010* and *ISO Guide 59:1994, Code of Good Practice for Standardisation* are normative references.

<sup>40</sup> The SFI Inc. Board of Directors has a balance of stakeholders including representatives of environmental, *conservation*, social professional and academic groups, independent professional loggers, small family forest owners, public officials, labor and the forest products industry. The SFI Inc. Board of Directors voting structure in the SFI Inc. bylaws defines the consensus based approach used for final approval of revisions to the SFI Standard: a minimum of eighty percent of those present, which must include at least two representatives of each Sector [environmental, social, economic] is required to approve any action of the Board.

<sup>41</sup> Stakeholders will be identified by doing a stakeholder mapping exercise that includes defining which interest sectors are relevant and why, and for each sector what are likely to be the key issues, who are the key stakeholders including those who may not be able to participate by conventional means, and what means of communication will best reach them.



# Application for Assessment of the SFI 2015-2019 Standards and Rules for PEFC Endorsement

PART I: SFI's checklist for standard setting (PEFC ST 1001:2010)

Question	Assess. basis*	Reference to application documents
		<b>Appendix 10 of the PEFC Endorsement Application - SFI Standard Revision Second Comment Period Invitation to Comment</b>
b) the invitation of disadvantaged and key stakeholders shall be made by means that ensure that the information reaches its recipient and is understandable,	Procedures	<b>Appendix 1 of the PEFC Endorsement Application - SFI 2015-2019 Standards and Rules</b> <b>SFI Standard Development and Interpretations Process - Section 8</b> <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/</a>  1.2 Procedures .... The <i>SFI Standards</i> setting process shall begin with a public notice to all stakeholders prior to the start of the process. The start of the process will be communicated on the <i>SFI</i> website, in newsletters and emails to all stakeholders inviting comments. <i>SFI</i> shall identify stakeholders relevant to the objectives and scope of the standard-setting work. A stakeholder mapping exercise will be used to identify which interest sectors-both public and private-are relevant (environmental, economic, social) including stakeholders who may not be able to participate by conventional means and what means of communications will best reach each stakeholder group. This mapping exercise will be done at the beginning of each standard review process and will define who the stakeholders are and what is necessary to ensure all can participate in the process if they so choose. <sup>42</sup> The process shall include an initial 60 day public comment period, a second 60 day public comment period (the enquiry draft) and a final draft review period of at least 45 days (See Figure 1).
	Process	<b>Appendix 3 of the PEFC Endorsement Application - SFI 2015-2019 Standard Revision Process</b> SFI 2015-2019 Standard Review Process <a href="http://www.sfiprogram.org/sfi-standard-2010-2014/introduction-to-the-standard/standard-review-process/">http://www.sfiprogram.org/sfi-standard-2010-2014/introduction-to-the-standard/standard-review-process/</a>  <b>Appendices 8 and 9 of the PEFC Endorsement Application (June 2013 Launch Press Release &amp; January 2014 Press Release)</b>  June 2013 Launch and January 2014 draft SFI 2015-2019 Standards and Rules first 60 day and second 60 day comment periods initiated via press releases of posting to SFI website at: <a href="http://www.sfiprogram.org/sfi-standard/what-s-new-for-2015-2019/">http://www.sfiprogram.org/sfi-standard/what-s-new-for-2015-2019/</a>  <b>Appendix 9 of the PEFC Endorsement Application - January 2014 Press Release</b> January 2014 Press Release <a href="http://www.sfiprogram.org/media-resources/news/sfi-reaches-out-to-thousands-to-improve-forestry-standard/">http://www.sfiprogram.org/media-resources/news/sfi-reaches-out-to-thousands-to-improve-forestry-standard/</a>
c) the enquiry draft is publicly available and accessible,	Procedures	<b>Appendix 1 of the PEFC Endorsement Application - SFI 2015-2019 Standards and Rules</b> <b>SFI Standard Development and Interpretations Process - Section 8</b>

<sup>42</sup> Stakeholders will be identified by doing a stakeholder mapping exercise that includes defining which interest sectors are relevant and why, and for each sector what are likely to be the key issues, who are the key stakeholders including those who may not be able to participate by conventional means, and what means of communication will best reach them.

# Application for Assessment of the SFI 2015-2019 Standards and Rules for PEFC Endorsement

PART I: SFI's checklist for standard setting (PEFC ST 1001:2010)

Question	Assess. basis*	Reference to application documents
		<a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/</a>  Procedures 1.2 The SFI Standards review process shall be conducted on a national level in Canada and in the United States. Stakeholders, including disadvantaged and key stakeholders and those from the environmental community, forest products industry, private forest landowners, customers, local and federal government agencies, trade associations, landowner associations, academia and all other stakeholders shall be invited to participate in the review process. The start of the standards review process and all subsequent public review periods shall be communicated publicly to all interested stakeholders with an invitation to provide comments on the standards and standard setting process. <sup>43</sup>  The draft of proposed changes to the SFI Standards shall be released and published to the SFI website during the first quarter of the second review year, followed by an additional 60 day public comment period to allow all stakeholders an opportunity to provide additional comments regarding proposed changes.  This draft will also be presented and discussed with <i>SFI Program Participants</i> and all other stakeholders at regional workshops conducted by the Forum and <i>SFI Inc.</i> throughout the U.S. and Canada. All stakeholders who have commented on proposed changes or who have proposed changes to the <i>SFI Standards</i> shall use this opportunity to raise any concerns regarding their comments and the manner in which the <i>SFI Standards</i> Review task group addressed their comments or suggested changes.
	Process	<b>Appendix 9 of the PEFC Endorsement Application - Jan 2014 Press Release</b> <a href="http://www.sfiprogram.org/media-resources/news/sfi-reaches-out-to-thousands-to-improve-forestry-standard/">http://www.sfiprogram.org/media-resources/news/sfi-reaches-out-to-thousands-to-improve-forestry-standard/</a>  SFI responses to comments received during 2nd 60 day comment period (Jan 6 – Mar 7, 2014) <a href="http://www.sfiprogram.org/files/pdf/final-comment-period-comments-sfi-2015-2019-standard-language/">http://www.sfiprogram.org/files/pdf/final-comment-period-comments-sfi-2015-2019-standard-language/</a>  <b>All stakeholder comment received during the first and second 60 day comment periods are available at:</b>  <a href="http://www.sfiprogram.org/files/pdf/2010-2014-sfi-standard-review-survey-comments-received/">SFI responses to comments received during 1<sup>st</sup> 60 day comment period (June 5 – August 6, 2013)</a> <a href="http://www.sfiprogram.org/files/pdf/2010-2014-sfi-standard-review-survey-comments-received/">http://www.sfiprogram.org/files/pdf/2010-2014-sfi-standard-review-survey-comments-received/</a>  <a href="http://www.sfiprogram.org/files/pdf/final-comment-period-comments-sfi-2015-2019-standard-language/">SFI responses to comments received during 2nd 60 day comment period (Jan 6 – Mar 7 2014), 2014)</a> <a href="http://www.sfiprogram.org/files/pdf/final-comment-period-comments-sfi-2015-2019-standard-language/">http://www.sfiprogram.org/files/pdf/final-comment-period-comments-sfi-2015-2019-standard-language/</a>  <b>Appendix 18 of the PEFC Endorsement Application - What's New for 2015-2019</b> <a href="http://www.sfiprogram.org/sfi-standard/what-s-new-for-2015-2019/">http://www.sfiprogram.org/sfi-standard/what-s-new-for-2015-2019/</a>

<sup>43</sup> The public announcement will include where to find the publicly available standards-setting procedures, the objectives, scope and steps of the standards setting process including key dates, information on how stakeholders can participate in the process, information on how to submit comments on the standards and how to be involved in standards revision workshops and working groups.

# Application for Assessment of the SFI 2015-2019 Standards and Rules for PEFC Endorsement

PART I: SFI's checklist for standard setting (PEFC ST 1001:2010)

Question	Assess. basis*	Reference to application documents
		The new SFI 2015-2019 Standards and Rules and related summary materials are publically available at the above website.
d) the public consultation is for at least 60 days,	Procedures	<b>Appendix 1 of the PEFC Endorsement Application - SFI 2015-2019 Standards and Rules</b> <b>SFI Standard Development and Interpretations Process - Section 8</b> <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/</a>  Procedures 1.2 The process shall include an initial 60 day public comment period, a second 60 day public comment period (the enquiry draft) and a final draft review period of at least 45 days (See Figure 1).  The draft of proposed changes to the <i>SFI Standards</i> shall be released and published to the <i>SFI</i> website during the first quarter of the second review year, followed by an additional 60 day public comment period to allow all stakeholders an opportunity to provide additional comments regarding proposed changes.
	Process	June 2013 Launch and January 2014 draft SFI 2015-2019 Standards and Rules initiated via press release of posting to SFI website at: <a href="http://www.sfiprogram.org/sfi-standard/what-s-new-for-2015-2019/">http://www.sfiprogram.org/sfi-standard/what-s-new-for-2015-2019/</a>  <b>Appendix 8 of the PEFC Endorsement Application - June 2013 Launch Press Release</b> SFI responses to comments received during 1 <sup>st</sup> 60 day comment period <a href="http://www.sfiprogram.org/files/pdf/2010-2014-sfi-standard-review-survey-comments-received/">http://www.sfiprogram.org/files/pdf/2010-2014-sfi-standard-review-survey-comments-received/</a>  <b>Appendix 9 of the PEFC Endorsement Application - Jan 2014 Press Release</b> SFI responses to comments received during 2nd 60 day comment period (Jan 6 – Mar 7, 2014) <a href="http://www.sfiprogram.org/files/pdf/final-comment-period-comments-sfi-2015-2019-standard-language/">http://www.sfiprogram.org/files/pdf/final-comment-period-comments-sfi-2015-2019-standard-language/</a>
e) all comments received are considered by the working group/committee in an objective manner,	Procedures	<b>Appendix 1 of the PEFC Endorsement Application - SFI 2015-2019 Standards and Rules</b> <b>SFI Standard Development and Interpretations Process - Section 8</b> <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/</a>  Procedures 1.2 The External Review Panel shall independently monitor the entire process including a review of all comments received on draft standards and their disposition.
	Process	SFI responses to comments received during 1 <sup>st</sup> 60 day comment period (June 5 – August 6, 2013) <a href="http://www.sfiprogram.org/files/pdf/2010-2014-sfi-standard-review-survey-comments-received/">http://www.sfiprogram.org/files/pdf/2010-2014-sfi-standard-review-survey-comments-received/</a>  SFI responses to comments received during 2nd 60 day comment period (Jan 6 – Mar 7 2014), 2014)

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PART I: SFI's checklist for standard setting (PEFC ST 1001:2010)

Question	Assess. basis*	Reference to application documents
		<a href="http://www.sfiprogram.org/files/pdf/final-comment-period-comments-sfi-2015-2019-standard-language/">http://www.sfiprogram.org/files/pdf/final-comment-period-comments-sfi-2015-2019-standard-language/</a>
(f) a synopsis of received comments compiled from material issues, including the results of their consideration, is publicly available, for example on a website.	Procedures	<b>Appendix 1 of the PEFC Endorsement Application - SFI 2015-2019 Standards and Rules</b> Section 8 – SFI Standard Development and Interpretations Process <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/</a>  Procedures 1.2 The Forum shall maintain records regarding all comments and their disposition for review by the independent External Review Panel. All comments will be considered carefully and records of their disposition maintained for a minimum of five years and posted to the <i>SFI</i> website. As in any review process, it is not necessary to agree to every suggestion, but it is important that all comments be given consideration.
	Process	SFI responses to comments received during 1 <sup>st</sup> 60 day comment period (June 5 – August 6, 2013) <a href="http://www.sfiprogram.org/files/pdf/2010-2014-sfi-standard-review-survey-comments-received/">http://www.sfiprogram.org/files/pdf/2010-2014-sfi-standard-review-survey-comments-received/</a>  SFI responses to comments received during 2nd 60 day comment period (Jan 6 – Mar 7 2014), 2014) <a href="http://www.sfiprogram.org/files/pdf/final-comment-period-comments-sfi-2015-2019-standard-language/">http://www.sfiprogram.org/files/pdf/final-comment-period-comments-sfi-2015-2019-standard-language/</a>
5.7 The standardising body shall organise pilot testing of the new standards and the results of the pilot testing shall be considered by the working group/committee.	Procedures	<b>SFI 2015-2019 Standards and Rules encompass the 5<sup>th</sup> iteration of the SFI forest management and standard setting requirements, hence this standard is not a new standard and therefore pilot testing is not applicable.</b>
	Process	
5.8 The decision of the working group to recommend the	Procedures	<b>Appendix 1 of the PEFC Endorsement Application - SFI 2015-2019 Standards and Rules</b> <b>SFI Standard Development and Interpretations Process - Section 8</b> <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/</a>  Procedures 1.2 A final draft of the proposed changes to the <i>SFI Standards</i> shall be delivered to the <i>SFI Inc.</i> Board of Directors during the third quarter of the final review year. The <i>SFI Inc.</i> Board will meet in the third quarter of the final review year at the <i>SFI</i> annual conference to discuss the <i>SFI Standards</i> draft and begin the 45-day advance notice to review proposed changes to the standards before Board approval can occur. The proposed changes to the <i>SFI Standards</i> draft will be presented at the <i>SFI</i> annual conference in September.  Upon completion of the <i>SFI</i> Board 45-day advance review period the <i>SFI Standards</i> shall be finalized by the Forum and approved by the <i>SFI</i> Board and published to the <i>SFI program</i> website. Printed copies will be available during the first quarter of the following year. All <i>Program Participants</i> have one year to fully implement new and revised <i>SFI Standards</i> elements adopted by the Forum.

# Application for Assessment of the SFI 2015-2019 Standards and Rules for PEFC Endorsement

PART I: SFI's checklist for standard setting (PEFC ST 1001:2010)

Question	Assess. basis*	Reference to application documents
final draft for formal approval shall be taken on the basis of a consensus. In order to reach a consensus the working group/committee can utilise the following alternative processes to establish whether there is opposition:	Process	<p>The SFI Board appoints one representative from their organization to represent them on the SFI Resources Committee.</p> <p>The SFI Resources Committee organizes the review process and entertains nominations, requests and suggestions for populating the working groups/committee that review and develop recommendations on changes proposed by any stakeholder (written comments, workshop comments).</p> <p>All comments received are reviewed by the working groups and decisions regarding their disposition and any standard changes made as a result of the comments are recorded and publicly posted on the SFI website.</p> <p>It is important to understand that anyone, including Board members, PEFC members, market campaigners, can submit comments during the review process and all are treated equally.</p> <p>And, <u>as a final step, which go beyond PEFC requirements</u>, the independent External Review Panel reviews all of the comments received and their disposition and the rationale regarding their disposition, to ensure all comments are treated equally and fairly. Agenda and minutes from November 5<sup>th</sup> (final approval) 2014 SFI Inc BoD meetings showing the unanimous vote to approve the 2015-2019 SFI Standards and Rules.</p> <p><b>Appendix 19 of the PEFC Endorsement Application - SFI Board Meeting Minutes - November 5, 2014</b></p> <p><b>Appendix 20 of the PEFC Endorsement Application - SFI Board of Directors Conference Call AGENDA November 5, 2014</b></p>
a) a face-to face meeting where there is a verbal yes/no vote, show of hands for a yes/no vote; a statement on consensus from the Chair where there are no dissenting voices or hands (votes); a formal balloting process, etc.,	Procedures	<p><b>Appendix 1 of the PEFC Endorsement Application - SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI Standard Development and Interpretations Process - Section 8</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/</a></p> <p>Procedures 1.2  A final draft of the proposed changes to the SFI Standards shall be delivered to the SFI Inc. Board of Directors during the third quarter of the final review year. The SFI Inc. Board will meet in the third quarter of the final review year at the SFI annual conference to discuss the SFI Standards draft and begin the 45-day advance notice to review proposed changes to the standards before Board approval can occur. The proposed changes to the SFI Standards draft will be presented at the SFI annual conference in September.</p> <p>Upon completion of the SFI Board 45-day advance review period the SFI Standards shall be finalized by the Forum and approved by the SFI Board and published to the SFI program website.</p>

# Application for Assessment of the SFI 2015-2019 Standards and Rules for PEFC Endorsement

PART I: SFI's checklist for standard setting (PEFC ST 1001:2010)

Question	Assess. basis*	Reference to application documents
	Process	<p>This requirement is not normative: 5.8 of PEFC's requirement states "...can utilise the following alternative..."</p> <p>Agenda and minutes from Nov 5 2014 (final approval) SFI Inc BoD meetings showing the unanimous vote to approve the 2015-2019 SFI Standards and Rules.</p> <p><b>Appendix 19 of the PEFC Endorsement Application - SFI Board Meeting Minutes - November 5, 2014</b></p> <p><b>Appendix 20 of the PEFC Endorsement Application - SFI Board of Directors Conference Call AGENDA November 5, 2014</b></p>
b) a telephone conference meeting where there is a verbal yes/no vote,	Procedures	<p><b>Appendix 1 of the PEFC Endorsement Application - SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI Standard Development and Interpretations Process - Section 8</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/</a></p> <p>Procedures 1.2  A final draft of the proposed changes to the SFI Standards shall be delivered to the SFI Inc. Board of Directors during the third quarter of the final review year. The SFI Inc. Board will meet in the third quarter of the final review year at the SFI annual conference to discuss the SFI Standards draft and begin the 45-day advance notice to review proposed changes to the standards before Board approval can occur. The proposed changes to the SFI Standards draft will be presented at the SFI annual conference in September.</p> <p>Upon completion of the SFI Board 45-day advance review period the SFI Standards shall be finalized by the Forum and approved by the SFI Board and published to the SFI program website.</p>
	Process	<p>This requirement is not normative: 5.8 of PEFC's requirement states "...can utilise the following alternative..."</p> <p>Agenda and minutes from Nov 5<sup>th</sup> (final approval) 2014 SFI Inc BoD meetings showing the unanimous vote to approve the 2015-2019 SFI Standards and Rules.</p> <p><b>Appendix 19 of the PEFC Endorsement Application - SFI Board Meeting Minutes - November 5, 2014</b></p> <p><b>Appendix 20 of the PEFC Endorsement Application - SFI Board of Directors Conference Call AGENDA November 5, 2014</b></p>
c) an e-mail meeting where a request for agreement or objection is provided to members with the members	Procedures	<p>This requirement is not normative: 5.8 of PEFC's requirement states "...can utilise the following alternative..."</p>
		<p>Agenda and minutes from Nov 5<sup>th</sup> (final approval) 2014 SFI Inc BoD meetings showing the unanimous vote to approve the 2015-</p>

# Application for Assessment of the SFI 2015-2019 Standards and Rules for PEFC Endorsement

PART I: SFI's checklist for standard setting (PEFC ST 1001:2010)

Question	Assess. basis*	Reference to application documents
providing a written response (a proxy for a vote), or	Process	<p>2019 SFI Standards and Rules.</p> <p><b>Appendix 19 of the PEFC Endorsement Application - SFI Board Meeting Minutes - November 5, 2014</b></p> <p><b>Appendix 20 of the PEFC Endorsement Application - SFI Board of Directors Conference Call AGENDA November 5, 2014</b></p>
d) combinations thereof.	Procedures	<p><b>Appendix 1 of the PEFC Endorsement Application - SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI Standard Development and Interpretations Process - Section 8</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/</a></p> <p>Procedures 1.2  A final draft of the proposed changes to the SFI Standards shall be delivered to the SFI Inc. Board of Directors during the third quarter of the final review year. The SFI Inc. Board will meet in the third quarter of the final review year at the SFI annual conference to discuss the SFI Standards draft and begin the 45-day advance notice to review proposed changes to the standards before Board approval can occur. The proposed changes to the SFI Standards draft will be presented at the SFI annual conference in September.</p> <p>Upon completion of the SFI Board 45-day advance review period the SFI Standards shall be finalized by the Forum and approved by the SFI Board and published to the SFI program website.</p>
	Process	<p>This requirement is not normative: 5.8 of PEFC's requirement states "...can utilise the following alternative..."</p> <p>Agenda and minutes from Nov 5<sup>th</sup> (final approval) 2014 SFI Inc BoD meetings showing the unanimous vote to approve the 2015-2019 SFI Standards and Rules.</p> <p><b>Appendix 19 of the PEFC Endorsement Application - SFI Board Meeting Minutes - November 5, 2014</b></p> <p><b>Appendix 20 of the PEFC Endorsement Application - SFI Board of Directors Conference Call AGENDA November 5, 2014</b></p>
a) discussion and negotiation on the disputed issue within the working group/committee in order to find a compromise,	Procedures	<p><b>Appendix 1 of the PEFC Endorsement Application - SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI Standard Development and Interpretations Process - Section 8</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/</a></p> <p>Procedures 1.2</p>



# Application for Assessment of the SFI 2015-2019 Standards and Rules for PEFC Endorsement

PART I: SFI's checklist for standard setting (PEFC ST 1001:2010)

Question	Assess. basis*	Reference to application documents
		<p>The Standards Revision process is intended to be collaborative. While consensus on proposed <i>SFI Standards</i> revisions is desirable there may be issues for which consensus cannot be achieved. In these scenarios the Review Task Groups established by the Resources Committee may forward multiple recommended options to a Steering Committee, also established by the Resources Committee, who will review and prepare recommendations for the Resources Committee's review. Task Group Chairs shall be fair to all viewpoints; however, they are charged with moving the process forward in a timely manner. If consensus is not achieved by the Resources Committee, the issue (s) will be moved forward to the <i>SFI</i> Board of Director for final resolution either by consensus or according to voting procedures outlined in the <i>SFI</i> Board Director bylaws (<a href="http://www.sfiprogram.org/about-us/sfi-governance/">http://www.sfiprogram.org/about-us/sfi-governance/</a>). All recommendations developed by the task groups will be reviewed by the Board and may be accepted as is, modified, or returned to the task groups with instructions for additional consideration and discussion.</p> <p><b>SFI Inc By-Laws</b>  <a href="http://www.sfiprogram.org/files/pdf/sfi-inc-bylaws-june-2013/">http://www.sfiprogram.org/files/pdf/sfi-inc-bylaws-june-2013/</a></p> <p>Article III  5. Voting. In order to ensure that no Sector of the Board of Directors can control the future of the Corporation, it shall take a minimum of sixty-six percent (66%) of those present to approve any action of the Board except where provided otherwise by law or by Article III.3.1 of these Bylaws. A Director may select an individual to represent him/her and to vote by proxy at one of the two meetings to be held each year. These individuals will be counted when determining a quorum.</p> <p>6. Amendments to the SFI Standard, Certification or Accreditation Procedures and Bylaws. Amendments to the Sustainable Forestry Initiative® Standard, including the Program Principles and Objectives, Performance Measures, and Indicators, may be made only at a meeting of the Board of Directors where notice of the nature of the proposed amendment(s) has been provided to the Directors at the previous meeting and the proposed language for the amendment(s) has been provided to the Directors at least forty-five days in advance of the meeting. Similarly, amendments to these Bylaws, as well as merger or dissolution of the Corporation, require that notice of the nature of the proposed amendment(s) or action be provided to the Directors at the previous meeting and the proposed language for the amendment(s) or action be provided to the Directors at least forty-five days in advance of the meeting.</p>
	Process	<p>Agenda and minutes from Nov 5<sup>th</sup> (final approval) 2014 SFI Inc BoD meetings showing the unanimous vote to approve the 2015-2019 SFI Standards and Rules.</p> <p><b>Appendix 19 of the PEFC Endorsement Application - SFI Board Meeting Minutes - November 5, 2014</b></p> <p><b>Appendix 20 of the PEFC Endorsement Application - SFI Board of Directors Conference Call AGENDA November 5, 2014</b></p>
b) direct negotiation between the stakeholder(s) submitting	Procedures	<b>Appendix 1 of the PEFC Endorsement Application - SFI 2015-2019 Standards and Rules</b>

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## PART I: SFI's checklist for standard setting (PEFC ST 1001:2010)

Question	Assess. basis*	Reference to application documents
the objection and stakeholders with different views on the disputed issue in order to find a compromise,		<b>SFI Standard Development and Interpretations Process - Section 8</b> <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/</a>  Procedures 1.2 Formal complaints regarding the disposition of comments shall be submitted in writing to the External Review Panel Secretariat ( <a href="http://sfierp.org/resources">http://sfierp.org/resources</a> ) for review. <sup>44</sup> The ERP shall acknowledge receipt of all complaints, impartially and objectively review all complaints and provide feedback to the Forum regarding complaints where additional review and potential action by the Forum is warranted. Once resolved, the decision on the complaint and the complaint process shall be communicated to the complainant.
	Process	<b>Appendix 1 of the PEFC Endorsement Application - SFI 2015-2019 Standards and Rules</b> No complaints were received. However, in the event that comments were received the process followed is outlined in 1.1.3 and 1.2 of the SFI Standard Development and Interpretations Process - Section 8. <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/</a>
c) dispute resolution process.	Procedures	<b>Appendix 1 of the PEFC Endorsement Application - SFI 2015-2019 Standards and Rules</b> <b>SFI Standard Development and Interpretations Process - Section 8</b> <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/</a>
	Process	<b>Appendix 1 of the PEFC Endorsement Application - SFI 2015-2019 Standards and Rules</b> No complaints were received. However, in the event that comments were received the process followed is outlined in 1.1.3 and 1.2 of the SFI Standard Development and Interpretations Process - Section 8. <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/</a>
5.10 Documentation on the implementation of the standard-setting process shall be made publicly available.	Procedures	<b>Appendix 1 of the PEFC Endorsement Application - SFI 2015-2019 Standards and Rules</b> SFI Standard Development and Interpretations Process -Section 8 <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/</a>  <b>Appendix 3 of the PEFC Endorsement Application - SFI 2015-2019 Standard Revision Process</b> <a href="http://www.sfiprogram.org/sfi-standard-2010-2014/introduction-to-the-standard/standard-review-process/">http://www.sfiprogram.org/sfi-standard-2010-2014/introduction-to-the-standard/standard-review-process/</a>
	Process	All documents were posted to the SFI website before, during and after the standard-setting process. <a href="http://www.sfiprogram.org/">http://www.sfiprogram.org/</a>

<sup>44</sup> The ERP process for reviewing complaints will be posted on the ERP website.

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PART I: SFI's checklist for standard setting (PEFC ST 1001:2010)

Question	Assess. basis*	Reference to application documents
5.11 The standardising body shall formally approve the standards/normative documents based on evidence of consensus reached by the working group/committee.	Procedures	<p><b>Appendix 1 of the PEFC Endorsement Application - SFI 2015-2019 Standards and Rules</b></p> <p>SFI Standard Development and Interpretations Process - Section 8  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/</a></p> <p>Procedures 1.2  The Standards Revision process is intended to be collaborative. While consensus on proposed <i>SFI Standards</i> revisions is desirable there may be issues for which consensus cannot be achieved. In these scenarios the Review Task Groups established by the Resources Committee may forward multiple recommended options to a Steering Committee, also established by the Resources Committee, who will review and prepare recommendations for the Resources Committee's review. Task Group Chairs shall be fair to all viewpoints; however, they are charged with moving the process forward in a timely manner. If consensus is not achieved by the Resources Committee, the issue (s) will be moved forward to the <i>SFI</i> Board of Director for final resolution either by consensus or according to voting procedures outlined in the <i>SFI</i> Board Director bylaws (<a href="http://www.sfiprogram.org/about-us/sfi-governance/">http://www.sfiprogram.org/about-us/sfi-governance/</a>). All recommendations developed by the task groups will be reviewed by the Board and may be accepted as is, modified, or returned to the task groups with instructions for additional consideration and discussion.</p> <p>A final draft of the proposed changes to the SFI Standards shall be delivered to the SFI Inc. Board of Directors during the third quarter of the final review year. The SFI Inc. Board will meet in the third quarter of the final review year at the SFI annual conference to discuss the SFI Standards draft and begin the 45-day advance notice to review proposed changes to the standards before Board approval can occur. The proposed changes to the SFI Standards draft will be presented at the SFI annual conference in September.</p> <p>Upon completion of the SFI Board 45-day advance review period the SFI Standards shall be finalized by the Forum and approved by the SFI Board and published to the SFI program website.</p>
	Process	<p>Agenda and minutes from Nov 5<sup>th</sup> (final approval) 2014 SFI Inc BoD meetings showing the unanimous vote to approve the 2015-2019 SFI Standards and Rules.</p> <p><b>Appendix 19 of the PEFC Endorsement Application - SFI Board Meeting Minutes - November 5, 2014</b></p> <p><b>Appendix 20 of the PEFC Endorsement Application - SFI Board of Directors Conference Call AGENDA November 5, 2014</b></p>
5.12 The formally approved standards/normative documents shall be published in a timely manner and made publicly available.	Procedures	<p><b>Appendix 1 of the PEFC Endorsement Application - SFI 2015-2019 Standards and Rules</b></p> <p>SFI Standard Development and Interpretations Process - Section 8  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/</a></p> <p>Procedures 1.2  Upon completion of the SFI Board 45-day advance review period the SFI Standards shall be finalized by the Forum and approved by</p>

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		the SFI Board and published to the SFI program website. Printed copies will be available during the first quarter of the following year. All Program Participants have one year to fully implement new and revised SFI Standards elements adopted by the Forum.
	Process	<p>The SFI 2015-2019 Standards and Rules were posted to the SFI website at this location on January 1, 2015 - <a href="http://www.sfiprogram.org/sfi-standard/guide-to-2015-2019-standards/">http://www.sfiprogram.org/sfi-standard/guide-to-2015-2019-standards/</a></p> <p><b>Appendix 21 of the PEFC Endorsement Application - Guide to 2015-2019 Standards</b>  <a href="http://www.sfiprogram.org/sfi-standard/guide-to-2015-2019-standards/">http://www.sfiprogram.org/sfi-standard/guide-to-2015-2019-standards/</a></p> <p><b>Appendix 22 of the PEFC Endorsement Application - SFI Standard Launch release January 7, 2015 FINAL</b>  Public announcement of the launch of the SFI 2015-2019 Standards and Rules was sent via press releases (English and French) and posted to the SFI Inc. website.</p> <p>Launch Press Release January 2015  <a href="http://www.sfiprogram.org/media-resources/news/sfi-works-to-ensure-the-health-and-future-of-our-forests-with-the-launch-of-the-new-sfi-2015-2019-standards-and-rules/">http://www.sfiprogram.org/media-resources/news/sfi-works-to-ensure-the-health-and-future-of-our-forests-with-the-launch-of-the-new-sfi-2015-2019-standards-and-rules/</a></p>
6.1 The standards/normative documents shall be reviewed and revised at intervals that do not exceed a five-year period. The procedures for the revision of the standards/normative documents shall follow those set out in chapter 5.	Process	<p><b>Appendix 1 of the PEFC Endorsement Application - SFI 2015-2019 Standards and Rules</b></p> <p>SFI Standard Development and Interpretations Process - Section 8  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/</a></p> <p>1.2 Procedures  The <i>Sustainable Forestry Initiative Standards</i> setting process shall be on a five year cycle, which is consistent with international protocols for forest certification standard revision cycles. The <i>SFI</i> Standards development process is open, transparent and consensus<sup>45</sup> based and <i>SFI Inc.</i> Board decisions regarding final changes to the <i>SFI Standards</i> shall be consistent with PEFC ST 1001:2010 for consensus<sup>46</sup> based decision making. The revision process shall begin in the first quarter of the year prior to the year the existing standard expires. The <i>SFI Standards</i> setting process shall begin with a public notice to all stakeholders prior to the start of the process. The start of the process will be communicated on the <i>SFI</i> website, in newsletters and emails to all stakeholders inviting comments. <i>SFI</i> shall identify stakeholders relevant to the objectives and scope of the standard-setting work. A stakeholder mapping exercise will be used to identify which interest sectors-both public and private-are relevant (environmental, economic, social) including stakeholders who may not be able to participate by conventional means and what means of communications will</p>

<sup>45</sup> Consensus as defined by PEFC and ISO: General agreement, characterized by the absence of sustained opposition to substantial issues by any important part of the concerned interests and by a process that involves seeking to take into account the views of all parties concerned and to reconcile any conflicting arguments. NOTE - **Consensus** need not imply unanimity. Item 1.7 in *ISO/IEC Guide 2:1991* and item 3.1 in *PEFC Standard Setting Requirements PEFC ST 1001:2010 dated 2010-11-26. PEFC ST 1001:2010* and *ISO Guide 59:1994, Code of Good Practice for Standardisation* are normative references.

<sup>46</sup> The SFI Inc. Board of Directors has a balance of stakeholders including representatives of environmental, *conservation*, social professional and academic groups, independent professional loggers, small family forest owners, public officials, labor and the forest products industry. The SFI Inc. Board of Directors voting structure in the SFI Inc. bylaws defines the consensus based approach used for final approval of revisions to the SFI Standard: a minimum of eighty percent of those present, which must include at least two representatives of each Sector [environmental, social, economic] is required to approve any action of the Board.

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		best reach each stakeholder group. This mapping exercise will be done at the beginning of each standard review process and will define who the stakeholders are and what is necessary to ensure all can participate in the process if they so choose. <sup>47</sup>
6.2 The revision shall define the application date and transition date of the revised standards/normative documents.	Process	<b>Appendix 1 of the PEFC Endorsement Application - SFI 2015-2019 Standards and Rules</b> <b>SFI Standard Development and Interpretations Process - Section 8</b> <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/</a> 1.2 Procedures Upon completion of the SFI Board 45-day advance review period the SFI Standards shall be finalized by the Forum and approved by the SFI Board and published to the SFI program website. Printed copies will be available during the first quarter of the following year. All Program Participants have one year to fully implement new and revised SFI Standards elements adopted by the Forum.
6.3 The application date shall not exceed a period of one year from the publication of the standard. This is needed for the endorsement of the revised standards/normative documents, introducing the changes, information dissemination and training.	Process	<b>Appendix 1 of the PEFC Endorsement Application - SFI 2015-2019 Standards and Rules</b> <b>SFI Standard Development and Interpretations Process - Section 8</b> <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/</a> 1.2 Procedures Upon completion of the SFI Board 45-day advance review period the SFI Standards shall be finalized by the Forum and approved by the SFI Board and published to the SFI program website. Printed copies will be available during the first quarter of the following year. All Program Participants have one year to fully implement new and revised SFI Standards elements adopted by the Forum.  <b>Transition to the SFI 2015-2019 Standards and Rules Section 6 – Guidance</b> <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-6-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-6-pdf/</a>  Transition provisions are outlined in Part 16 – Transition to the SFI 2015-2019 Standards and Rules
6.4 The transition date shall not exceed a period of one year except in justified exceptional circumstances where the implementation of the revised standards/normative documents requires a longer period.	Process	<b>Appendix 1 of the PEFC Endorsement Application - SFI 2015-2019 Standards and Rules</b> <b>SFI Standard Development and Interpretations Process - Section 8</b> <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-8-pdf/</a> 1.2 Procedures Upon completion of the SFI Board 45-day advance review period the SFI Standards shall be finalized by the Forum and approved by the SFI Board and published to the SFI program website. Printed copies will be available during the first quarter of the following

<sup>47</sup> Stakeholders will be identified by doing a stakeholder mapping exercise that includes defining which interest sectors are relevant and why, and for each sector what are likely to be the key issues, who are the key stakeholders including those who may not be able to participate by conventional means, and what means of communication will best reach them.

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PART I: SFI's checklist for standard setting (PEFC ST 1001:2010)

Question	Assess. basis*	Reference to application documents
		<p>year. All Program Participants have one year to fully implement new and revised SFI Standards elements adopted by the Forum.</p> <p><b>Transition to the SFI 2015-2019 Standards and Rules Section 6 – Guidance</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-6-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-6-pdf/</a></p> <p>16. Transition to the <i>SFI 2015-2019 Standards and Rules</i>  Changes adopted by the <i>SFI Inc.</i> Board of Directors to the <i>SFI Standards</i> must be incorporated into a <i>Program Participant's policies</i>, plans, and management activities within one year of adoption and publication. Similarly, changes to certification procedures and qualifications for <i>certification bodies</i> must be accomplished within one year of adoption and publication.  It is the <i>Program Participant's</i> responsibility to work with the <i>certification body</i> to establish a surveillance audit schedule that meets the requirements outlined in the Section 9 <i>SFI 2015-2019 Audit Procedures</i> and <i>Auditor Qualifications and Accreditation</i>. Additional guidance regarding the transition is included below:</p> <ul style="list-style-type: none"> <li>• The <i>SFI 2015-2019: Standard and Rules</i> replace the <i>SFI 2010-2014 Standard</i>, which is the current standard implemented by organizations within their forest operations in United States and Canada.</li> <li>• <i>SFI Inc.</i> developed the <i>SFI 2015-2019: Standard and Rules</i>, but does not conduct auditing and certification. All certification, recertification and surveillance audits to the <i>SFI 2015-2019 Standards and Rules</i> shall be conducted by <i>certification bodies</i> accredited by the ANSI-ASQ National Accreditation Board (ANAB), American National Standards Institute or the Standards Council of Canada (SCC) to conduct <i>certification to SFI 2015-2019 Standards and Rules</i>.</li> <li>• Accredited <i>certification bodies</i> are required to maintain audit processes consistent with the requirements of International Organization for Standardization (ISO) 17021:2011 conformity assessment – requirements for bodies providing audit and certification of management systems; and conduct audits in accordance with the principles of auditing contained in the ISO 19011:2002 Guidelines for Quality and/or Environmental Management Systems Auditing.</li> <li>• ANAB-, ANSI- and SCC-accredited certification to <i>the SFI 2015-2019 Standards and Rules</i> shall not be granted until they are published as standards.</li> <li>• <i>SFI Program Participants</i> have one year from the time the <i>SFI 2015-2019 Standards and Rules</i> take effect on January 1, 2015 to implement all new and revised requirements, and <i>Program Participants</i> must demonstrate conformance to the new requirements at their first surveillance audit following the implementation period. Earlier adoption is encouraged.</li> <li>• Initial certification audits in 2015 must be conducted against the <i>SFI 2015-2019 Standards and Rules</i>.</li> <li>• After March 31, 2015 all re-certifications must be conducted against the <i>SFI 2015-2019 Standards and Rules</i>. For re-certifications against the <i>SFI 2015-2019 Standards and Rules nonconformities</i> against changes made in the revised <i>SFI 2015-2019 Standards and Rules</i> shall be reported but will not adversely affect re-certification until after December 31, 2015.</li> <li>• Surveillance audits through December 31, 2015 may be conducted against either the <i>SFI 2010-2014 Standard and/or the 2010-2014 SFI Chain-of-Custody Standard</i> or the <i>SFI 2015-2019 Standards and Rules</i> at the <i>Program Participants</i> choice. For surveillance audits after March 31, 2015, <i>nonconformities</i> against changes made in the <i>SFI 2015-2019 Standards and Rules</i> shall be reported but will not adversely affect certification status until December 31, 2015; these audits shall also include an assessment of action plans to fully transition to the <i>SFI 2015-2019 Standards and Rules</i> by December 31, 2015.</li> <li>• After December 31, 2015 all surveillance audits must be conducted against the <i>SFI 2015-2019 Standards and Rules</i>.</li> </ul>



PART IIIA: SFI’s checklist for the SFI 2015-2019 Forest Management Standard (PEFC ST 1003:2010)

1 Scope

Part III covers requirements for sustainable forest management as defined in PEFC ST 1003:2010, *Sustainable Forest Management – Requirements*.

Any inconsistencies between this text and the original referred to document will be overruled by the content and wording of the technical document.

2 Checklist

Question	Reference to scheme documentation
4.1 a) include management and performance requirements that are applicable at the forest management unit level, or at another level as appropriate, to ensure that the intent of all requirements is achieved at the forest management unit level.  Note: An example of a situation where a requirement can be defined as being at other than forest management unit level (e.g. group/regional) is monitoring of forest health. Through monitoring of forest health at regional level and communicating of results at the FMU level the objective of the requirement is met without the necessity to carry out the individual monitoring of every forest management unit.	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b> <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p>1.1 Scope</p> <p>The SFI 2015-2019 Forest Management Standard promotes sustainable forestry practices based on 13 Principles, 15 Objectives, 37 Performance Measures and 101 Indicators. These requirements include measures to protect water quality, biodiversity, wildlife habitat, species at risk and Forests with Exceptional Conservation Value.</p> <p>The SFI 2015-2019 Forest Management Standard applies to any organization that owns or has management authority for forestlands.</p> <p>The SFI 2015-2019 Forest Management Standard applies to organizations in the United States and Canada.</p> <p><b>SFI 2015-2019 Audit Procedures and Auditor Qualifications and Accreditation - Section 9</b> <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-9-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-9-pdf/</a></p> <p>5.4.1 The <i>certification body</i> shall assess conformance to each element of the <i>SFI 2015-2019 Sections 2 and 3 Standards’</i>, <i>objectives, performance measures</i> and <i>indicators</i> within the scope of the audit. <i>SFI 2015-2019 Standards’</i> elements are <i>objectives, performance measures</i> and <i>indicators</i>. The introduction (Section 1) to the <i>SFI 2015-2019 Standards and Rules</i> document is informative, and as such, is not an auditable element.</p> <p>Evidence shall be compiled by examining operating procedures, materials relating to <i>forestry</i> practices and on-the-ground field performance, and through meetings or correspondence with employees, contractors and other third parties (e.g., government agencies, community groups, affected <i>Indigenous Peoples, conservation</i> organizations), as appropriate, to determine conformance to the <i>SFI 2015-2019 Forest Management Standard and the SFI 2015-2019 Fiber Sourcing Standard</i>.</p> <p><b>Guidance to the SFI 2015-2019 Standards and Rules - Section 6</b> <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-6-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-6-pdf/</a></p>



**Application for Assessment of the SFI 2015-2019 Standards and Rules for PEFC Endorsement**  
**PART IIIA: SFI's checklist for the SFI 2015-2019 Forest Management Standard (PEFC ST 1003:2010)**

Question	Reference to scheme documentation
	<p>2. Application of the SFI 2015-2019 Forest Management Standard and SFI 2015-2019 Fiber Sourcing Standards</p> <p>The SFI 2015-2019 Forest Management Standard and SFI 2015-2019 Fiber Sourcing Standards apply to management of and sourcing from forests throughout the United States and Canada where management intensities are characterized by managed natural forests and plantation forestry, regardless of the forest products derived from management of such forests. The figure (Figure 1) below illustrates the spectrum of forest management systems. The SFI 2015-2019 Forest Management Standard and SFI 2015-2019 Fiber Sourcing Standard are intended to apply to forest management systems that are classified as natural forest systems, managed natural forests and plantation forests. Management operations that are classified as short rotation woody crops or agro-forestry are not within the scope of the SFI 2015-2019 Standards and Rules.</p>
b) be clear, objective-based and auditable.	<p>SFI 2015-2019 Forest Management Standard normative requirements are structured in accordance with international documents such as ISO 17021 and other ISO documents and applicable PEFC endorsement requirements outlined in the PEFC documents cited below.</p> <p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p>1.3 References</p> <p>Normative References</p> <ul style="list-style-type: none"> <li>i. ISO/IEC 17021:2011 - Conformity Assessment - Requirements for bodies providing audit and certification of management systems</li> <li>ii. ISO/IEC Guide 2:2004 Standardization and related activities - General vocabulary</li> </ul> <p>For the purposes of this standard, the relevant definitions given in ISO/IEC Guide 2:2004 apply, together with the definitions in the <i>SFI</i> Definitions (Section 13).</p> <p>Informative References</p> <ul style="list-style-type: none"> <li>i. ISO 14001:2004 Environmental Management Systems - Specification with guidance for use</li> <li>ii. PEFC ST 1003:2010 Sustainable Forest Management Requirements, November 26, 2010</li> <li>iii. PEFC ST 1002:2010 Group Forest Management Certification, November 26, 2010</li> </ul>
c) apply to activities of all operators in the defined forest area who have a measurable impact on achieving compliance with the requirements.	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>1.1</b> Scope The SFI 2015-2019 Forest Management Standard promotes sustainable forestry practices based on 13 Principles, 15 Objectives, 37 Performance Measures and 101 Indicators. These requirements include measures to protect water quality, biodiversity, wildlife habitat, species at risk and Forests with Exceptional Conservation Value.</p> <p>What the Forest Management Standard Covers  The SFI 2015-2019 Forest Management Standard applies to any organization that owns or has management authority for forestlands.</p>

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Question	Reference to scheme documentation																									
	<p>Geographic Application of the Forest Management Standard</p> <p>The SFI 2015-2019 Forest Management Standard applies to organizations in the United States and Canada.</p> <p><b>Guidance to the SFI 2015-2019 Standards and Rules - Section 6</b></p> <p><a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-6-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-6-pdf/</a></p> <p>The SFI 2015-2019 Forest Management Standard applies to any organization that owns or has management authority for forestlands.</p> <p>2. Application of the <i>SFI 2015-2019 Forest Management Standard</i> and <i>SFI 2015-2019 Fiber Sourcing Standards</i></p> <p>The <i>SFI 2015-2019 Forest Management Standard</i> and <i>SFI 2015-2019 Fiber Sourcing Standards</i> apply to management of and sourcing from forests throughout the United States and Canada where management intensities are characterized by managed natural forests and plantation <i>forestry</i>, regardless of the forest products derived from management of such forests. The figure (Figure 1) below illustrates the spectrum of forest management systems. The <i>SFI 2015-2019 Forest Management Standard</i> and <i>SFI 2015-2019 Fiber Sourcing Standard</i> are intended to apply to forest management systems that are classified as natural forest systems, managed natural forests and plantation forests. Management operations that are classified as short rotation woody crops or agro-forestry are not within the scope of the <i>SFI 2015-2019 Standards and Rules</i>.</p> <p>Figure 1. Spectrum of forest management systems (green circle) that qualify for certification to the <i>SFI</i> 2015-2019 Standards (Adapted from Burger, 2002<sup>48</sup>).</p> <p><b>Forest Management Systems</b></p> <table><tr><td>Natural Forest Systems</td><td>managed natural forests</td><td>plantation forests</td><td>short rotation woody crops</td><td>Agrosystems</td></tr><tr><td>low</td><td></td><td>Soil Manipulation</td><td></td><td>high</td></tr><tr><td>low</td><td></td><td>Silvicultural Inputs</td><td></td><td>high</td></tr><tr><td>low</td><td></td><td>Potential to Increase/Decrease Soil Productivity</td><td></td><td>high</td></tr><tr><td>high</td><td></td><td>Biodiversity</td><td></td><td>low</td></tr></table>	Natural Forest Systems	managed natural forests	plantation forests	short rotation woody crops	Agrosystems	low		Soil Manipulation		high	low		Silvicultural Inputs		high	low		Potential to Increase/Decrease Soil Productivity		high	high		Biodiversity		low
Natural Forest Systems	managed natural forests	plantation forests	short rotation woody crops	Agrosystems																						
low		Soil Manipulation		high																						
low		Silvicultural Inputs		high																						
low		Potential to Increase/Decrease Soil Productivity		high																						
high		Biodiversity		low																						
d) require record-keeping that provides evidence of compliance with the requirements of the forest management	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b></p>																									

<sup>48</sup> Burger, J. A. 2002. Soil and Long-Term Site Productivity Values. In: Richardson, J.; Bjorheden, R.; Hakkila, P.; Lowe, A. T.; and Smith, C. T. Bioenergy from Sustainable Forestry: Guiding Principles and Practice. Dordrecht, The Netherlands: Kluwer Academic Publishers: 165-189.

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Question	Reference to scheme documentation
standards.	<p><a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 11</b></p> <p>Performance Measure 11.1. <i>Program Participants</i> shall require appropriate training of personnel and contractors so that they are competent to fulfill their responsibilities under the <i>SFI 2015-2019 Forest Management Standard</i>.</p> <p><b>Objective 14</b></p> <p>Performance measure 14.2 requires an annual progress report to SFI and Indicator 14.2.2 and 14.2.3 both require record keeping.</p> <p>2. Record keeping for all the categories of information needed for <i>SFI</i> annual progress report surveys.</p> <p>3. Maintenance of copies of past survey reports to document progress and improvements to demonstrate conformance to the <i>SFI 2015-2019 Forest Management Standard</i>.</p> <p>ISO 17021-2011 is a normative document for the SFI 20105-2019 Forest Management Standard. ISO 17021 Clause 9.1.6 requires that organizations maintain records to allow the certification body to examine and verify the structure, policies, processes, procedures, records and related documents relevant to the management system,</p> <p>Documentation requirements are also included throughout the SFI 2015-2019 Forest Management Standard and required by certification bodies.</p> <p>Examples include:  Indicator 1.1.2. Documented current harvest trends...  Indicator 1.1.5. Documentation of forest practices...  Indicator 2.1.1. Documented reforestation plans...</p> <p><b>SFI 2015-2019 Audit Procedures and Auditor Qualifications and Accreditation - SFI Section 9</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-9-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-9-pdf/</a></p> <p>In addition, SFI Section 9 Part 5.4 regarding determination of conformance specifies that certification bodies examine "operating procedures, materials relating to forestry practices and on-the- ground field performance, and through meetings or correspondence with employees, contractors and other third parties (e.g., government agencies, community groups, affected <i>Indigenous Peoples</i>, <i>conservation</i> organizations), as appropriate, to determine conformance to the <i>SFI 2015-2019 Forest Management Standard</i>.</p>
5.1.1 Forest management planning shall aim to maintain or increase forests and other wooded areas and enhance the quality of the economic, ecological, cultural and social values of forest	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>1.4 Forest Management Standard <i>Principles</i></b></p>

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Question	Reference to scheme documentation
<p>resources, including soil and water. This shall be done by making full use of related services and tools that support land-use planning and nature conservation.</p>	<p><i>SFI Program Participants</i> 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 <i>conservation</i> forest land bases. They support <i>sustainable forestry</i> 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, <i>SFI Program Participants</i> shall have a written <i>policy</i> (or <i>policies</i>) to implement and achieve the following <i>principles</i>:</p> <p>1. <i>Sustainable Forestry</i>  To practice <i>sustainable forestry</i> 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 <i>reforestation</i> and the managing, growing, nurturing and harvesting of trees for useful products and <i>ecosystem services</i> such as the <i>conservation</i> of soil, air and water quality, carbon, <i>biological diversity</i>, <i>wildlife</i> and <i>aquatic habitats</i>, recreation and aesthetics.</p> <p>2. <i>Forest Productivity and Health</i>  To provide for regeneration after harvest and maintain the productive capacity of the forest land base, and to protect and maintain <i>long-term</i> forest and soil <i>productivity</i>. In addition, to protect forests from economically or environmentally undesirable levels of wildfire, pests, diseases, <i>invasive exotic plants and animals</i> and other damaging agents and thus maintain and improve <i>long-term forest health</i> and <i>productivity</i>.</p> <p>3. <i>Protection of Water Resources</i>  To protect water bodies and <i>riparian areas</i>, and to conform with forestry <i>best management practices</i> to protect water quality.</p> <p>4. <i>Protection of Biological Diversity</i>  To manage forests in ways that protect and promote <i>biological diversity</i>, including animal and plant species, <i>wildlife habitats</i>, and ecological or natural community types.</p> <p>5. <i>Aesthetics and Recreation</i>  To manage the visual impacts of forest operations, and to provide recreational opportunities for the public.</p> <p>6. <i>Protection of Special Sites</i>  To manage lands that are ecologically, geologically or <i>culturally important</i> in a manner that takes into account their unique qualities.</p> <p>7. <i>Responsible Fiber Sourcing Practices in North America</i>  To use and promote among other forest landowners <i>sustainable forestry</i> practices that are both scientifically credible and economically, environmentally and socially responsible.</p> <p>8. <i>Legal Compliance</i>  To comply with applicable federal, provincial, state, and local <i>forestry</i> and related environmental laws, statutes, and regulations.</p> <p>9. <i>Research</i>  To support advances in sustainable forest management through <i>forestry</i> research, science and technology.</p> <p>10. <i>Training and Education</i>  To improve the practice of <i>sustainable forestry</i> through training and education <i>programs</i>.</p> <p>11. <i>Community Involvement and Social Responsibility</i>  To broaden the practice of <i>sustainable forestry</i> on all lands through community involvement, socially responsible practices, and through recognition and respect of <i>Indigenous Peoples'</i> rights and <i>traditional forest-related knowledge</i>.</p> <p>12. <i>Transparency</i>  To broaden the understanding of forest certification to the <i>Forest Management Standard</i> by documenting certification audits and making the findings publicly available.</p> <p>13. <i>Continual Improvement</i>  To continually improve the practice of forest management, and to monitor, measure and report performance in achieving the commitment to <i>sustainable forestry</i>.</p> <p>Objective 1. Forest Management Planning</p>

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Question	Reference to scheme documentation
	<p>To ensure forest management plans include <i>long-term</i> sustainable harvest levels and measures to avoid forest conversion.</p> <p>Performance Measure 1.1. <i>Program Participants</i> shall ensure that forest management plans include <i>long-term</i> harvest levels that are sustainable and consistent with appropriate <i>growth-and-yield models</i>.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Forest management planning at a level appropriate to the size and scale of the operation, including: <ol style="list-style-type: none"> <li>a. a <i>long-term</i> resources analysis;</li> <li>b. a periodic or ongoing <i>forest inventory</i>;</li> <li>c. a <i>land classification</i> system;</li> <li>d. biodiversity at <i>landscape</i> scales;</li> <li>e. soils inventory and maps, where available;</li> <li>f. access to <i>growth-and-yield modeling</i> capabilities;</li> <li>g. up-to-date maps or a <i>geographic information system (GIS)</i>;</li> <li>h. recommended sustainable harvest levels for areas available for harvest; and</li> <li>i. a review of non-timber issues (e.g., recreation, tourism, pilot projects and economic incentive <i>programs</i> to promote water <i>protection</i>, carbon storage, <i>bioenergy</i> <i>feedstock</i> production, or <i>biological diversity conservation</i>, or to address climate-induced ecosystem change).</li> </ol> </li> <li>2. Documented current harvest trends fall within <i>long-term</i> sustainable levels identified in the forest management plan.</li> <li>3. A <i>forest inventory</i> system and a method to calculate growth and yield.</li> <li>4. Periodic updates of <i>forest inventory</i> and recalculation of planned harvests to account for changes in growth due to <i>productivity</i> increases or decreases, including but not limited to: improved data, <i>long-term</i> drought, fertilization, <i>climate change</i>, changes in forest land ownership and tenure, or <i>forest health</i>.</li> <li>5. Documentation of forest practices (e.g., <i>planting</i>, fertilization and thinning) consistent with assumptions in harvest plans.</li> </ol>
<p>5.1.2 Forest management shall comprise the cycle of inventory and planning, implementation, monitoring and evaluation, and shall include an appropriate assessment of the social, environmental and economic impacts of forest management operations. This shall form a basis for a cycle of continuous improvement to minimise or avoid negative impacts.</p>	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 1. Forest Management Planning</b></p> <p>To ensure forest management plans include <i>long-term</i> sustainable harvest levels and measures to avoid forest conversion.</p> <p>Performance Measure 1.1. <i>Program Participants</i> shall ensure that forest management plans include <i>long-term</i> harvest levels that are sustainable and consistent with appropriate <i>growth-and-yield models</i>.</p> <p>Indicators:</p>

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Question	Reference to scheme documentation
	<ol style="list-style-type: none"> <li>1. Forest management planning at a level appropriate to the size and scale of the operation, including: <ol style="list-style-type: none"> <li>a. a <i>long-term</i> resources analysis;</li> <li>b. a periodic or ongoing <i>forest inventory</i>;</li> <li>c. a <i>land classification</i> system;</li> <li>d. biodiversity at <i>landscape</i> scales;</li> <li>e. soils inventory and maps, where available;</li> <li>f. access to <i>growth-and-yield modeling</i> capabilities;</li> <li>g. up-to-date maps or a <i>geographic information system (GIS)</i>;</li> <li>h. recommended sustainable harvest levels for areas available for harvest; and</li> <li>i. a review of non-timber issues (e.g., recreation, tourism, pilot projects and economic incentive <i>programs</i> to promote water <i>protection</i>, carbon storage, <i>bioenergy feedstock</i> production, or <i>biological diversity conservation</i>, or to address climate-induced ecosystem change).</li> </ol> </li> <li>2. Documented current harvest trends fall within <i>long-term</i> sustainable levels identified in the forest management plan.</li> <li>3. A <i>forest inventory</i> system and a method to calculate growth and yield.</li> <li>4. Periodic updates of <i>forest inventory</i> and recalculation of planned harvests to account for changes in growth due to <i>productivity</i> increases or decreases, including but not limited to: improved data, <i>long-term</i> drought, fertilization, <i>climate change</i>, changes in forest land ownership and tenure, or <i>forest health</i>.</li> <li>5. Documentation of forest practices (e.g., <i>planting</i>, fertilization and thinning) consistent with assumptions in harvest plans.</li> </ol>
<p>5.1.3 Inventory and mapping of forest resources shall be established and maintained, adequate to local and national conditions and in correspondence with the topics described in this document.</p>	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 1. Forest Management Planning</b>  To ensure forest management plans include <i>long-term</i> sustainable harvest levels and measures to avoid forest conversion.</p> <p>Performance Measure 1.1. <i>Program Participants</i> shall ensure that forest management plans include <i>long-term</i> harvest levels that are sustainable and consistent with appropriate <i>growth-and-yield models</i>.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Forest management planning at a level appropriate to the size and scale of the operation, including: <ol style="list-style-type: none"> <li>a. a <i>long-term</i> resources analysis;</li> <li>b. a periodic or ongoing <i>forest inventory</i>;</li> <li>c. a <i>land classification</i> system;</li> <li>d. biodiversity at <i>landscape</i> scales;</li> <li>e. soils inventory and maps, where available;</li> <li>f. access to <i>growth-and-yield modeling</i> capabilities;</li> </ol> </li> </ol>

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Question	Reference to scheme documentation
	<ul style="list-style-type: none"> <li>g. up-to-date maps or a <i>geographic information system (GIS)</i>;</li> <li>h. recommended sustainable harvest levels for areas available for harvest; and</li> <li>i. a review of non-timber issues (e.g., recreation, tourism, pilot projects and economic incentive <i>programs</i> to promote water <i>protection</i>, carbon storage, <i>bioenergy feedstock</i> production, or <i>biological diversity conservation</i>, or to address climate-induced ecosystem change).</li> </ul>
<p>5.1.4 Management plans or their equivalents, appropriate to the size and use of the forest area, shall be elaborated and periodically updated. They shall be based on legislation as well as existing land-use plans, and adequately cover the forest resources.</p>	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 1. Forest Management Planning</b>  To ensure forest management plans include <i>long-term</i> sustainable harvest levels and measures to avoid forest conversion.</p> <p>Performance Measure 1.1. <i>Program Participants</i> shall ensure that forest management plans include <i>long-term</i> harvest levels that are sustainable and consistent with appropriate <i>growth-and-yield models</i>.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Forest management planning at a level appropriate to the size and scale of the operation, including: <ul style="list-style-type: none"> <li>a. a <i>long-term</i> resources analysis;</li> <li>b. a periodic or ongoing <i>forest inventory</i>;</li> <li>c. a <i>land classification</i> system;</li> <li>d. biodiversity at <i>landscape</i> scales;</li> <li>e. soils inventory and maps, where available;</li> <li>f. access to <i>growth-and-yield modeling</i> capabilities;</li> <li>g. up-to-date maps or a <i>geographic information system (GIS)</i>;</li> <li>h. recommended sustainable harvest levels for areas available for harvest; and</li> <li>i. a review of non-timber issues (e.g., recreation, tourism, pilot projects and economic incentive <i>programs</i> to promote water <i>protection</i>, carbon storage, <i>bioenergy feedstock</i> production, or <i>biological diversity conservation</i>, or to address climate-induced ecosystem change).</li> </ul> </li> <li>2. Documented current harvest trends fall within <i>long-term</i> sustainable levels identified in the forest management plan.</li> <li>3. A <i>forest inventory</i> system and a method to calculate growth and yield.</li> <li>4. Periodic updates of <i>forest inventory</i> and recalculation of planned harvests to account for changes in growth due to <i>productivity</i> increases or decreases, including but not limited to: improved data, <i>long-term</i> drought, fertilization, <i>climate change</i>, changes in forest land ownership and tenure, or <i>forest health</i>.</li> <li>5. Documentation of forest practices (e.g., <i>planting</i>, fertilization and thinning) consistent with assumptions in harvest plans.</li> </ol> <p><b>Objective 9. Legal and Regulatory Compliance</b>  To comply with applicable federal, provincial, state and local laws and regulations.</p> <p>Performance Measure 9.1. <i>Program Participants</i> shall comply with applicable federal, provincial, state and local <i>forestry</i> and related social and environmental laws and regulations.</p>



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	<p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Access to relevant laws and regulations in appropriate locations.</li> <li>2. System to achieve compliance with applicable federal, provincial, state, or local laws and regulations.</li> <li>3. Demonstration of commitment to legal compliance through <i>available regulatory action information</i>.</li> </ol> <p>Performance Measure 9.2. <i>Program Participants</i> 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 <i>Program Participant</i> operates.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Written <i>policy</i> demonstrating commitment to comply with social laws, such as those covering civil rights, equal employment opportunities, anti-discrimination and anti-harassment measures, workers’ compensation, <i>Indigenous Peoples’</i> rights, workers’ and communities’ right to know, prevailing wages, workers’ right to organize, and occupational health and safety.</li> <li>2. <i>Forestry enterprises</i> will respect the rights of workers and labor representatives in a manner that encompasses the intent of the International Labor Organization (ILO) core conventions.</li> </ol>
<p>5.1.5 Management plans or their equivalents shall include at least a description of the current condition of the forest management unit, long-term objectives; and the average annual allowable cut, including its justification and, where relevant, the annually allowable exploitation of non-timber forest products.</p> <p>Note: The identification of annually allowable exploitation of non-timber forest products is required where forest management covers commercial exploitation of non-timber forest products at a level which can have an impact on the long-term sustainability of non-timber forest products.</p>	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 1. Forest Management Planning</b>  To ensure forest management plans include <i>long-term</i> sustainable harvest levels and measures to avoid forest conversion.</p> <p>Performance Measure 1.1. <i>Program Participants</i> shall ensure that forest management plans include <i>long-term</i> harvest levels that are sustainable and consistent with appropriate <i>growth-and-yield models</i>.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Forest management planning at a level appropriate to the size and scale of the operation, including: <ol style="list-style-type: none"> <li>a. a <i>long-term</i> resources analysis;</li> <li>b. a periodic or ongoing <i>forest inventory</i>;</li> <li>c. a <i>land classification</i> system;</li> <li>d. biodiversity at <i>landscape</i> scales;</li> <li>e. soils inventory and maps, where available;</li> <li>f. access to <i>growth-and-yield modeling</i> capabilities;</li> <li>g. up-to-date maps or a <i>geographic information system (GIS)</i>;</li> <li>h. recommended sustainable harvest levels for areas available for harvest; and</li> <li>i. a review of non-timber issues (e.g., recreation, tourism, pilot projects and economic incentive <i>programs</i> to promote water <i>protection</i>, carbon storage, <i>bioenergy feedstock</i> production, or <i>biological diversity conservation</i>, or to address climate-induced ecosystem change).</li> </ol> </li> <li>2. Documented current harvest trends fall within <i>long-term</i> sustainable levels identified in the forest management plan.</li> <li>3. A <i>forest inventory</i> system and a method to calculate growth and yield.</li> </ol>

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	<p>4. Periodic updates of <i>forest inventory</i> and recalculation of planned harvests to account for changes in growth due to <i>productivity</i> increases or decreases, including but not limited to: improved data, <i>long-term</i> drought, fertilization, <i>climate change</i>, changes in forest land ownership and tenure, or <i>forest health</i>.</p> <p>5. Documentation of forest practices (e.g., <i>planting</i>, fertilization and thinning) consistent with assumptions in harvest plans.</p>
<p>5.1.6 A summary of the forest management plan or its equivalent appropriate to the scope and scale of forest management, which contains information about the forest management measures to be applied, is publicly available. The summary may exclude confidential business and personal information and other information made confidential by national legislation or for the protection of cultural sites or sensitive natural resource features.</p>	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>Communications and Public Reporting – Section 10</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-10-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-10-pdf/</a></p> <p>A <i>Program Participant</i> shall provide a summary audit report (one copy must be in English) to <i>SFI Inc.</i> after the successful completion of certification, recertification, or surveillance audit to the <i>SFI 2015-2019 Forest Management</i> or <i>Fiber Sourcing Standard</i>. The summary audit report will be posted on the <i>SFI Inc.</i> website (<a href="http://www.sfiprogram.org">www.sfiprogram.org</a>) for public review.</p> <p>SFI Section 10 - Preparing and Submitting a Public Report</p> <ol style="list-style-type: none"> <li>1. The certification body shall prepare the SFI 2015-2019 Forest Management Standard summary audit report, which shall include, at a minimum: <ol style="list-style-type: none"> <li>a. a description of the audit process, objectives and scope; This shall include: <ul style="list-style-type: none"> <li>• the specific SFI objectives that were within the scope of the audit</li> <li>• strata, location and number of sites sampled and the percentage of sites sampled within each stratum;</li> <li>• the sampling approach, including the number of roads, harvesting blocks and silviculture sites physically inspected during the audit.</li> </ul> </li> <li>b. a description of substitute indicators, if any, used in the audit and a rationale for each;</li> <li>c. the name of Program Participant that was audited, including its SFI representative;</li> <li>d. a general description of the Program Participant's forest land and manufacturing operations included in the audits; <ul style="list-style-type: none"> <li>This shall include: <ul style="list-style-type: none"> <li>• a general description of the management plan outlining forest management policies and objectives;</li> <li>• an outline of the area of ownership (including the number of acres/hectares under management and key ecological features);</li> <li>• a general description of major timber types with a general characterization of management approaches used (natural regeneration vs. planting, thinning regimes, even-aged vs. uneven-aged silvicultural).</li> <li>• The long-term harvest level and the participant's conformance to this.</li> </ul> </li> </ul> </li> <li>e. a description of the audit team. This shall include the names and professional qualifications of the lead auditor, all audit team members and any technical experts who participated in the audit. This may include the names and affiliations of any audit observers and an explanation of their role;</li> <li>f. the dates the audit was conducted and completed. This shall include the number of auditor days spent to conduct the audit, broken down by auditor time spent off and on-site. This shall include the specific woods operations visited if there is more than one operation/region associated with the certificate, and</li> <li>g. a summary of the findings, including general descriptions of evidence of conformity and any nonconformities (reported at the level of the Performance Measure) and corrective action plans to address them, opportunities for improvement, and exceptional practices.</li> </ol> </li> </ol>

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	<p>This shall include:</p> <ul style="list-style-type: none"><li>• a description of the evidence examined for each SFI objective within the scope of the audit.</li><li>• an update on the status of previous non-conformities, if any.</li></ul> <p>h. the certification decision. The <i>certification body</i> shall prepare the summary audit report, which shall include, at a minimum:</p> <ul style="list-style-type: none"><li>a. a description of the audit process, <i>objectives</i> and scope;</li><li>b. a description of substitute <i>indicators</i>, if any, used in the audit and a rationale for each;</li><li>c. the name of <i>Program Participant</i> that was audited, including its <i>SFI</i> representative;</li><li>d. a general description of the <i>Program Participant's</i> forest land, fiber procurement and manufacturing operations included in the audits;</li><li>e. the name of the <i>certification body</i> and <i>lead auditor</i> (names of the <i>audit team</i> members, including <i>technical experts</i> may be included at the discretion of the <i>audit team</i> and <i>Program Participant</i>);</li><li>f. the dates the audit was conducted and completed;</li><li>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</li><li>h. the certification decision.</li></ul> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b> <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 14. Communications and Public Reporting.</b> To increase transparency and to annually report progress on conformance with the <i>SFI Forest Management Standard</i>.</p> <p>Performance Measure 14.1. A <i>Program Participant</i> shall provide a summary audit report, prepared by the <i>certification body</i>, to <i>SFI Inc.</i> after the successful completion of a certification, recertification or surveillance audit to the <i>SFI 2015-2019 Forest Management Standard</i>.</p> <p>Indicator:</p> <ul style="list-style-type: none"><li>1. The summary audit report submitted by the <i>Program Participant</i> (one copy must be in English), shall include, at a minimum,<ul style="list-style-type: none"><li>a. a description of the audit process, <i>objectives</i> and scope;</li><li>b. a description of substitute <i>indicators</i>, if any, used in the audit and a rationale for each;</li><li>c. the name of <i>Program Participant</i> that was audited, including its <i>SFI</i> representative;</li><li>d. a general description of the <i>Program Participant's</i> forestland included in the audit;</li><li>e. the name of the <i>certification body</i> and <i>lead auditor</i> (names of the <i>audit team</i> members, including <i>technical experts</i> may be included at the discretion of the <i>audit team</i> and <i>Program Participant</i>);</li><li>f. the dates the audit was conducted and completed;</li><li>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</li><li>h. the certification decision.</li></ul></li></ul> <p>The summary audit report will be posted on the <i>SFI Inc.</i> website (<a href="http://www.sfiprogram.org">www.sfiprogram.org</a>) for public review.</p>

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	<p>Performance Measure 14.2. <i>Program Participants</i> shall report annually to <i>SFI Inc.</i> on their conformance with the <i>SFI 2015-2019 Forest Management Standard</i>.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Prompt response to the <i>SFI</i> annual progress report survey.</li> <li>2. Record keeping for all the categories of information needed for <i>SFI</i> annual progress report surveys.</li> <li>3. Maintenance of copies of past survey reports to document progress and improvements to demonstrate conformance to the <i>SFI 2015-2019 Forest Management Standard</i>.</li> </ol>
<p>5.1.7 Monitoring of forest resources and evaluation of their management shall be periodically performed, and results fed back into the planning process.</p>	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 15. Management Review and Continual Improvement.</b> To promote continual improvement in the practice of <i>sustainable forestry</i> by conducting a management review and monitoring performance.</p> <p>Performance Measure 15.1. <i>Program Participants</i> shall establish a management review system to examine findings and progress in implementing the <i>SFI 2015-2019 Forest Management Standard</i>, to make appropriate improvements in <i>programs</i>, and to inform their employees of changes.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. System to review commitments, <i>programs</i> and procedures to evaluate effectiveness.</li> <li>2. System for collecting, reviewing, and reporting information to management regarding progress in achieving <i>SFI 2015-2019 Forest Management Standard objectives and performance measures</i>.</li> <li>3. Annual review of progress by management and determination of changes and improvements necessary to continually improve conformance to the <i>SFI 2015-2019 Forest Management Standard</i>.</li> </ol>
<p>5.1.8 Responsibilities for sustainable forest management shall be clearly defined and assigned.</p>	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 11. Training and Education.</b> To improve the implementation of <i>sustainable forestry</i> practices through appropriate training and education <i>programs</i>.</p> <p>Performance Measure 11.1. <i>Program Participants</i> shall require appropriate training of personnel and contractors so that they are competent to fulfill their responsibilities under the <i>SFI 2015-2019 Forest Management Standard</i>.</p>

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	<p>Indicators:</p> <ol style="list-style-type: none"> <li>2. Assignment and understanding of roles and responsibilities for achieving <i>SFI 2015-2019 Forest Management Standard objectives</i>.</li> <li>3. Staff education and training sufficient to their roles and responsibilities.</li> <li>4. Contractor education and training sufficient to their roles and responsibilities.</li> <li>5. <i>Program Participants</i> shall have written agreements for the use of <i>qualified logging professionals</i> and/or <i>certified logging professionals</i> (where available) and/or <i>wood producers</i> that have completed training <i>programs</i> and are recognized as <i>qualified logging professionals</i>.</li> </ol>
<p>5.1.9 Forest management practices shall safeguard the quantity and quality of the forest resources in the medium and long term by balancing harvesting and growth rates, and by preferring techniques that minimise direct or indirect damage to forest, soil or water resources.</p>	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 1. Forest Management Planning</b>  To ensure forest management plans include <i>long-term</i> sustainable harvest levels and measures to avoid forest conversion.</p> <p>Performance Measure 1.1. <i>Program Participants</i> shall ensure that forest management plans include <i>long-term</i> harvest levels that are sustainable and consistent with appropriate <i>growth-and-yield models</i>.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Forest management planning at a level appropriate to the size and scale of the operation, including: <ol style="list-style-type: none"> <li>a. a <i>long-term</i> resources analysis;</li> <li>b. a periodic or ongoing <i>forest inventory</i>;</li> <li>c. a <i>land classification</i> system;</li> <li>d. biodiversity at <i>landscape</i> scales;</li> <li>e. soils inventory and maps, where available;</li> <li>f. access to <i>growth-and-yield modeling</i> capabilities;</li> <li>g. up-to-date maps or a <i>geographic information system (GIS)</i>;</li> <li>h. recommended sustainable harvest levels for areas available for harvest; and</li> <li>i. a review of non-timber issues (e.g., recreation, tourism, pilot projects and economic incentive <i>programs</i> to promote water <i>protection</i>, carbon storage, <i>bioenergy feedstock</i> production, or <i>biological diversity conservation</i>, or to address climate-induced ecosystem change).</li> </ol> </li> <li>2. Documented current harvest trends fall within <i>long-term</i> sustainable levels identified in the forest management plan.</li> <li>3. A <i>forest inventory</i> system and a method to calculate growth and yield.</li> <li>4. Periodic updates of <i>forest inventory</i> and recalculation of planned harvests to account for changes in growth due to <i>productivity</i> increases or decreases, including but not limited to: improved data, <i>long-term</i> drought, fertilization, <i>climate change</i>, changes in forest land ownership and tenure, or <i>forest health</i>.</li> <li>5. Documentation of forest practices (e.g., <i>planting</i>, fertilization and thinning) consistent with assumptions in harvest plans.</li> </ol> <p><b>Objective 2. Forest Health and Productivity</b> - To ensure long-term forest productivity, carbon storage and conservation of forest resources through prompt reforestation, afforestation, minimized chemical use, soil conservation, and protecting forests from damaging agents.</p>

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	<p>Performance Measures 2.1 <i>Program Participants</i> shall promptly reforest after final harvest.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Documented <i>reforestation</i> plans, including designation of all harvest areas for either natural, planted or direct seeded regeneration and prompt <i>reforestation</i>, unless delayed for site-specific environmental or <i>forest health</i> considerations or legal requirements, through <i>planting</i> within two years or two <i>planting</i> seasons, or by planned <i>natural regeneration</i> methods within five years.</li> <li>2. Clear criteria to judge adequate regeneration and appropriate actions to correct understocked areas and achieve acceptable species composition and stocking rates for <i>planting</i>, <i>direct seeding</i> and <i>natural regeneration</i>.</li> <li>3. <i>Plantings</i> of <i>exotic tree species</i> should <i>minimize</i> risk to <i>native</i> ecosystems.</li> <li>4. <i>Protection</i> of desirable or planned advanced <i>natural regeneration</i> during harvest.</li> <li>5. <i>Afforestation programs</i> that consider potential ecological impacts of the selection and <i>planting</i> of tree species in non-forested <i>landscapes</i>.</li> </ol> <p>Performance Measure 2.2 <i>Program Participants</i> shall <i>minimize</i> chemical use required to achieve management <i>objectives</i> while protecting employees, neighbors, the public and the environment, including <i>wildlife</i> and <i>aquatic habitats</i>.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. <i>Minimized</i> chemical use required to achieve management <i>objectives</i>.</li> <li>2. Use of <i>least-toxic and narrowest-spectrum pesticides</i> necessary to achieve management <i>objectives</i>.</li> <li>3. Use of pesticides registered for the intended use and applied in accordance with label requirements.</li> <li>4. The World Health Organization (WHO) type 1A and 1B pesticides shall be prohibited, except where no other viable alternative is available.</li> <li>5. Use of pesticides banned under the Stockholm Convention on Persistent Organic Pollutants (2001) shall be prohibited.</li> <li>6. Use of <i>integrated pest management</i> where feasible.</li> <li>7. Supervision of forest chemical applications by state- or provincial-trained or certified applicators.</li> <li>8. Use of management practices appropriate to the situation, for example: <ol style="list-style-type: none"> <li>a. notification of adjoining landowners or nearby residents concerning applications and chemicals used;</li> <li>b. appropriate multilingual signs or oral warnings;</li> <li>c. control of public road access during and immediately after applications;</li> <li>d. designation of streamside and other needed buffer strips;</li> <li>e. use of positive shutoff and minimal-drift spray valves;</li> <li>f. aerial application of forest chemicals parallel to buffer zones to <i>minimize</i> drift;</li> </ol> </li> </ol>

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	<p>g. monitoring of water quality or safeguards to ensure proper equipment use and <i>protection</i> of streams, lakes and other water bodies;</p> <p>h. appropriate transportation and storage of chemicals;</p> <p>i. filing of required state or provincial reports; and/or</p> <p>j. use of methods to ensure <i>protection of threatened and endangered</i> species.</p> <p>Performance Measure 2.3 <i>Program Participants</i> shall implement forest management practices to protect and maintain forest and soil <i>productivity</i>. Indicators:</p> <p>1. Process to identify soils vulnerable to compaction, and use of appropriate methods, including the use of soil maps where available, to avoid excessive soil disturbance.</p> <p>2. Use of erosion control measures to <i>minimize</i> the loss of soil and site <i>productivity</i>.</p> <p>3. Post-harvest conditions conducive to maintaining site <i>productivity</i> (e.g., limited rutting, retained down woody debris, <i>minimized skid trails</i>).</p> <p>4. Retention of vigorous trees during partial harvesting, consistent with scientific silvicultural standards for the area.</p> <p>5. Criteria that address harvesting and site preparation to protect soil <i>productivity</i>.</p> <p>6. Road construction and skidding layout to <i>minimize</i> impacts to soil <i>productivity</i>.</p> <p>Performance Measure 2.4 <i>Program Participants</i> shall manage so as to protect forests from damaging agents, such as environmentally or economically undesirable wildfire, pests, diseases and <i>invasive exotic plants and animals</i>, to maintain and improve <i>long-term forest health, productivity</i> and <i>economic viability</i>. Indicators:</p> <p>1. <i>Program</i> to protect forests from damaging agents.</p> <p>2. Management to promote healthy and productive forest conditions to <i>minimize</i> susceptibility to damaging agents.</p> <p>3. Participation in, and support of, fire and pest prevention and control <i>programs</i>.</p> <p>Performance Measure 2.5 <i>Program Participants</i> that deploy <i>improved planting stock</i>, including <i>varietal seedlings</i>, shall use best scientific methods. Indicator:</p> <p>1. <i>Program</i> for appropriate research, testing, evaluation and deployment of <i>improved planting stock</i>, including <i>varietal seedlings</i>.</p>
5.1.10 Appropriate silvicultural	<b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b>



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measures shall be taken to maintain or reach a level of the growing stock that is economically, ecologically and socially desirable.	<p><b>SFI 2015-2019 Forest Management Standard - Section 2</b> <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 2 – Forest Health and Productivity</b> and the indicators for the Performance Measures below.</p> <p>Performance Measure 2.1.</p> <p>Indicators:</p> <ol style="list-style-type: none"><li>1. Documented <i>reforestation</i> plans, including designation of all harvest areas for either natural, planted or direct seeded regeneration and prompt <i>reforestation</i>, unless delayed for site-specific environmental or <i>forest health</i> considerations or legal requirements, through <i>planting</i> within two years or two <i>planting</i> seasons, or by planned <i>natural regeneration</i> methods within five years.</li><li>2. Clear criteria to judge adequate regeneration and appropriate actions to correct understocked areas and achieve acceptable species composition and stocking rates for <i>planting</i>, <i>direct seeding</i> and <i>natural regeneration</i>.</li><li>3. <i>Plantings</i> of <i>exotic tree species</i> should <i>minimize</i> risk to <i>native</i> ecosystems.</li><li>4. <i>Protection</i> of desirable or planned advanced <i>natural regeneration</i> during harvest.</li><li>5. <i>Afforestation programs</i> that consider potential ecological impacts of the selection and <i>planting</i> of tree species in non-forested <i>landscapes</i>.</li></ol> <p>Performance Measure 2.2. 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.</p> <p>Indicators:</p> <ol style="list-style-type: none"><li>1. <i>Minimized</i> chemical use required to achieve management <i>objectives</i>.</li><li>2. Use of <i>least-toxic and narrowest-spectrum pesticides</i> necessary to achieve management <i>objectives</i>.</li><li>3. Use of pesticides registered for the intended use and applied in accordance with label requirements.</li><li>4. The World Health Organization (WHO) type 1A and 1B pesticides shall be prohibited, except where no other viable alternative is available.</li><li>5. Use of pesticides banned under the Stockholm Convention on Persistent Organic Pollutants (2001) shall be prohibited.</li><li>6. Use of <i>integrated pest management</i> where feasible.</li><li>7. Supervision of forest chemical applications by state- or provincial-trained or certified applicators.</li><li>8. Use of management practices appropriate to the situation, for example:</li></ol>

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	<div><div><div>a. notification of adjoining landowners or nearby residents concerning applications and chemicals used;</div><div>b. appropriate multilingual signs or oral warnings;</div><div>c. control of public road access during and immediately after applications;</div><div>d. designation of streamside and other needed buffer strips;</div><div>e. use of positive shutoff and minimal-drift spray valves;</div><div>f. aerial application of forest chemicals parallel to buffer zones to <i>minimize</i> drift;</div><div>g. monitoring of water quality or safeguards to ensure proper equipment use and <i>protection</i> of streams, lakes and other water bodies;</div><div>h. appropriate transportation and storage of chemicals;</div><div>i. filing of required state or provincial reports; and/or</div><div>j. use of methods to ensure <i>protection of threatened and endangered</i> species.</div></div><p>Performance Measure 2.3. Program Participants shall implement forest management practices to protect and maintain forest and soil productivity.</p><p>Indicators:</p><div><div>1. Process to identify soils vulnerable to compaction, and use of appropriate methods, including the use of soil maps where available, to avoid excessive soil disturbance.</div><div>2. Use of erosion control measures to <i>minimize</i> the loss of soil and site <i>productivity</i>.</div><div>3. Post-harvest conditions conducive to maintaining site <i>productivity</i> (e.g., limited rutting, retained down woody debris, <i>minimized skid trails</i>).</div><div>4. Retention of vigorous trees during partial harvesting, consistent with scientific silvicultural standards for the area.</div><div>5. Criteria that address harvesting and site preparation to protect soil <i>productivity</i>.</div><div>6. Road construction and skidding layout to <i>minimize</i> impacts to soil <i>productivity</i>.</div></div><p>Performance Measure 2.4. 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.</p><p>Indicators:</p><div><div>1. <i>Program</i> to protect forests from damaging agents.</div><div>2. Management to promote healthy and productive forest conditions to <i>minimize</i> susceptibility to damaging agents.</div><div>3. Participation in, and support of, fire and pest prevention and control <i>programs</i>.</div></div></div>

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	<p>Performance Measure 2.5. Program Participants that deploy improved planting stock, including varietal seedlings, shall use best scientific methods.</p> <p>Indicator:</p> <p>1. <i>Program</i> for appropriate research, testing, evaluation and deployment of <i>improved planting stock</i>, including <i>varietal seedlings</i>.</p> <p><b>Objective 1 – Forest Management Planning</b></p> <p>Also, Performance Measure 1.1 <i>Program Participants</i> shall ensure that forest management plans include <i>long-term</i> harvest levels that are sustainable and consistent with appropriate <i>growth-and-yield models</i> covers economically desirable levels of stocking</p> <p>Performance Measure 1.2 <i>Program Participants</i> shall not convert one <i>forest cover type</i> to another <i>forest cover type</i>, unless in justified circumstances &amp; Performance Measure 1.3 <i>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</i> cover ecologically and socially desirable levels of stocking.</p>
<p>5.1.11 Conversion of forests to other types of land use, including conversion of primary forests to forest plantations, shall not occur unless in justified circumstances where the conversion:</p> <p>a) is in compliance with national and regional policy and legislation relevant for land use and forest management and is a result of national or regional land-use planning governed by a governmental or other official authority including consultation with materially and directly interested persons and organisations; and</p> <p>b) entails a small proportion of forest type; and</p> <p>c) does not have negative impacts on threatened (including vulnerable, rare or endangered) forest ecosystems, culturally and socially significant areas, important habitats of threatened species or other protected areas; and</p>	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 1 – Forest Management Planning</b></p> <p>Performance Measure 1.2. <i>Program Participants</i> shall not convert one <i>forest cover type</i> to another <i>forest cover type</i>, unless in justified circumstances.</p> <p>Indicators:</p> <p>1. <i>Program Participants</i> shall not convert one <i>forest cover type</i> to another <i>forest cover type</i>, unless the conversion:</p> <ol style="list-style-type: none"> <li>Is in compliance with relevant national and regional <i>policy</i> and legislation related to land use and forest management; and</li> <li>Would not convert <i>native</i> forest types that are rare and ecologically significant at the <i>landscape</i> level or put any <i>native</i> forest types at risk of becoming rare; and</li> <li>Does not create significant <i>long-term</i> adverse impacts on <i>Forests with Exceptional Conservation Value, old-growth forests</i>, forests critical to <i>threatened and endangered</i> species, and <i>special sites</i>.</li> </ol> <p>2. Where a <i>Program Participant</i> intends to convert another <i>forest cover type</i>, an assessment considers:</p> <ol style="list-style-type: none"> <li><i>Productivity</i> and <i>stand</i> quality conditions and impacts which may include social and economic values;</li> <li>Specific ecosystem issues related to the site such as invasive species, insect or disease issues, riparian <i>protection</i> needs and others as appropriate to site including regeneration challenges; and</li> <li>Ecological impacts of the conversion including a review at the site and <i>landscape</i> scale as well as consideration for any appropriate mitigation measures.</li> </ol> <p>Performance Measure 1.3. <i>Program Participants</i> shall not have within the scope of their certification to this <i>SFI Standard</i>, forest lands that have been converted to non-forest land use.</p>

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<p>d) makes a contribution to long-term conservation, economic, and social benefits.</p>	<p>Indicator:  1. Forest lands converted to other land uses shall not be certified to this <i>SFI Standard</i>. This does not apply to forest lands used for forest and <i>wildlife</i> management such as <i>wildlife</i> food plots or infrastructure such as forest roads, log processing areas, trails etc.</p> <p><b>Guidance to the SFI 2015-2019 Standards and Rules - SFI Section 6</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-6-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-6-pdf/</a></p> <p>3.1 Conversion of One <i>Forest Cover Type</i> to Another <i>Forest Cover Type</i></p> <p>The intent of Performance Measure 1.2 is to outline the limitations on conversion and the due diligence process to be followed when converting to a different <i>forest cover type</i>. Limitations exist where the conversion is unlawful, threatens rare and ecologically significant <i>native</i> forest types, or where <i>long-term</i> adverse impacts are expected on species, <i>habitats</i> or <i>special sites</i> already protected by the <i>SFI 2015-2019 Forest Management Standard</i>.</p> <p>In situations where a <i>Program Participant</i> intends to convert from one <i>forest cover type</i> to another <i>forest cover type</i>, the <i>Program Participant</i> is expected to demonstrate proficiency of assessment of the conditions outlined in <i>Indicator 1.2.2</i>.</p> <p>The formality of the assessment has not been prescribed and therefore, <i>Program Participants</i> are able to structure the assessment in accordance with the scope and scale of their organization and scale of the intended conversion.</p> <p>It is not the intent of Performance Measure 1.2 to limit activities that are of ecological benefit, such as returning a site to a historical <i>forest cover type</i>, responding to <i>forest health</i> concerns, or mitigating present or future environmental harm (e.g., <i>climate change</i>).</p>
<p>5.1.12 Conversion of abandoned agricultural and treeless land into forest land shall be taken into consideration, whenever it can add economic, ecological, social and/or cultural value.</p>	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p>1.1 Scope</p> <p>The SFI 2015-2019 Forest Management Standard promotes sustainable forestry practices based on 13 Principles, 15 Objectives, 37 Performance Measures and 101 Indicators. These requirements include measures to protect water quality, biodiversity, wildlife habitat, species at risk and Forests with Exceptional Conservation Value.</p> <p>The SFI 2015-2019 Forest Management Standard applies to any organization that owns or has management authority for forestlands.</p> <p>Performance Measure 2.1. <i>Program Participants</i> shall promptly reforest after final harvest.</p> <p>Indicators:  5. <i>Afforestation programs</i> that consider potential ecological impacts of the selection and <i>planting</i> of tree species in non-forested <i>landscapes</i>.</p>

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	<p><b>Guidance to the SFI 2015-2019 Standards and Rules - SFI Section 6</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-6-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-6-pdf/</a></p> <p>2. Application of the SFI 2015-2019 Forest Management Standard and SFI 2015-2019 Fiber Sourcing Standards</p> <p>The SFI 2015-2019 Forest Management Standard and SFI 2015-2019 Fiber Sourcing Standards apply to management of and sourcing from forests throughout the United States and Canada where management intensities are characterized by managed natural forests and plantation forestry, regardless of the forest products derived from management of such forests. The figure (Figure 1) below illustrates the spectrum of forest management systems. The SFI 2015-2019 Forest Management Standard and SFI 2015-2019 Fiber Sourcing Standard are intended to apply to forest management systems that are classified as natural forest systems, managed natural forests and plantation forests. Management operations that are classified as short rotation woody crops or <u>agro-forestry</u> are not within the scope of the SFI 2015-2019 Standards and Rules.</p>
<p>5.2.1 Forest management planning shall aim to maintain and increase the health and vitality of forest ecosystems and to rehabilitate degraded forest ecosystems, whenever this is possible by silvicultural means.</p>	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 1. Forest Management Planning</b>  To ensure forest management plans include <i>long-term</i> sustainable harvest levels and measures to avoid forest conversion.</p> <p>Performance Measure 1.1. <i>Program Participants</i> shall ensure that forest management plans include <i>long-term</i> harvest levels that are sustainable and consistent with appropriate <i>growth-and-yield models</i>.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Forest management planning at a level appropriate to the size and scale of the operation, including: <ol style="list-style-type: none"> <li>a. a <i>long-term</i> resources analysis;</li> <li>b. a periodic or ongoing <i>forest inventory</i>;</li> <li>c. a <i>land classification</i> system;</li> <li>d. <i>biodiversity</i> at <i>landscape</i> scales;</li> <li>e. soils inventory and maps, where available;</li> <li>f. access to <i>growth-and-yield modeling</i> capabilities;</li> <li>g. up-to-date maps or a <i>geographic information system (GIS)</i>;</li> <li>h. recommended sustainable harvest levels for areas available for harvest; and</li> <li>i. a review of non-timber issues (e.g., recreation, tourism, pilot projects and economic incentive <i>programs</i> to promote water <i>protection</i>, carbon storage, <i>bioenergy</i> <i>feedstock</i> production, or <i>biological diversity conservation</i>, or to address climate-induced ecosystem change).</li> </ol> </li> <li>2. Documented current harvest trends fall within <i>long-term</i> sustainable levels identified in the forest management plan.</li> <li>3. A <i>forest inventory</i> system and a method to calculate growth and yield.</li> </ol>

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	<p>4. Periodic updates of <i>forest inventory</i> and recalculation of planned harvests to account for changes in growth due to <i>productivity</i> increases or decreases, including but not limited to: improved data, <i>long-term</i> drought, fertilization, <i>climate change</i>, changes in forest land ownership and tenure, or <i>forest health</i>.</p> <p>5. Documentation of forest practices (e.g., <i>planting</i>, fertilization and thinning) consistent with assumptions in harvest plans.</p> <p><b>Objective 2 – Forest Health and Productivity</b></p> <p>Performance Measure 2.1. <i>Program Participants</i> shall promptly reforest after final harvest.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Documented <i>reforestation</i> plans, including designation of all harvest areas for either natural, planted or direct seeded regeneration and prompt <i>reforestation</i>, unless delayed for site-specific environmental or <i>forest health</i> considerations or legal requirements, through <i>planting</i> within two years or two <i>planting</i> seasons, or by planned <i>natural regeneration</i> methods within five years.</li> <li>2. Clear criteria to judge adequate regeneration and appropriate actions to correct understocked areas and achieve acceptable species composition and stocking rates for <i>planting</i>, <i>direct seeding</i> and <i>natural regeneration</i>.</li> <li>3. <i>Plantings</i> of <i>exotic tree species</i> should <i>minimize</i> risk to <i>native</i> ecosystems.</li> <li>4. <i>Protection</i> of desirable or planned advanced <i>natural regeneration</i> during harvest.</li> <li>5. <i>Afforestation programs</i> that consider potential ecological impacts of the selection and <i>planting</i> of tree species in non-forested <i>landscapes</i>.</li> </ol> <p>Performance Measure 2.3. <i>Program Participants</i> shall implement forest management practices to protect and maintain forest and soil <i>productivity</i>.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Process to identify soils vulnerable to compaction, and use of appropriate methods, including the use of soil maps where available, to avoid excessive soil disturbance.</li> <li>2. Use of erosion control measures to <i>minimize</i> the loss of soil and site <i>productivity</i>.</li> <li>3. Post-harvest conditions conducive to maintaining site <i>productivity</i> (e.g., limited rutting, retained down woody debris, <i>minimized skid trails</i>).</li> <li>4. Retention of vigorous trees during partial harvesting, consistent with scientific silvicultural standards for the area.</li> <li>5. Criteria that address harvesting and site preparation to protect soil <i>productivity</i>.</li> <li>6. Road construction and skidding layout to <i>minimize</i> impacts to soil <i>productivity</i>.</li> </ol> <p>Performance Measure 2.4. <i>Program Participants</i> shall manage so as to protect forests from damaging agents, such as environmentally or economically undesirable wildfire, pests, diseases and <i>invasive exotic plants and animals</i>, to maintain and improve <i>long-term forest health</i>, <i>productivity</i> and <i>economic viability</i>.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. <i>Program</i> to protect forests from damaging agents.</li> <li>2. Management to promote healthy and productive forest conditions to <i>minimize</i> susceptibility to damaging agents.</li> <li>3. Participation in, and support of, fire and pest prevention and control <i>programs</i>.</li> </ol> <p>Performance Measure 2.5. <i>Program Participants</i> that deploy <i>improved planting stock</i>, including <i>varietal seedlings</i>, shall use best scientific methods.</p> <p>Indicator:</p> <ol style="list-style-type: none"> <li>1. <i>Program</i> for appropriate research, testing, evaluation and deployment of <i>improved planting stock</i>, including <i>varietal seedlings</i>.</li> </ol>

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	<p>Performance Measure 2.2. <i>Program Participants</i> shall monitor the use of <i>best management practices</i>.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. A <i>verifiable monitoring system</i> to: <ol style="list-style-type: none"> <li>a. monitor the use of <i>best management practices</i> by <i>wood producers</i> supplying the Program Participant; and</li> <li>b. evaluate use of <i>best management practices</i> across the <i>wood and fiber supply area</i>.</li> </ol> </li> <li>2. Use of information from the <i>verifiable monitoring system</i> to maintain rates of conformance to <i>best management practices</i> and to identify areas for improved performance.</li> </ol>
<p>5.2.2 Health and vitality of forests shall be periodically monitored, especially key biotic and abiotic factors that potentially affect health and vitality of forest ecosystems, such as pests, diseases, overgrazing and overstocking, fire, and damage caused by climatic factors, air pollutants or by forest management operations.</p>	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 1 – Forest Management Planning</b></p> <p>Performance Measure 1.1. <i>Program Participants</i> shall ensure that forest management plans include <i>long-term</i> harvest levels that are sustainable and consistent with appropriate <i>growth-and-yield models</i>.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Forest management planning at a level appropriate to the size and scale of the operation, including: <ol style="list-style-type: none"> <li>a. a <i>long-term</i> resources analysis;</li> <li>b. a periodic or ongoing <i>forest inventory</i>;</li> <li>f. access to <i>growth-and-yield modeling</i> capabilities;</li> <li>g. up-to-date maps or a <i>geographic information system (GIS)</i>;</li> <li>i. a review of non-timber issues (e.g., recreation, tourism, pilot projects and economic incentive <i>programs</i> to promote water <i>protection</i>, carbon storage, <i>bioenergy feedstock</i> production, or <i>biological diversity conservation</i>, or to address climate-induced ecosystem change).</li> </ol> </li> <li>2. Documented current harvest trends fall within <i>long-term</i> sustainable levels identified in the forest management plan.</li> <li>3. A <i>forest inventory</i> system and a method to calculate growth and yield.</li> <li>4. Periodic updates of <i>forest inventory</i> and recalculation of planned harvests to account for changes in growth due to <i>productivity</i> increases or decreases, including but not limited to: improved data, <i>long-term</i> drought, fertilization, <i>climate change</i>, changes in forest land ownership and tenure, or <i>forest health</i>.</li> <li>5. Documentation of forest practices (e.g., <i>planting</i>, fertilization and thinning) consistent with assumptions in harvest plans.</li> </ol> <p>Performance Measure 2.4. <i>Program Participants</i> shall manage so as to protect forests from damaging agents, such as environmentally or economically undesirable wildfire, pests, diseases and <i>invasive exotic plants and animals</i>, to maintain and improve <i>long-term forest health, productivity</i> and <i>economic viability</i>.</p> <p>Indicators:</p>



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	<ol style="list-style-type: none"> <li>1. <i>Program</i> to protect forests from damaging agents.</li> <li>2. Management to promote healthy and productive forest conditions to <i>minimize</i> susceptibility to damaging agents.</li> <li>3. Participation in, and support of, fire and pest prevention and control <i>programs</i>.</li> </ol>
<p>5.2.3 The monitoring and maintaining of health and vitality of forest ecosystems shall take into consideration the effects of naturally occurring fire, pests and other disturbances.</p>	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 1 – Forest Management Planning</b></p> <p>Performance Measure 1.1. <i>Program Participants</i> shall ensure that forest management plans include <i>long-term</i> harvest levels that are sustainable and consistent with appropriate <i>growth-and-yield models</i>.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Forest management planning at a level appropriate to the size and scale of the operation, including: <ol style="list-style-type: none"> <li>a. a <i>long-term</i> resources analysis;</li> <li>b. a periodic or ongoing <i>forest inventory</i>;</li> <li>f. access to <i>growth-and-yield modeling</i> capabilities;</li> <li>g. up-to-date maps or a <i>geographic information system (GIS)</i>;</li> <li>i. a review of non-timber issues (e.g., recreation, tourism, pilot projects and economic incentive <i>programs</i> to promote water <i>protection</i>, carbon storage, <i>bioenergy feedstock</i> production, or <i>biological diversity conservation</i>, or to address climate-induced ecosystem change).</li> </ol> </li> <li>3. A <i>forest inventory</i> system and a method to calculate growth and yield.</li> <li>4. Periodic updates of <i>forest inventory</i> and recalculation of planned harvests to account for changes in growth due to <i>productivity</i> increases or decreases, including but not limited to: improved data, <i>long-term</i> drought, fertilization, <i>climate change</i>, changes in forest land ownership and tenure, or <i>forest health</i>.</li> <li>5. Documentation of forest practices (e.g., <i>planting</i>, fertilization and thinning) consistent with assumptions in harvest plans.</li> </ol> <p><b>Objective 2 – Forest Health and Productivity</b></p> <p>Performance Measure 2.4. <i>Program Participants</i> shall manage so as to protect forests from damaging agents, such as environmentally or economically undesirable wildfire, pests, diseases and <i>invasive exotic plants and animals</i>, to maintain and improve <i>long-term forest health</i>, <i>productivity</i> and <i>economic viability</i>.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. <i>Program</i> to protect forests from damaging agents.</li> <li>2. Management to promote healthy and productive forest conditions to <i>minimize</i> susceptibility to damaging agents.</li> <li>3. Participation in, and support of, fire and pest prevention and control <i>programs</i>.</li> </ol>
<p>5.2.4 Forest management plans or their equivalents shall specify ways and means to minimise the risk of degradation of and</p>	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p>

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damages to forest ecosystems. Forest management planning shall make use of those policy instruments set up to support these activities.	<p><b>Objective 1 – Forest Management Planning</b></p> <p>Performance Measure 1.1. Program Participants shall ensure that forest management plans include long-term harvest levels that are sustainable and consistent with appropriate growth-and-yield models.</p> <p>Indicators:</p> <ol style="list-style-type: none"><li>1. Forest management planning at a level appropriate to the size and scale of the operation, including:<ol style="list-style-type: none"><li>a. a long-term resources analysis;</li><li>b. a periodic or ongoing forest inventory;</li><li>c. a land classification system;</li><li>d. biodiversity at landscape scales;</li><li>e. soils inventory and maps, where available;</li><li>f. access to growth-and-yield modeling capabilities;</li><li>g. up-to-date maps or a geographic information system (GIS);</li><li>h. recommended sustainable harvest levels for areas available for harvest; and</li><li>i. a review of non-timber issues (e.g., recreation, tourism, pilot projects and economic incentive programs to promote water protection, carbon storage, bioenergy feedstock production, or biological diversity conservation, or to address climate-induced ecosystem change).</li></ol></li><li>2. Documented current harvest trends fall within long-term sustainable levels identified in the forest management plan.</li><li>3. A forest inventory system and a method to calculate growth and yield.</li><li>4. Periodic updates of forest inventory and recalculation of planned harvests to account for changes in growth due to productivity increases or decreases, including but not limited to: improved data, long-term drought, fertilization, climate change, changes in forest land ownership and tenure, or forest health.</li><li>5. Documentation of forest practices (e.g., planting, fertilization and thinning) consistent with assumptions in harvest plans.</li></ol> <p>Performance Measure 1.2. Program Participants shall not convert one forest cover type to another forest cover type, unless in justified circumstances.</p> <p>Indicators:</p> <ol style="list-style-type: none"><li>1. Program Participants shall not convert one forest cover type to another forest cover type, unless the conversion:<ol style="list-style-type: none"><li>a. Is in compliance with relevant national and regional policy and legislation related to land use and forest management; and</li><li>b. Would not convert native forest types that are rare and ecologically significant at the landscape level or put any native forest types at risk of becoming rare; and</li><li>c. Does not create significant long-term adverse impacts on Forests with Exceptional Conservation Value, old-growth forests, forests critical to threatened and endangered species, and special sites.</li></ol></li><li>2. Where a Program Participant intends to convert another forest cover type, an assessment considers:<ol style="list-style-type: none"><li>d. Productivity and stand quality conditions and impacts which may include social and economic values;</li><li>e. Specific ecosystem issues related to the site such as invasive species, insect or disease issues, riparian protection needs and others as appropriate to site including regeneration challenges; and</li><li>f. Ecological impacts of the conversion including a review at the site and landscape scale as well as consideration for any appropriate mitigation measures.</li></ol></li></ol> <p>Performance Measure 1.3. 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.</p> <p>Indicator:</p>

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	<p>1. Forest lands converted to other land uses shall not be certified to this SFI Standard. This does not apply to forest lands used for forest and wildlife management such as wildlife food plots or infrastructure such as forest roads, log processing areas, trails etc.</p>
<p>5.2.5 Forest management practices shall make best use of natural structures and processes and use preventive biological measures wherever and as far as economically feasible to maintain and enhance the health and vitality of forests. Adequate genetic, species and structural diversity shall be encouraged and/or maintained to enhance the stability, vitality and resistance capacity of the forests to adverse environmental factors and strengthen natural regulation mechanisms.</p>	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 1 – Forest Management Planning</b></p> <p>Performance Measure 1.2. <i>Program Participants</i> shall not convert one <i>forest cover type</i> to another <i>forest cover type</i>, unless in justified circumstances.</p> <p>Indicators:</p> <p>3. <i>Program Participants</i> shall not convert one <i>forest cover type</i> to another <i>forest cover type</i>, unless the conversion:</p> <ul style="list-style-type: none"> <li>a. Is in compliance with relevant national and regional <i>policy</i> and legislation related to land use and forest management; and</li> <li>b. Would not convert <i>native</i> forest types that are rare and ecologically significant at the <i>landscape</i> level or put any <i>native</i> forest types at risk of becoming rare; and</li> <li>c. Does not create significant <i>long-term</i> adverse impacts on <i>Forests with Exceptional Conservation Value, old-growth forests</i>, forests critical to <i>threatened and endangered</i> species, and <i>special sites</i>.</li> </ul> <p>4. Where a <i>Program Participant</i> intends to convert another <i>forest cover type</i>, an assessment considers:</p> <ul style="list-style-type: none"> <li>g. <i>Productivity</i> and <i>stand</i> quality conditions and impacts which may include social and economic values;</li> <li>h. Specific ecosystem issues related to the site such as invasive species, insect or disease issues, riparian <i>protection</i> needs and others as appropriate to site including regeneration challenges; and</li> <li>i. Ecological impacts of the conversion including a review at the site and <i>landscape</i> scale as well as consideration for any appropriate mitigation measures.</li> </ul> <p><b>Objective 2 – Forest Heath and Productivity</b></p> <p>Performance Measure 2.1. Program Participants shall promptly reforest after final harvest.</p> <p>Indicators:</p> <ul style="list-style-type: none"> <li>1. Documented reforestation plans, including designation of all harvest areas for either natural, planted or direct seeded regeneration and prompt reforestation, unless delayed for site-specific environmental or forest health considerations or legal requirements, through planting within two years or two planting seasons, or by planned natural regeneration methods within five years.</li> <li>2. Clear criteria to judge adequate regeneration and appropriate actions to correct understocked areas and achieve acceptable species composition and stocking rates for planting, direct seeding and natural regeneration.</li> <li>3. Plantings of exotic tree species should minimize risk to native ecosystems.</li> <li>4. Protection of desirable or planned advanced natural regeneration during harvest.</li> <li>5. Afforestation programs that consider potential ecological impacts of the selection and planting of tree species in non-forested landscapes.</li> </ul> <p>Performance Measure 2.2. Program Participants shall minimize chemical use required to achieve management objectives while protecting employees, neighbors, the public</p>

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	<p>and the environment, including wildlife and aquatic habitats.</p> <p>Indicators:</p> <ol style="list-style-type: none"><li>1. Minimized chemical use required to achieve management objectives.</li><li>2. Use of least-toxic and narrowest-spectrum pesticides necessary to achieve management objectives.</li><li>3. Use of pesticides registered for the intended use and applied in accordance with label requirements.</li><li>4. The World Health Organization (WHO) type 1A and 1B pesticides shall be prohibited, except where no other viable alternative is available.</li><li>5. Use of pesticides banned under the Stockholm Convention on Persistent Organic Pollutants (2001) shall be prohibited.</li><li>6. Use of integrated pest management where feasible.</li><li>7. Supervision of forest chemical applications by state- or provincial-trained or certified applicators.</li><li>8. Use of management practices appropriate to the situation, for example:<ol style="list-style-type: none"><li>a. notification of adjoining landowners or nearby residents concerning applications and chemicals used;</li><li>b. appropriate multilingual signs or oral warnings;</li><li>c. control of public road access during and immediately after applications;</li><li>d. designation of streamside and other needed buffer strips;</li><li>e. use of positive shutoff and minimal-drift spray valves;</li><li>f. aerial application of forest chemicals parallel to buffer zones to minimize drift;</li><li>g. monitoring of water quality or safeguards to ensure proper equipment use and protection of streams, lakes and other water bodies;</li><li>h. appropriate transportation and storage of chemicals;</li><li>i. filing of required state or provincial reports; and/or</li><li>j. use of methods to ensure protection of threatened and endangered species.</li></ol></li></ol> <p>Performance Measure 2.3. Program Participants shall implement forest management practices to protect and maintain forest and soil productivity.</p> <p>Indicators:</p> <ol style="list-style-type: none"><li>3. Post-harvest conditions conducive to maintaining site productivity (e.g., limited rutting, retained down woody debris, minimized skid trails).</li><li>4. Retention of vigorous trees during partial harvesting, consistent with scientific silvicultural standards for the area.</li></ol> <p><b>Objective 4 – Conservation of Biological Diversity</b></p> <p>Performance Measure 4.1. Program Participants shall conserve biological diversity.</p> <p>Indicators:</p> <ol style="list-style-type: none"><li>1. Program to incorporate the conservation of native biological diversity, including species, wildlife habitats and ecological community types at stand and landscape levels.</li><li>2. Development of criteria and implementation of practices, as guided by regionally based best scientific information, to retain stand-level wildlife habitat elements such as snags, stumps, mast trees, down woody debris, den trees and nest trees.</li><li>3. Document diversity of forest cover types and age or size classes at the individual ownership or forest tenure level, and where credible data are available, at the landscape scale. Working individually or collaboratively to support diversity of native forest cover types and age or size classes that enhance biological diversity at the landscape scale.</li><li>4. Program Participants shall participate in or incorporate the results of state, provincial, or regional conservation planning and priority-setting efforts to conserve biological diversity and consider these efforts in forest management planning. Examples of credible priority-setting efforts include state wildlife action plans, state forest action plans, relevant habitat conservation plans or provincial wildlife recovery plans.</li></ol>

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	<p>5. Program to address conservation of known sites with viable occurrences of significant species of concern.</p> <p>6. Identification and protection of non-forested wetlands, including bogs, fens and marshes, and vernal pools of ecological significance.</p> <p>7. 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.</p> <p>8. Consider the role of natural disturbances, including the use of prescribed or natural fire where appropriate, and forest health threats in relation to biological diversity when developing forest management plans.</p> <p>2. Appropriate mapping, cataloging and management of identified ecologically important sites.</p> <p>Performance Measure 4.2. <i>Program Participants</i> shall protect <i>threatened and endangered species, Forests with Exceptional Conservation Values</i> (FECV) and old-growth forests.</p> <p>Indicators:</p> <p>1. Program to protect threatened and endangered species.</p> <p>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 Program Participant management, cooperation with other stakeholders, or use of easements, conservation land sales, exchanges, or other conservation strategies.</p> <p>3. Support of and participation in plans or <i>programs</i> for the <i>conservation</i> of <i>old-growth forests</i> in the region of ownership or forest tenure.</p> <p>Performance Measure 4.3. <i>Program Participants</i> shall manage ecologically important sites in a manner that takes into account their unique qualities.</p> <p>Indicators:</p> <p>1. Use of information such as existing natural heritage data or expert advice in identifying or selecting ecologically important sites for <i>protection</i>.</p> <p>Performance Measure 4.4. <i>Program Participants</i> shall apply knowledge gained through research, science, technology and field experience to manage <i>wildlife habitat</i> and contribute to the <i>conservation</i> of <i>biological diversity</i>.</p> <p>Indicators:</p> <p>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.</p> <p>2. A methodology to incorporate research results and field applications of <i>biodiversity</i> and ecosystem research into forest management decisions.</p>
<p>5.2.6 Lighting of fires shall be avoided and is only permitted if it is necessary for the achievement of the management goals of the forest management unit.</p>	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 2 – Forest Health and Productivity</b></p> <p>Performance Measure 2.4. 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.</p> <p>Indicators:</p>

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	<p>1. Program to protect forests from damaging agents.</p> <p>2. Management to promote healthy and productive forest conditions to minimize susceptibility to damaging agents.</p> <p>3. Participation in, and support of, fire and pest prevention and control programs.</p> <p><b>Objective 4 – Conservation of Biological Diversity</b>  Performance Measure 4.1. Program Participants shall conserve biological diversity.  Indicators:  8. Consider the role of natural disturbances, including the use of prescribed or natural fire where appropriate, and forest health threats in relation to biological diversity when developing forest management plans.</p>
<p>5.2.7 Appropriate forest management practices such as reforestation and afforestation with tree species and provenances that are suited to the site conditions or the use of tending, harvesting and transport techniques that minimise tree and/or soil damages shall be applied. The spillage of oil during forest management operations or the indiscriminate disposal of waste on forest land shall be strictly avoided. Non-organic waste and litter shall be avoided, collected, stored in designated areas and removed in an environmentally-responsible manner.</p>	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 2 – Forest Heath and Productivity</b>  Performance Measure 2.1. Program Participants shall promptly reforest after final harvest.  Indicators:  5. Afforestation programs that consider potential ecological impacts of the selection and planting of tree species in non-forested landscapes.</p> <p>Performance Measure 2.3. Program Participants shall implement forest management practices to protect and maintain forest and soil productivity.  Indicators:  1. Process to identify soils vulnerable to compaction, and use of appropriate methods, including the use of soil maps where available, to avoid excessive soil disturbance.  2. Use of erosion control measures to minimize the loss of soil and site productivity.  3. Post-harvest conditions conducive to maintaining site productivity (e.g., limited rutting, retained down woody debris, minimized skid trails).  4. Retention of vigorous trees during partial harvesting, consistent with scientific silvicultural standards for the area.  5. Criteria that address harvesting and site preparation to protect soil productivity.  6. Road construction and skidding layout to minimize impacts to soil productivity.</p> <p>Performance Measure 2.5. Program Participants that deploy improved planting stock, including varietal seedlings, shall use best scientific methods.  Indicator:  1. Program for appropriate research, testing, evaluation and deployment of improved planting stock, including varietal seedlings.</p> <p><b>Objective 9 – Legal and Regulatory Compliance</b>  Performance Measure 9.1. Program Participants shall comply with applicable federal, provincial, state and local forestry and related social and environmental laws and regulations.  Indicators:  1. Access to relevant laws and regulations in appropriate locations.  2. System to achieve compliance with applicable federal, provincial, state, or local laws and regulations.</p>

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	<p>3. Demonstration of commitment to legal compliance through available regulatory action information.  SFI requires appropriate forest management practices to prefer adequate tree species for reforestation and minimize damage to the stand; spillage of oil is illegal in the US, detailed provisions for Canada and the US regarding spills, disposal and waste are made in the BMP programs on State and Provincial level.</p>
<p>5.2.8 The use of pesticides shall be minimized and appropriate silvicultural alternatives and other biological measures preferred.</p>	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 2 – Forest Health and Productivity</b>  Performance Measure 2.2. 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.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Minimized chemical use required to achieve management objectives.</li> <li>2. Use of least-toxic and narrowest-spectrum pesticides necessary to achieve management objectives.</li> <li>3. Use of pesticides registered for the intended use and applied in accordance with label requirements.</li> <li>4. The World Health Organization (WHO) type 1A and 1B pesticides shall be prohibited, except where no other viable alternative is available.</li> <li>5. Use of pesticides banned under the Stockholm Convention on Persistent Organic Pollutants (2001) shall be prohibited.</li> <li>6. Use of integrated pest management where feasible.</li> <li>7. Supervision of forest chemical applications by state- or provincial-trained or certified applicators.</li> <li>8. Use of management practices appropriate to the situation, for example: <ol style="list-style-type: none"> <li>a. notification of adjoining landowners or nearby residents concerning applications and chemicals used;</li> <li>b. appropriate multilingual signs or oral warnings;</li> <li>c. control of public road access during and immediately after applications;</li> <li>d. designation of streamside and other needed buffer strips;</li> <li>e. use of positive shutoff and minimal-drift spray valves;</li> <li>f. aerial application of forest chemicals parallel to buffer zones to minimize drift;</li> <li>g. monitoring of water quality or safeguards to ensure proper equipment use and protection of streams, lakes and other water bodies;</li> <li>h. appropriate transportation and storage of chemicals;</li> <li>i. filing of required state or provincial reports; and/or</li> <li>j. use of methods to ensure protection of threatened and endangered species.</li> </ol> </li> </ol> <p><b>Objective 9 – Legal and Regulatory Compliance</b>  Performance Measure 9.1. <i>Program Participants</i> shall comply with applicable federal, provincial, state and local <i>forestry</i> and related social and environmental laws and regulations.</p>



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	<p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Access to relevant laws and regulations in appropriate locations.</li> <li>2. System to achieve compliance with applicable federal, provincial, state, or local laws and regulations.</li> <li>3. Demonstration of commitment to legal compliance through <i>available regulatory action information</i>.</li> </ol>
<p>5.2.9 The WHO Type 1A and 1B pesticides and other highly toxic pesticides shall be prohibited, except where no other viable alternative is available.</p> <p>Note: Any exception to the usage of WHO Type 1A and 1B pesticides shall be defined by a specific forest management standard.</p>	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 2 – Forest Health and Productivity</b>  Performance Measure 2.2. 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.</p> <p>4. The World Health Organization (WHO) type 1A and 1B pesticides shall be prohibited, except where no other viable alternative is available.</p>
<p>5.2.10 Pesticides, such as chlorinated hydrocarbons whose derivatives remain biologically active and accumulate in the food chain beyond their intended use, and any pesticides banned by international agreement, shall be prohibited.</p> <p>Note: “pesticides banned by international agreements” are defined in the Stockholm Convention on Persistent Organic Pollutants 2001, as amended.</p>	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 2 – Forest Health and Productivity</b>  Performance Measure 2.2. 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.</p> <p>Indicators:</p> <p>5. Use of pesticides banned under the Stockholm Convention on Persistent Organic Pollutants (2001) shall be prohibited.</p>
<p>5.2.11 The use of pesticides shall follow the instructions given by the pesticide producer and be implemented with proper equipment and training.</p>	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 2 – Forest Health and Productivity</b>  Performance Measure 2.2. Program Participants shall minimize chemical use required to achieve management objectives while protecting employees, neighbors, the public</p>

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	<p>and the environment, including wildlife and aquatic habitats.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Minimized chemical use required to achieve management objectives.</li> <li>2. Use of least-toxic and narrowest-spectrum pesticides necessary to achieve management objectives.</li> <li>3. Use of pesticides registered for the intended use and applied in accordance with label requirements.</li> <li>7. Supervision of forest chemical applications by state- or provincial-trained or certified applicators.</li> <li>8. Use of management practices appropriate to the situation, for example: <ol style="list-style-type: none"> <li>a. notification of adjoining landowners or nearby residents concerning applications and chemicals used;</li> <li>b. appropriate multilingual signs or oral warnings;</li> <li>c. control of public road access during and immediately after applications;</li> <li>d. designation of streamside and other needed buffer strips;</li> <li>e. use of positive shutoff and minimal-drift spray valves;</li> <li>f. aerial application of forest chemicals parallel to buffer zones to minimize drift;</li> <li>g. monitoring of water quality or safeguards to ensure proper equipment use and protection of streams, lakes and other water bodies;</li> <li>h. appropriate transportation and storage of chemicals;</li> <li>i. filing of required state or provincial reports; and/or</li> <li>j. use of methods to ensure protection of threatened and endangered species.</li> </ol> </li> </ol>
<p>5.2.12 Where fertilisers are used, they shall be applied in a controlled manner and with due consideration for the environment.</p>	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 2 – Forest Health and Productivity</b></p> <p>Performance Measure 2.2. 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.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Minimized chemical use required to achieve management objectives.</li> <li>2. Use of least-toxic and narrowest-spectrum pesticides necessary to achieve management objectives.</li> <li>3. Use of pesticides registered for the intended use and applied in accordance with label requirements.</li> <li>7. Supervision of forest chemical applications by state- or provincial-trained or certified applicators.</li> <li>8. Use of management practices appropriate to the situation, for example: <ol style="list-style-type: none"> <li>a. notification of adjoining landowners or nearby residents concerning applications and chemicals used;</li> <li>b. appropriate multilingual signs or oral warnings;</li> <li>c. control of public road access during and immediately after applications;</li> <li>d. designation of streamside and other needed buffer strips;</li> <li>e. use of positive shutoff and minimal-drift spray valves;</li> </ol> </li> </ol>

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	<ul style="list-style-type: none"> <li>f. aerial application of forest chemicals parallel to buffer zones to minimize drift;</li> <li>g. monitoring of water quality or safeguards to ensure proper equipment use and protection of streams, lakes and other water bodies;</li> <li>h. appropriate transportation and storage of chemicals;</li> <li>i. filing of required state or provincial reports; and/or</li> <li>j. use of methods to ensure protection of threatened and endangered species.</li> </ul>
<p>5.3.1 Forest management planning shall aim to maintain the capability of forests to produce a range of wood and non-wood forest products and services on a sustainable basis.</p>	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 1 – Forest Management Planning</b>  Performance Measure 1.1. <i>Program Participants</i> shall ensure that forest management plans include <i>long-term</i> harvest levels that are sustainable and consistent with appropriate <i>growth-and-yield models</i>.</p> <ol style="list-style-type: none"> <li>1. Forest management planning at a level appropriate to the size and scale of the operation, including: <ul style="list-style-type: none"> <li>a. a <i>long-term</i> resources analysis;</li> <li>b. a periodic or ongoing <i>forest inventory</i>;</li> <li>c. a <i>land classification</i> system;</li> <li>d. biodiversity at <i>landscape</i> scales;</li> <li>e. soils inventory and maps, where available;</li> <li>f. access to <i>growth-and-yield modeling</i> capabilities;</li> <li>g. up-to-date maps or a <i>geographic information system (GIS)</i>;</li> <li>h. recommended sustainable harvest levels for areas available for harvest; and</li> <li>i. a review of non-timber issues (e.g., recreation, tourism, pilot projects and economic incentive <i>programs</i> to promote water <i>protection</i>, carbon storage, <i>bioenergy feedstock</i> production, or <i>biological diversity conservation</i>, or to address climate-induced ecosystem change).</li> </ul> </li> <li>2. Documented current harvest trends fall within <i>long-term</i> sustainable levels identified in the forest management plan.</li> <li>3. A <i>forest inventory</i> system and a method to calculate growth and yield.</li> <li>4. Periodic updates of <i>forest inventory</i> and recalculation of planned harvests to account for changes in growth due to <i>productivity</i> increases or decreases, including but not limited to: improved data, <i>long-term</i> drought, fertilization, <i>climate change</i>, changes in forest land ownership and tenure, or <i>forest health</i>.</li> <li>5. Documentation of forest practices (e.g., <i>planting</i>, fertilization and thinning) consistent with assumptions in harvest plans.</li> </ol> <p><b>Objective 3 – Protection and Maintenance of Water Resources</b>  Performance Measure 3.1. <i>Program Participants</i> shall meet or exceed all applicable federal, provincial, state and local water quality laws, and meet or exceed <i>best management practices</i> developed under Canadian or U.S. Environmental Protection Agency–approved water quality <i>programs</i>.</p> <ol style="list-style-type: none"> <li>1. <i>Program</i> to implement federal, state or provincial water quality <i>best management practices</i> during all phases of management activities.</li> <li>2. Contract provisions that specify conformance to <i>best management practices</i>.</li> <li>3. Monitoring of overall <i>best management practices</i> implementation.</li> </ol>

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	<p>Performance Measure 3.2. <i>Program Participants</i> shall implement water, <i>wetland</i> and <i>riparian protection</i> measures based on soil type, terrain, vegetation, ecological function, harvesting system, state <i>best management practices (BMPs)</i>, provincial guidelines and other applicable factors.</p> <ol style="list-style-type: none"> <li>1. <i>Program</i> addressing management and <i>protection</i> of rivers, streams, lakes, <i>wetlands</i>, other water bodies and <i>riparian areas</i> during all phases of management, including the layout and construction of roads and <i>skid trails</i> to maintain water reach, flow and quality.</li> <li>2. Mapping of rivers, streams, lakes, <i>wetlands</i> and other water bodies as specified in state or provincial <i>best management practices</i> and, where appropriate, identification on the ground.</li> <li>3. Document and implement plans to manage and protect rivers, streams, lakes, <i>wetlands</i>, other water bodies and <i>riparian areas</i>.</li> <li>4. Plans that address wet-weather events in order to maintain water quality (e.g., <i>forest inventory</i> systems, wet-weather tracts, definitions of acceptable operating conditions).</li> </ol> <p><b>Objective 4 – Conservation of Biological Diversity</b></p> <p>Performance Measure 4.1. <i>Program Participants</i> shall conserve <i>biological diversity</i>.</p> <ol style="list-style-type: none"> <li>1. <i>Program</i> to incorporate the <i>conservation</i> of <i>native biological diversity</i>, including species, <i>wildlife habitats</i> and ecological community types at <i>stand</i> and <i>landscape</i> levels.</li> <li>2. Development of criteria and implementation of practices, as guided by regionally based <i>best scientific information</i>, to retain <i>stand-level wildlife habitat</i> elements such as snags, stumps, mast trees, down woody debris, den trees and nest trees.</li> <li>3. Document diversity of <i>forest cover types</i> and age or size classes at the individual ownership or forest tenure level, and where credible data are available, at the <i>landscape</i> scale. Working individually or collaboratively to support diversity of <i>native forest cover types</i> and age or size classes that enhance <i>biological diversity</i> at the <i>landscape</i> scale.</li> <li>4. <i>Program Participants</i> shall participate in or incorporate the results of state, provincial, or regional <i>conservation</i> planning and priority-setting efforts to conserve biological diversity and consider these efforts in forest management planning. Examples of credible priority-setting efforts include state <i>wildlife</i> action plans, state forest action plans, relevant <i>habitat conservation</i> plans or provincial <i>wildlife</i> recovery plans.</li> <li>5. <i>Program</i> to address <i>conservation</i> of known sites with viable occurrences of significant species of concern.</li> <li>6. Identification and <i>protection</i> of <i>non-forested wetlands</i>, including bogs, fens and marshes, and <i>vernal pools</i> of ecological significance.</li> <li>7. Participation in <i>programs</i> and demonstration of activities as appropriate to limit the introduction, spread and impact of <i>invasive exotic plants and animals</i> that directly threaten or are likely to threaten <i>native</i> plant and animal communities.</li> <li>8. Consider the role of natural disturbances, including the use of prescribed or natural fire where appropriate, and <i>forest health</i> threats in relation to <i>biological diversity</i> when developing forest management plans.</li> </ol> <p>Performance Measure 4.2. <i>Program Participants</i> shall protect <i>threatened and endangered</i> species, <i>Forests with Exceptional Conservation Values (FECV)</i> and old-growth forests.</p> <ol style="list-style-type: none"> <li>1. <i>Program</i> to protect <i>threatened and endangered</i> species.</li> <li>2. <i>Program</i> to locate and protect known sites flora and fauna associated with viable occurrences of <i>critically imperiled</i> and <i>imperiled</i> species and communities also known as <i>Forests with Exceptional Conservation Value</i>. Plans for <i>protection</i> may be developed independently or collaboratively, and may include <i>Program Participant</i> management, cooperation with other stakeholders, or use of easements, <i>conservation</i> land sales, exchanges, or other <i>conservation</i> strategies.</li> <li>3. Support of and participation in plans or <i>programs</i> for the <i>conservation</i> of <i>old-growth forests</i> in the region of ownership or forest tenure.</li> </ol> <p>Performance Measure 4.3. <i>Program Participants</i> shall manage ecologically important sites in a manner that takes into account their unique qualities.</p> <ol style="list-style-type: none"> <li>1. Use of information such as existing natural heritage data or expert advice in identifying or selecting ecologically important sites for <i>protection</i>.</li> <li>2. Appropriate mapping, cataloging and management of identified ecologically important sites.</li> </ol>

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	<p>Performance Measure 4.4. <i>Program Participants</i> shall apply knowledge gained through research, science, technology and field experience to manage <i>wildlife habitat</i> and contribute to the <i>conservation</i> of <i>biological diversity</i>.</p> <ol style="list-style-type: none"> <li>1. Collection of information on <i>Forests with Exceptional Conservation Value</i> and other <i>biodiversity</i>-related data through <i>forest inventory</i> processes, mapping or participation in external <i>programs</i>, such as NatureServe, state or provincial heritage <i>programs</i>, 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.</li> <li>2. A methodology to incorporate research results and field applications of <i>biodiversity</i> and ecosystem research into forest management decisions.</li> </ol> <p><b>Objective 5 – Management of Visual Quality and Recreational Benefits</b></p> <p>Performance Measure 5.1. <i>Program Participants</i> shall manage the impact of harvesting on <i>visual quality</i>.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. <i>Program</i> to address <i>visual quality management</i>.</li> <li>2. Incorporation of aesthetic considerations in harvesting, road, landing design and management, and other management activities where visual impacts are a concern.</li> </ol> <p>Performance Measure 5.4. <i>Program Participants</i> shall support and promote recreational opportunities for the public.</p> <p>Indicator:</p> <ol style="list-style-type: none"> <li>1. Provide recreational opportunities for the public, where consistent with forest management <i>objectives</i>.</li> </ol> <p><b>Objective 6 – Protection of Special Sites</b></p> <p>Performance Measure 6.1. <i>Program Participants</i> shall identify <i>special sites</i> and manage them in a manner appropriate for their unique features.</p> <ol style="list-style-type: none"> <li>1. Use of information such as existing natural heritage data, expert advice or stakeholder consultation in identifying or selecting <i>special sites</i> for <i>protection</i>.</li> </ol>
<p>5.3.2 Forest management planning shall aim to achieve sound economic performance taking into account any available market studies and possibilities for new markets and economic activities in connection with all relevant goods and services of forests.</p>	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 1 – Forest Management Planning</b></p> <p>Performance Measure 1.1. Program Participants shall ensure that forest management plans include long-term harvest levels that are sustainable and consistent with appropriate growth-and-yield models.</p> <p>Indicator:</p> <ol style="list-style-type: none"> <li>1. Forest management planning at a level appropriate to the size and scale of the operation, including: <ol style="list-style-type: none"> <li>a. a long-term resources analysis;</li> <li>b. a periodic or ongoing forest inventory;</li> <li>h. recommended sustainable harvest levels for areas available for harvest; and</li> <li>i. a review of non-timber issues (e.g., recreation, tourism, pilot projects and economic incentive programs to promote water protection, carbon storage, bioenergy feedstock production, or biological diversity conservation, or to address climate-induced ecosystem change).</li> </ol> </li> </ol>

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	<p><b>Objective 7 – Efficient Use of Fiber Resources</b>  Performance Measure 7.1. 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. exploration of markets for underutilized species and low-grade wood and alternative markets (e.g., bioenergy markets); or  d. periodic inspections and reports noting utilization and product separation.</p> <p><b>Objective 10 – Forest Research, Science and Technology</b>  Performance Measure 10.1. 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.  Indicator:  1. Financial or in-kind support of research to address questions of relevance in the region of operations. Examples could include, but are not limited to, areas of forest productivity, water quality, biodiversity, community issues, or similar areas which build broader understanding of the benefits and impacts of forest management.</p> <p>Performance Measure 10.3. 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. Program Participants are knowledgeable about climate change impacts on wildlife, wildlife habitats and conservation of biological diversity through international, national, regional or local programs.</p>
<p>5.3.3 Forest management plans or their equivalents shall take into account the different uses or functions of the managed forest area. Forest management planning shall make use of those policy instruments set up to support the production of commercial and non-commercial forest goods and services.</p>	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 1 – Forest Management Planning</b>  Performance Measure 1.1. Program Participants shall ensure that forest management plans include long-term harvest levels that are sustainable and consistent with appropriate growth-and-yield models.  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;  h. recommended sustainable harvest levels for areas available for harvest; and  i. a review of non-timber issues (e.g., recreation, tourism, pilot projects and economic incentive programs to promote water protection, carbon storage,</p>

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	<p>bioenergy feedstock production, or biological diversity conservation, or to address climate-induced ecosystem change).</p> <p><b>Objective 5 – Management of Visual Quality and Recreational Benefits</b>  Performance Measure 5.4. <i>Program Participants</i> shall support and promote recreational opportunities for the public.</p> <p>Indicator:  1. Provide recreational opportunities for the public, where consistent with forest management <i>objectives</i>.</p> <p><b>Objective 7 – Efficient Use of Fiber Resources</b>  Performance Measure 7.1. <i>Program Participants</i> shall employ appropriate forest harvesting technology and in-woods manufacturing processes and practices to <i>minimize</i> waste and ensure efficient utilization of harvested trees, where consistent with other <i>SFI Standard objectives</i>.</p> <p>Indicator:  1. <i>Program</i> 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. exploration of markets for underutilized species and low-grade wood and alternative markets (e.g., bioenergy markets); or  d. periodic inspections and reports noting utilization and product separation.</p> <p><b>Objective 10 – Forest Research, Science and Technology</b>  Performance Measure 10.1. <i>Program Participants</i> shall individually and/or through cooperative efforts involving <i>SFI Implementation Committees</i>, associations or other partners provide in-kind support or funding for forest research to improve <i>forest health, productivity</i> and sustainable management of forest resources, and the environmental benefits and performance of forest products.</p> <p>Indicator:  1. Financial or in-kind support of research to address questions of relevance in the region of operations. Examples could include, but are not limited to, areas of forest <i>productivity</i>, water quality, biodiversity, community issues, or similar areas which build broader understanding of the benefits and impacts of forest management.</p> <p>Performance Measure 10.3. 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.</p> <p>Indicators:  1. Where available, monitor information generated from regional climate models on long-term forest health, productivity and economic viability.  2. Program Participants are knowledgeable about climate change impacts on wildlife, wildlife habitats and conservation of biological diversity through international, national, regional or local programs.</p>
5.3.4 Forest management practices shall maintain and improve the forest resources and encourage a diversified output of goods and services over the	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p>



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long term.	<p><b>Objective 1 – Forest Management Planning</b>  Performance Measure 1.1. Program Participants shall ensure that forest management plans include long-term harvest levels that are sustainable and consistent with appropriate growth-and-yield models.</p> <ol style="list-style-type: none"> <li>1. Forest management planning at a level appropriate to the size and scale of the operation, including: <ol style="list-style-type: none"> <li>a. a long-term resources analysis;</li> <li>b. a periodic or ongoing forest inventory;</li> <li>h. recommended sustainable harvest levels for areas available for harvest; and</li> <li>i. a review of non-timber issues (e.g., recreation, tourism, pilot projects and economic incentive programs to promote water protection, carbon storage, bioenergy feedstock production, or biological diversity conservation, or to address climate-induced ecosystem change).</li> </ol> </li> </ol> <p><b>Objective 2 – Forest Health and Productivity</b>  Performance Measure 2.1. <i>Program Participants</i> shall promptly reforest after final harvest.  Indicators:</p> <ol style="list-style-type: none"> <li>1. Documented <i>reforestation</i> plans, including designation of all harvest areas for either natural, planted or direct seeded regeneration and prompt <i>reforestation</i>, unless delayed for site-specific environmental or <i>forest health</i> considerations or legal requirements, through <i>planting</i> within two years or two <i>planting</i> seasons, or by planned <i>natural regeneration</i> methods within five years.</li> <li>2. Clear criteria to judge adequate regeneration and appropriate actions to correct understocked areas and achieve acceptable species composition and stocking rates for <i>planting</i>, <i>direct seeding</i> and <i>natural regeneration</i>.</li> <li>3. <i>Plantings</i> of <i>exotic tree species</i> should <i>minimize</i> risk to <i>native</i> ecosystems.</li> <li>4. <i>Protection</i> of desirable or planned advanced <i>natural regeneration</i> during harvest.</li> <li>5. <i>Afforestation programs</i> that consider potential ecological impacts of the selection and <i>planting</i> of tree species in non-forested <i>landscapes</i>.</li> </ol> <p>Performance Measure 2.3. <i>Program Participants</i> shall implement forest management practices to protect and maintain forest and soil <i>productivity</i>.  Indicators:</p> <ol style="list-style-type: none"> <li>1. Process to identify soils vulnerable to compaction, and use of appropriate methods, including the use of soil maps where available, to avoid excessive soil disturbance.</li> <li>2. Use of erosion control measures to <i>minimize</i> the loss of soil and site <i>productivity</i>.</li> <li>3. Post-harvest conditions conducive to maintaining site <i>productivity</i> (e.g., limited rutting, retained down woody debris, <i>minimized skid trails</i>).</li> <li>4. Retention of vigorous trees during partial harvesting, consistent with scientific silvicultural standards for the area.</li> <li>5. Criteria that address harvesting and site preparation to protect soil <i>productivity</i>.</li> <li>6. Road construction and skidding layout to <i>minimize</i> impacts to soil <i>productivity</i>.</li> </ol> <p>Performance Measure 2.4. <i>Program Participants</i> shall manage so as to protect forests from damaging agents, such as environmentally or economically undesirable wildfire, pests, diseases and <i>invasive exotic plants and animals</i>, to maintain and improve <i>long-term forest health</i>, <i>productivity</i> and <i>economic viability</i>.  Indicators:</p> <ol style="list-style-type: none"> <li>1. <i>Program</i> to protect forests from damaging agents.</li> <li>2. Management to promote healthy and productive forest conditions to <i>minimize</i> susceptibility to damaging agents.</li> <li>3. Participation in, and support of, fire and pest prevention and control <i>programs</i>.</li> </ol> <p>Performance Measure 2.5. <i>Program Participants</i> that deploy <i>improved planting stock</i>, including <i>varietal seedlings</i>, shall use best scientific methods.</p>

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	<p>Indicator:  1. <i>Program</i> for appropriate research, testing, evaluation and deployment of <i>improved planting stock</i>, including <i>varietal seedlings</i>.</p> <p><b>Objective 5 – Management of Visual Quality and Recreational Benefits</b>  Performance Measure 5.1. <i>Program Participants</i> shall individually and/or through cooperative efforts involving <i>SFI Implementation Committees</i>, associations or other partners provide in-kind support or funding for forest research to improve <i>forest health, productivity</i>, and sustainable management of forest resources, and the environmental benefits and performance of forest products.</p> <p>Indicators:  1. Financial or in-kind support of research to address questions of relevance in the region of operations. Examples could include, but are not limited to areas of forest <i>productivity</i>, water quality, biodiversity, community issues, or similar areas which build broader understanding of the benefits and impacts of forest management.</p>
<p>5.3.5 Regeneration, tending and harvesting operations shall be carried out in time, and in a way that does not reduce the productive capacity of the site, for example by avoiding damage to retained stands and trees as well as to the forest soil, and by using appropriate systems.</p>	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 2 – Forest Health and Productivity</b>  Performance Measure 2.1. <i>Program Participants</i> shall promptly reforest after final harvest.  Indicators:  1. Documented <i>reforestation</i> plans, including designation of all harvest areas for either natural, planted or direct seeded regeneration and prompt <i>reforestation</i>, unless delayed for site-specific environmental or <i>forest health</i> considerations or legal requirements, through <i>planting</i> within two years or two <i>planting</i> seasons, or by planned <i>natural regeneration</i> methods within five years.  2. Clear criteria to judge adequate regeneration and appropriate actions to correct understocked areas and achieve acceptable species composition and stocking rates for <i>planting, direct seeding</i> and <i>natural regeneration</i>.  3. <i>Plantings</i> of <i>exotic tree species</i> should <i>minimize</i> risk to <i>native</i> ecosystems.  4. <i>Protection</i> of desirable or planned advanced <i>natural regeneration</i> during harvest.  5. <i>Afforestation programs</i> that consider potential ecological impacts of the selection and <i>planting</i> of tree species in non-forested <i>landscapes</i>.</p> <p>Performance Measure 2.2. <i>Program Participants</i> shall <i>minimize</i> chemical use required to achieve management <i>objectives</i> while protecting employees, neighbors, the public and the environment, including <i>wildlife</i> and <i>aquatic habitats</i>.  Indicators:  1. <i>Minimized</i> chemical use required to achieve management <i>objectives</i>.  2. Use of <i>least-toxic and narrowest-spectrum pesticides</i> necessary to achieve management <i>objectives</i>.  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.  5. Use of pesticides banned under the Stockholm Convention on Persistent Organic Pollutants (2001) shall be prohibited.  6. Use of <i>integrated pest management</i> where feasible.</p>

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	<p>7. Supervision of forest chemical applications by state- or provincial-trained or certified applicators.</p> <p>8. Use of management practices appropriate to the situation, for example:</p> <ul style="list-style-type: none"> <li>a. notification of adjoining landowners or nearby residents concerning applications and chemicals used;</li> <li>b. appropriate multilingual signs or oral warnings;</li> <li>c. control of public road access during and immediately after applications;</li> <li>d. designation of streamside and other needed buffer strips;</li> <li>e. use of positive shutoff and minimal-drift spray valves;</li> <li>f. aerial application of forest chemicals parallel to buffer zones to <i>minimize</i> drift;</li> <li>g. monitoring of water quality or safeguards to ensure proper equipment use and <i>protection</i> of streams, lakes and other water bodies;</li> <li>h. appropriate transportation and storage of chemicals;</li> <li>i. filing of required state or provincial reports; and/or</li> <li>j. use of methods to ensure <i>protection of threatened and endangered</i> species.</li> </ul> <p>Performance Measure 2.3. <i>Program Participants</i> shall implement forest management practices to protect and maintain forest and soil <i>productivity</i>.</p> <p>Indicators:</p> <ul style="list-style-type: none"> <li>1. Process to identify soils vulnerable to compaction, and use of appropriate methods, including the use of soil maps where available, to avoid excessive soil disturbance.</li> <li>2. Use of erosion control measures to <i>minimize</i> the loss of soil and site <i>productivity</i>.</li> <li>3. Post-harvest conditions conducive to maintaining site <i>productivity</i> (e.g., limited rutting, retained down woody debris, <i>minimized skid trails</i>).</li> <li>4. Retention of vigorous trees during partial harvesting, consistent with scientific silvicultural standards for the area.</li> <li>5. Criteria that address harvesting and site preparation to protect soil <i>productivity</i>.</li> <li>6. Road construction and skidding layout to <i>minimize</i> impacts to soil <i>productivity</i>.</li> </ul> <p>Performance Measure 2.4. <i>Program Participants</i> shall manage so as to protect forests from damaging agents, such as environmentally or economically undesirable wildfire, pests, diseases and <i>invasive exotic plants and animals</i>, to maintain and improve <i>long-term forest health, productivity and economic viability</i>.</p> <p>Indicators:</p> <ul style="list-style-type: none"> <li>1. <i>Program</i> to protect forests from damaging agents.</li> <li>2. Management to promote healthy and productive forest conditions to <i>minimize</i> susceptibility to damaging agents.</li> <li>3. Participation in, and support of, fire and pest prevention and control <i>programs</i>.</li> </ul> <p>Performance Measure 2.5. <i>Program Participants</i> that deploy <i>improved planting stock</i>, including <i>varietal seedlings</i>, shall use best scientific methods.</p> <p>Indicator:</p> <ul style="list-style-type: none"> <li>1. <i>Program</i> for appropriate research, testing, evaluation and deployment of <i>improved planting stock</i>, including <i>varietal seedlings</i>.</li> </ul>
<p>5.3.6 Harvesting levels of both wood and non-wood forest products shall not exceed a rate that can be sustained in the long term, and optimum use shall be made of the harvested forest products, with due regard to nutrient off-take.</p>	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 1 – Forest Management Planning</b></p>

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	<p>Performance Measure 1.1. Program Participants shall ensure that forest management plans include long-term harvest levels that are sustainable and consistent with appropriate growth-and-yield models.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Forest management planning at a level appropriate to the size and scale of the operation, including: <ol style="list-style-type: none"> <li>a. a long-term resources analysis;</li> <li>b. a periodic or ongoing forest inventory;</li> <li>f. access to growth-and-yield modeling capabilities;</li> <li>g. up-to-date maps or a geographic information system (GIS);</li> <li>h. recommended sustainable harvest levels for areas available for harvest; and</li> <li>i. a review of non-timber issues (e.g., recreation, tourism, pilot projects and economic incentive programs to promote water protection, carbon storage, bioenergy feedstock production, or biological diversity conservation, or to address climate-induced ecosystem change).</li> </ol> </li> <li>2. Documented current harvest trends fall within long-term sustainable levels identified in the forest management plan.</li> <li>3. A forest inventory system and a method to calculate growth and yield.</li> <li>4. Periodic updates of forest inventory and recalculation of planned harvests to account for changes in growth due to productivity increases or decreases, including but not limited to: improved data, long-term drought, fertilization, climate change, changes in forest land ownership and tenure, or forest health.</li> <li>5. Documentation of forest practices (e.g., planting, fertilization and thinning) consistent with assumptions in harvest plans.</li> </ol> <p><b>Objective 2 – Forest Health and Productivity</b></p> <p>Performance Measure 2.3. <i>Program Participants</i> shall implement forest management practices to protect and maintain forest and soil <i>productivity</i>.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>3. Post-harvest conditions conducive to maintaining site <i>productivity</i> (e.g., limited rutting, retained down woody debris, <i>minimized skid trails</i>).</li> <li>5. Criteria that address harvesting and site preparation to protect soil <i>productivity</i>.</li> </ol> <p><b>Objective 7 – Efficient Use of Fiber Resources</b></p> <p>Performance Measure 7.1. 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.</p> <p>Indicator:</p> <ol style="list-style-type: none"> <li>1. Program or monitoring system to ensure efficient utilization, which may include provisions to ensure: <ol style="list-style-type: none"> <li>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;</li> <li>b. training or incentives to encourage loggers to enhance utilization;</li> <li>c. exploration of markets for underutilized species and low-grade wood and alternative markets (e.g., bioenergy markets); or</li> <li>d. periodic inspections and reports noting utilization and product separation.</li> </ol> </li> </ol>
5.3.7 Where it is the responsibility of the forest owner/manager and included in forest management, the exploitation of non-timber forest products, including	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b></p> <p><a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p>

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hunting and fishing, shall be regulated, monitored and controlled.	<p><b>Objective 1 – Forest Management Planning</b> Performance Measure 1.1. <i>Program Participants</i> shall ensure that forest management plans include <i>long-term</i> harvest levels that are sustainable and consistent with appropriate <i>growth-and-yield models</i>. Indicators: Forest management planning at a level appropriate to the size and scale of the operation, including: a <i>long-term</i> resources analysis; a review of non-timber issues (e.g., recreation, tourism, pilot projects and economic incentive <i>programs</i> to promote water <i>protection</i>, carbon storage, <i>bioenergy feedstock</i> production, or <i>biological diversity conservation</i>, or to address climate-induced ecosystem change).</p> <p><b>Objective 8 – Objective 8. Recognize and Respect Indigenous Peoples’ Rights</b> Performance Measure 8.2. <i>Program Participants</i> with forest <i>management responsibilities on public lands</i> shall confer with affected <i>Indigenous Peoples</i> with respect to sustainable forest management practices. Indicator: 1. <i>Program</i> that includes communicating with affected <i>Indigenous Peoples</i> to enable <i>Program Participants</i> to: a. understand and respect <i>traditional forest-related knowledge</i>; b. identify and protect spiritually, historically, or <i>culturally important</i> sites; c. address the use of <i>non-timber forest products</i> of value to <i>Indigenous Peoples</i> in areas where <i>Program Participants</i> have <i>management responsibilities on public lands</i>; and d. respond to <i>Indigenous Peoples’</i> inquiries and concerns received.</p> <p><i>Note: Hunting and Fishing in the United States and Canada are controlled by Federal, provincial and state governments and regulated by numerous laws and regulations.</i></p> <p><b>Objective 9 – Legal and Regulatory Compliance</b> Performance Measure 9.1. <i>Program Participants</i> shall comply with applicable federal, provincial, state and local <i>forestry</i> and related social and environmental laws and regulations. Indicators: Access to relevant laws and regulations in appropriate locations. System to achieve compliance with applicable federal, provincial, state, or local laws and regulations. Demonstration of commitment to legal compliance through <i>available regulatory action information</i>.</p> <p><b>Objective 13 – Public Land Management Responsibilities</b> Performance Measure 13.1. <i>Program Participants</i> with forest <i>management responsibilities on public lands</i> shall participate in the development of <i>public land</i> planning and management processes. Indicators: Involvement in <i>public land</i> planning and management activities with appropriate governmental entities and the public. Appropriate contact with local stakeholders over forest management issues through state, provincial, federal or independent collaboration.</p>
5.3.8 Adequate infrastructure such as roads, skid tracks or bridges shall be	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b></p>

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<p>planned, established and maintained to ensure efficient delivery of goods and services while minimising negative impacts on the environment.</p>	<p><a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 3 – Protection and Maintenance of Water Resources</b>  Performance Measure 3.1. 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:  Program to implement federal, state or provincial water quality best management practices during all phases of management activities.  Contract provisions that specify conformance to best management practices.  Monitoring of overall best management practices implementation.</p> <p>Performance Measure 3.2. Program Participants shall implement water, wetland and riparian protection measures based on soil type, terrain, vegetation, ecological function, harvesting system, state best management practices (BMPs), provincial guidelines and other applicable factors.</p> <p>Indicators:  1. Program addressing management and protection of rivers, streams, lakes, wetlands, other water bodies and riparian areas during all phases of management, including the layout and construction of roads and skid trails to maintain water reach, flow and quality.  2. Mapping of rivers, streams, lakes, wetlands and other water bodies as specified in state or provincial best management practices and, where appropriate, identification on the ground.  3. Document and implement plans to manage and protect rivers, streams, lakes, wetlands, other water bodies and riparian areas.  4. 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).</p>
<p>5.4.1 Forest management planning shall aim to maintain, conserve and enhance biodiversity on ecosystem, species and genetic levels and, where appropriate, diversity at landscape level.</p>	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 1 – Forest Management Planning</b>  Performance Measure 1.1. <i>Program Participants</i> shall ensure that forest management plans include <i>long-term</i> harvest levels that are sustainable and consistent with appropriate <i>growth-and-yield models</i>.  Indicators:  1. Forest management planning at a level appropriate to the size and scale of the operation, including:  a. a <i>long-term</i> resources analysis;  b. a periodic or ongoing <i>forest inventory</i>;  c. a <i>land classification</i> system;  d. biodiversity at <i>landscape</i> scales;  e. soils inventory and maps, where available;  f. access to <i>growth-and-yield modeling</i> capabilities;</p>

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	<p>g. up-to-date maps or a <i>geographic information system (GIS)</i>;</p> <p>h. recommended sustainable harvest levels for areas available for harvest; and</p> <p>i. a review of non-timber issues (e.g., recreation, tourism, pilot projects and economic incentive <i>programs</i> to promote water <i>protection</i>, carbon storage, <i>bioenergy feedstock</i> production, or <i>biological diversity conservation</i>, or to address climate-induced ecosystem change).</p> <p>2. Documented current harvest trends fall within <i>long-term</i> sustainable levels identified in the forest management plan.</p> <p>3. A <i>forest inventory</i> system and a method to calculate growth and yield.</p> <p>4. Periodic updates of <i>forest inventory</i> and recalculation of planned harvests to account for changes in growth due to <i>productivity</i> increases or decreases, including but not limited to: improved data, <i>long-term</i> drought, fertilization, <i>climate change</i>, changes in forest land ownership and tenure, or <i>forest health</i>.</p> <p>5. Documentation of forest practices (e.g., <i>planting</i>, fertilization and thinning) consistent with assumptions in harvest plans.</p> <p><b>Objective 4 – Conservation of Biological Diversity</b></p> <p>Performance Measure 4.1. <i>Program Participants</i> shall conserve <i>biological diversity</i>.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. <i>Program</i> to incorporate the <i>conservation</i> of <i>native biological diversity</i>, including species, <i>wildlife habitats</i> and ecological community types at <i>stand</i> and <i>landscape</i> levels.</li> <li>2. Development of criteria and implementation of practices, as guided by regionally based <i>best scientific information</i>, to retain <i>stand-level wildlife habitat</i> elements such as snags, stumps, mast trees, down woody debris, den trees and nest trees.</li> <li>3. Document diversity of <i>forest cover types</i> and age or size classes at the individual ownership or forest tenure level, and where credible data are available, at the <i>landscape</i> scale. Working individually or collaboratively to support diversity of <i>native forest cover types</i> and age or size classes that enhance <i>biological diversity</i> at the <i>landscape</i> scale.</li> <li>4. <i>Program Participants</i> shall participate in or incorporate the results of state, provincial, or regional <i>conservation</i> planning and priority-setting efforts to conserve biological diversity and consider these efforts in forest management planning. Examples of credible priority-setting efforts include state <i>wildlife</i> action plans, state forest action plans, relevant <i>habitat conservation</i> plans or provincial <i>wildlife</i> recovery plans.</li> <li>5. <i>Program</i> to address <i>conservation</i> of known sites with viable occurrences of significant species of concern.</li> <li>6. Identification and <i>protection</i> of <i>non-forested wetlands</i>, including bogs, fens and marshes, and <i>vernal pools</i> of ecological significance.</li> <li>7. Participation in <i>programs</i> and demonstration of activities as appropriate to limit the introduction, spread and impact of <i>invasive exotic plants and animals</i> that directly threaten or are likely to threaten <i>native</i> plant and animal communities.</li> <li>8. Consider the role of natural disturbances, including the use of prescribed or natural fire where appropriate, and <i>forest health</i> threats in relation to <i>biological diversity</i> when developing forest management plans.</li> </ol> <p>Performance Measure 4.2. <i>Program Participants</i> shall protect <i>threatened and endangered</i> species, <i>Forests with Exceptional Conservation Values</i> (FECV) and old-growth forests.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. <i>Program</i> to protect <i>threatened and endangered</i> species.</li> <li>2. <i>Program</i> to locate and protect known sites flora and fauna associated with viable occurrences of <i>critically imperiled</i> and <i>imperiled</i> species and communities also known as <i>Forests with Exceptional Conservation Value</i>. Plans for <i>protection</i> may be developed independently or collaboratively, and may include <i>Program Participant</i> management, cooperation with other stakeholders, or use of easements, <i>conservation</i> land sales, exchanges, or other <i>conservation</i> strategies.</li> <li>3. Support of and participation in plans or <i>programs</i> for the <i>conservation</i> of <i>old-growth forests</i> in the region of ownership or forest tenure.</li> </ol>



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	<p>Performance Measure 4.3. <i>Program Participants</i> shall manage ecologically important sites in a manner that takes into account their unique qualities.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Use of information such as existing natural heritage data or expert advice in identifying or selecting ecologically important sites for <i>protection</i>.</li> <li>2. Appropriate mapping, cataloging and management of identified ecologically important sites.</li> </ol> <p>Performance Measure 4.4. <i>Program Participants</i> shall apply knowledge gained through research, science, technology and field experience to manage <i>wildlife habitat</i> and contribute to the <i>conservation</i> of <i>biological diversity</i>.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Collection of information on <i>Forests with Exceptional Conservation Value</i> and other <i>biodiversity</i>-related data through <i>forest inventory</i> processes, mapping or participation in external <i>programs</i>, such as NatureServe, state or provincial heritage <i>programs</i>, 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.</li> <li>2. A methodology to incorporate research results and field applications of <i>biodiversity</i> and ecosystem research into forest management decisions.</li> </ol>
<p>5.4.2 Forest management planning, inventory and mapping of forest resources shall identify, protect and/or conserve ecologically important forest areas containing significant concentrations of:</p> <p>a) protected, rare, sensitive or representative forest ecosystems such as riparian areas and wetland biotopes;</p> <p>a) areas containing endemic species and habitats of threatened species, as defined in recognised reference lists;</p> <p>c) endangered or protected genetic <i>in situ</i> resources;</p> <p>and taking into account</p> <p>d) globally, regionally and nationally significant large landscape areas with</p>	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 1 – Forest Management Planning</b></p> <p>Performance Measure 1.1. <i>Program Participants</i> shall ensure that forest management plans include <i>long-term</i> harvest levels that are sustainable and consistent with appropriate <i>growth-and-yield models</i>.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Forest management planning at a level appropriate to the size and scale of the operation, including: <ol style="list-style-type: none"> <li>a. a <i>long-term</i> resources analysis;</li> <li>b. a periodic or ongoing <i>forest inventory</i>;</li> <li>c. a <i>land classification</i> system;</li> <li>d. biodiversity at <i>landscape</i> scales;</li> <li>e. soils inventory and maps, where available;</li> <li>f. access to <i>growth-and-yield modeling</i> capabilities;</li> <li>g. up-to-date maps or a <i>geographic information system (GIS)</i>;</li> <li>h. recommended sustainable harvest levels for areas available for harvest; and</li> <li>i. a review of non-timber issues (e.g., recreation, tourism, pilot projects and economic incentive <i>programs</i> to promote water <i>protection</i>, carbon storage, <i>bioenergy feedstock</i> production, or <i>biological diversity conservation</i>, or to address climate-induced ecosystem change).</li> </ol> </li> <li>3. A <i>forest inventory</i> system and a method to calculate growth and yield.</li> <li>4. Periodic updates of <i>forest inventory</i> and recalculation of planned harvests to account for changes in growth due to <i>productivity</i> increases or decreases, including but not limited to: improved data, <i>long-term</i> drought, fertilization, <i>climate change</i>, changes in forest land ownership and tenure, or <i>forest health</i>.</li> </ol> <p><b>Objective 4 – Conservation of Biological Diversity</b></p>

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<p>natural distribution and abundance of naturally occurring species.</p> <p>Note: This does not necessarily exclude forest management activities that do not damage biodiversity values of those biotopes.</p>	<p>Performance Measure 4.1. Program Participants shall conserve biological diversity.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Program to incorporate the conservation of native biological diversity, including species, wildlife habitats and ecological community types at stand and landscape levels.</li> <li>2. Development of criteria and implementation of practices, as guided by regionally based best scientific information, to retain stand-level wildlife habitat elements such as snags, stumps, mast trees, down woody debris, den trees and nest trees.</li> <li>3. Document diversity of forest cover types and age or size classes at the individual ownership or forest tenure level, and where credible data are available, at the landscape scale. Working individually or collaboratively to support diversity of native forest cover types and age or size classes that enhance biological diversity at the landscape scale.</li> <li>4. Program Participants shall participate in or incorporate the results of state, provincial, or regional conservation planning and priority-setting efforts to conserve biological diversity and consider these efforts in forest management planning. Examples of credible priority-setting efforts include state wildlife action plans, state forest action plans, relevant habitat conservation plans or provincial wildlife recovery plans.</li> <li>5. Program to address conservation of known sites with viable occurrences of significant species of concern.</li> <li>6. Identification and protection of non-forested wetlands, including bogs, fens and marshes, and vernal pools of ecological significance.</li> <li>7. 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.</li> <li>8. Consider the role of natural disturbances, including the use of prescribed or natural fire where appropriate, and forest health threats in relation to biological diversity when developing forest management plans.</li> </ol> <p>Performance Measure 4.2. Program Participants shall protect threatened and endangered species, Forests with Exceptional Conservation Values (FECV) and old-growth forests.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Program to protect threatened and endangered species.</li> <li>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 Program Participant management, cooperation with other stakeholders, or use of easements, conservation land sales, exchanges, or other conservation strategies.</li> <li>3. Support of and participation in plans or programs for the conservation of old-growth forests in the region of ownership or forest tenure.</li> </ol> <p>Performance Measure 4.3. Program Participants shall manage ecologically important sites in a manner that takes into account their unique qualities.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Use of information such as existing natural heritage data or expert advice in identifying or selecting ecologically important sites for protection.</li> <li>2. Appropriate mapping, cataloging and management of identified ecologically important sites.</li> </ol> <p>Performance Measure 4.4. 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.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>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.</li> <li>2. A methodology to incorporate research results and field applications of biodiversity and ecosystem research into forest management decisions.</li> </ol>

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	<p><b>Objective 6 – Protection of Special Sites</b>  Performance Measure 6.1. Program Participants shall identify special sites and manage them in a manner appropriate for their unique features.  Indicators:  1. Use of information such as existing natural heritage data, expert advice or stakeholder consultation in identifying or selecting special sites for protection.  2. Appropriate mapping, cataloging and management of identified <i>special sites</i>.</p>
<p>5.4.3 Protected and endangered plant and animal species shall not be exploited for commercial purposes. Where necessary, measures shall be taken for their protection and, where relevant, to increase their population.</p>	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 4 – Conservation of Biological Diversity</b>  Performance Measure 4.1. <i>Program Participants</i> shall conserve <i>biological diversity</i>.  Indicators:  1. <i>Program</i> to incorporate the <i>conservation</i> of <i>native biological diversity</i>, including species, <i>wildlife habitats</i> and ecological community types at <i>stand</i> and <i>landscape</i> levels.  2. Development of criteria and implementation of practices, as guided by regionally based <i>best scientific information</i>, to retain <i>stand-level wildlife habitat</i> elements such as snags, stumps, mast trees, down woody debris, den trees and nest trees.  3. Document diversity of <i>forest cover types</i> and age or size classes at the individual ownership or forest tenure level, and where credible data are available, at the <i>landscape</i> scale. Working individually or collaboratively to support diversity of <i>native forest cover types</i> and age or size classes that enhance <i>biological diversity</i> at the <i>landscape</i> scale.  4. <i>Program Participants</i> shall participate in or incorporate the results of state, provincial, or regional <i>conservation</i> planning and priority-setting efforts to conserve biological diversity and consider these efforts in forest management planning. Examples of credible priority-setting efforts include state <i>wildlife</i> action plans, state forest action plans, relevant <i>habitat conservation</i> plans or provincial <i>wildlife</i> recovery plans.  5. <i>Program</i> to address <i>conservation</i> of known sites with viable occurrences of significant species of concern.  6. Identification and <i>protection</i> of <i>non-forested wetlands</i>, including bogs, fens and marshes, and <i>vernal pools</i> of ecological significance.  7. Participation in <i>programs</i> and demonstration of activities as appropriate to limit the introduction, spread and impact of <i>invasive exotic plants and animals</i> that directly threaten or are likely to threaten <i>native</i> plant and animal communities.  8. Consider the role of natural disturbances, including the use of prescribed or natural fire where appropriate, and <i>forest health</i> threats in relation to <i>biological diversity</i> when developing forest management plans.</p> <p>Performance Measure 4.2. <i>Program Participants</i> shall protect <i>threatened and endangered</i> species, <i>Forests with Exceptional Conservation Values</i> (FECV) and old-growth forests.  Indicators:  1. <i>Program</i> to protect <i>threatened and endangered</i> species.  2. <i>Program</i> to locate and protect known sites flora and fauna associated with viable occurrences of <i>critically imperiled</i> and <i>imperiled</i> species and communities also known as <i>Forests with Exceptional Conservation Value</i>. Plans for <i>protection</i> may be developed independently or collaboratively, and may include <i>Program Participant</i> management, cooperation with other stakeholders, or use of easements, <i>conservation</i> land sales, exchanges, or other <i>conservation</i> strategies.  3. Support of and participation in plans or <i>programs</i> for the <i>conservation</i> of <i>old-growth forests</i> in the region of ownership or forest tenure.</p>

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	<p>Performance Measure 4.3. <i>Program Participants</i> shall manage ecologically important sites in a manner that takes into account their unique qualities.</p> <p>Indicators:</p> <ol style="list-style-type: none"><li>1. Use of information such as existing natural heritage data or expert advice in identifying or selecting ecologically important sites for <i>protection</i>.</li><li>2. Appropriate mapping, cataloging and management of identified ecologically important sites.</li></ol> <p>Performance Measure 4.4. <i>Program Participants</i> shall apply knowledge gained through research, science, technology and field experience to manage <i>wildlife habitat</i> and contribute to the <i>conservation</i> of <i>biological diversity</i>.</p> <p>Indicators:</p> <ol style="list-style-type: none"><li>1. Collection of information on <i>Forests with Exceptional Conservation Value</i> and other <i>biodiversity</i>-related data through <i>forest inventory</i> processes, mapping or participation in external <i>programs</i>, such as NatureServe, state or provincial heritage <i>programs</i>, 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.</li></ol> <p><b>Objective 9 – Legal and Regulatory Compliance</b></p> <p>Performance Measure 9.1. <i>Program Participants</i> shall comply with applicable federal, provincial, state and local <i>forestry</i> and related social and environmental laws and regulations.</p> <p>Indicators:</p> <ol style="list-style-type: none"><li>1. Access to relevant laws and regulations in appropriate locations.</li><li>2. System to achieve compliance with applicable federal, provincial, state, or local laws and regulations.</li><li>3. Demonstration of commitment to legal compliance through <i>available regulatory action information</i>.</li></ol> <p>This requirement addresses compliance with CITES.</p> <p><b>SFI Definitions - Section 13</b> <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-13-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-13-pdf/</a></p> <p>Controversial Sources Definition:</p> <ol style="list-style-type: none"><li>a. Forest activities which are not in compliance with applicable state, provincial or federal laws, particularly as they may relate to:<ul style="list-style-type: none"><li>• <i>conversion sources</i>,</li><li>• legally required <i>protection</i> of <i>threatened and endangered</i> species,</li><li>• requirements of CITES (The Convention on International Trade in Endangered Species of Wild Fauna and Flora)</li><li>• legally required management of areas with designated high environmental and cultural values,</li><li>• labor regulations relating to forest workers,</li><li>• <i>Indigenous Peoples'</i> property, tenure and use rights.</li></ul></li><li>b. Fiber sourced from <i>illegal logging</i>.</li><li>c. <i>Fiber sourced from areas without effective social laws</i>.</li></ol>
5.4.4 Forest management shall ensure successful regeneration through natural regeneration or, where not appropriate,	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b> <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p>

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<p>planting that is adequate to ensure the quantity and quality of the forest resources.</p>	<p><b>Objective 1 – Forest Management Planning</b>  Performance Measure 1.1. <i>Program Participants</i> shall ensure that forest management plans include <i>long-term</i> harvest levels that are sustainable and consistent with appropriate <i>growth-and-yield models</i>.  Indicators:  3. A <i>forest inventory</i> system and a method to calculate growth and yield.  4. Periodic updates of <i>forest inventory</i> and recalculation of planned harvests to account for changes in growth due to <i>productivity</i> increases or decreases, including but not limited to: improved data, <i>long-term</i> drought, fertilization, <i>climate change</i>, changes in forest land ownership and tenure, or <i>forest health</i>.  5. Documentation of forest practices (e.g., <i>planting</i>, fertilization and thinning) consistent with assumptions in harvest plans.</p> <p>Performance Measure 1.2. <i>Program Participants</i> shall not convert one <i>forest cover type</i> to another <i>forest cover type</i>, unless in justified circumstances.  Indicators:  1. <i>Program Participants</i> shall not convert one <i>forest cover type</i> to another <i>forest cover type</i>, unless the conversion:  a. Is in compliance with relevant national and regional <i>policy</i> and legislation related to land use and forest management; and  b. Would not convert <i>native</i> forest types that are rare and ecologically significant at the <i>landscape</i> level or put any <i>native</i> forest types at risk of becoming rare; and  c. Does not create significant <i>long-term</i> adverse impacts on <i>Forests with Exceptional Conservation Value</i>, <i>old-growth forests</i>, forests critical to <i>threatened and endangered species</i>, and <i>special sites</i>.</p> <p>2. Where a <i>Program Participant</i> intends to convert another <i>forest cover type</i>, an assessment considers:  c. <i>Productivity</i> and <i>stand</i> quality conditions and impacts which may include social and economic values;  d. Specific ecosystem issues related to the site such as invasive species, insect or disease issues, riparian <i>protection</i> needs and others as appropriate to site including regeneration challenges; and  e. Ecological impacts of the conversion including a review at the site and <i>landscape</i> scale as well as consideration for any appropriate mitigation measures.</p> <p><b>Objective 2 – Forest Health and Productivity</b>  Performance Measure 2.1. <i>Program Participants</i> shall promptly reforest after final harvest.  Indicators:  1. Documented <i>reforestation</i> plans, including designation of all harvest areas for either natural, planted or direct seeded regeneration and prompt <i>reforestation</i>, unless delayed for site-specific environmental or <i>forest health</i> considerations or legal requirements, through <i>planting</i> within two years or two <i>planting</i> seasons, or by planned <i>natural regeneration</i> methods within five years.  2. Clear criteria to judge adequate regeneration and appropriate actions to correct understocked areas and achieve acceptable species composition and stocking rates for <i>planting</i>, <i>direct seeding</i> and <i>natural regeneration</i>.  3. <i>Plantings</i> of <i>exotic tree species</i> should <i>minimize</i> risk to <i>native</i> ecosystems.  4. <i>Protection</i> of desirable or planned advanced <i>natural regeneration</i> during harvest.  5. <i>Afforestation programs</i> that consider potential ecological impacts of the selection and <i>planting</i> of tree species in non-forested <i>landscapes</i>.</p> <p><b>Objective 5 – Management of Visual Quality and Recreational Benefits</b>  Performance Measure 5.3. <i>Program Participants</i> shall adopt a <i>green-up requirement</i> or alternative methods that provide for <i>visual quality</i>.</p>

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	<p>Indicators:</p> <ol style="list-style-type: none"> <li>1. <i>Program</i> implementing the <i>green-up requirement</i> or alternative methods.</li> <li>2. Harvest area tracking system to demonstrate conformance with the <i>green-up requirement</i> or alternative methods.</li> <li>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 <i>performance measure</i> are utilized by the <i>Program Participant</i>.</li> </ol>
<p>5.4.5 For reforestation and afforestation, origins of native species and local provenances that are well-adapted to site conditions shall be preferred, where appropriate. Only those introduced species, provenances or varieties shall be used whose impacts on the ecosystem and on the genetic integrity of native species and local provenances have been evaluated, and if negative impacts can be avoided or minimised.</p> <p>Note: CBD (Convention on Biological Diversity) Guiding Principles for the Prevention, Introduction, and Mitigation of Impacts of Alien Species that Threaten Ecosystems, Habitats or Species are recognised as guidance for avoidance of invasive species.</p>	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 1 – Forest Management Planning</b>  Performance Measure 1.2. <i>Program Participants</i> shall not convert one <i>forest cover type</i> to another <i>forest cover type</i>, unless in justified circumstances.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. <i>Program Participants</i> shall not convert one <i>forest cover type</i> to another <i>forest cover type</i>, unless the conversion: <ol style="list-style-type: none"> <li>a. Is in compliance with relevant national and regional <i>policy</i> and legislation related to land use and forest management; and</li> <li>b. Would not convert <i>native</i> forest types that are rare and ecologically significant at the <i>landscape</i> level or put any <i>native</i> forest types at risk of becoming rare; and</li> <li>c. Does not create significant <i>long-term</i> adverse impacts on <i>Forests with Exceptional Conservation Value</i>, <i>old-growth forests</i>, forests critical to <i>threatened and endangered</i> species, and <i>special sites</i>.</li> </ol> </li> <li>2. Where a <i>Program Participant</i> intends to convert another <i>forest cover type</i>, an assessment considers: <ol style="list-style-type: none"> <li>a. <i>Productivity</i> and <i>stand</i> quality conditions and impacts which may include social and economic values;</li> <li>b. Specific ecosystem issues related to the site such as invasive species, insect or disease issues, riparian <i>protection</i> needs and others as appropriate to site including regeneration challenges; and</li> <li>c. Ecological impacts of the conversion including a review at the site and <i>landscape</i> scale as well as consideration for any appropriate mitigation measures.</li> </ol> </li> </ol> <p><b>Objective 2 – Forest Health and Productivity</b>  Performance Measure 2.1. <i>Program Participants</i> shall promptly reforest after final harvest.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Documented <i>reforestation</i> plans, including designation of all harvest areas for either natural, planted or direct seeded regeneration and prompt <i>reforestation</i>, unless delayed for site-specific environmental or <i>forest health</i> considerations or legal requirements, through <i>planting</i> within two years or two <i>planting</i> seasons, or by planned <i>natural regeneration</i> methods within five years.</li> <li>2. Clear criteria to judge adequate regeneration and appropriate actions to correct understocked areas and achieve acceptable species composition and stocking rates for <i>planting</i>, <i>direct seeding</i> and <i>natural regeneration</i>.</li> <li>3. <i>Plantings</i> of <i>exotic tree species</i> should <i>minimize</i> risk to <i>native</i> ecosystems.</li> <li>4. <i>Protection</i> of desirable or planned advanced <i>natural regeneration</i> during harvest.</li> <li>5. <i>Afforestation programs</i> that consider potential ecological impacts of the selection and <i>planting</i> of tree species in non-forested <i>landscapes</i>.</li> </ol>

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	<p>Performance Measure 2.4. <i>Program Participants</i> shall manage so as to protect forests from damaging agents, such as environmentally or economically undesirable wildfire, pests, diseases and <i>invasive exotic plants and animals</i>, to maintain and improve <i>long-term forest health, productivity and economic viability</i>.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. <i>Program</i> to protect forests from damaging agents.</li> <li>2. Management to promote healthy and productive forest conditions to <i>minimize</i> susceptibility to damaging agents.</li> <li>3. Participation in, and support of, fire and pest prevention and control <i>programs</i>.</li> </ol> <p>Performance Measure 2.5. <i>Program Participants</i> that deploy <i>improved planting stock</i>, including <i>varietal seedlings</i>, shall use best scientific methods.</p> <p>Indicator:</p> <ol style="list-style-type: none"> <li>1. <i>Program</i> for appropriate research, testing, evaluation and deployment of <i>improved planting stock</i>, including <i>varietal seedlings</i>.</li> </ol>
<p>5.4.6 Afforestation and reforestation activities that contribute to the improvement and restoration of ecological connectivity shall be promoted.</p>	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 1 – Forest Management Planning</b></p> <p>Performance Measure 1.2. <i>Program Participants</i> shall not convert one <i>forest cover type</i> to another <i>forest cover type</i>, unless in justified circumstances.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. <i>Program Participants</i> shall not convert one <i>forest cover type</i> to another <i>forest cover type</i>, unless the conversion: <ol style="list-style-type: none"> <li>a. Is in compliance with relevant national and regional <i>policy</i> and legislation related to land use and forest management; and</li> <li>b. Would not convert <i>native</i> forest types that are rare and ecologically significant at the <i>landscape</i> level or put any <i>native</i> forest types at risk of becoming rare; and</li> <li>c. Does not create significant <i>long-term</i> adverse impacts on <i>Forests with Exceptional Conservation Value, old-growth forests</i>, forests critical to <i>threatened and endangered</i> species, and <i>special sites</i>.</li> </ol> </li> <li>2. Where a <i>Program Participant</i> intends to convert another <i>forest cover type</i>, an assessment considers: <ol style="list-style-type: none"> <li>a. <i>Productivity</i> and <i>stand</i> quality conditions and impacts which may include social and economic values;</li> <li>b. Specific ecosystem issues related to the site such as invasive species, insect or disease issues, riparian <i>protection</i> needs and others as appropriate to site including regeneration challenges; and</li> <li>c. Ecological impacts of the conversion including a review at the site and <i>landscape</i> scale as well as consideration for any appropriate mitigation measures.</li> </ol> </li> </ol> <p><b>Objective 2 – Forest Health and Productivity</b></p> <p>Performance Measure 2.1. <i>Program Participants</i> shall promptly reforest after final harvest.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Documented <i>reforestation</i> plans, including designation of all harvest areas for either natural, planted or direct seeded regeneration and prompt <i>reforestation</i>, unless delayed for site-specific environmental or <i>forest health</i> considerations or legal requirements, through <i>planting</i> within two years or two <i>planting</i> seasons, or by planned <i>natural regeneration</i> methods within five years.</li> <li>2. Clear criteria to judge adequate regeneration and appropriate actions to correct understocked areas and achieve acceptable species composition and stocking rates for <i>planting, direct seeding and natural regeneration</i>.</li> </ol>



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	<p>3. <i>Plantings of exotic tree species</i> should <i>minimize</i> risk to <i>native</i> ecosystems.</p> <p>4. <i>Protection</i> of desirable or planned advanced <i>natural regeneration</i> during harvest.</p> <p>5. <i>Afforestation programs</i> that consider potential ecological impacts of the selection and <i>planting</i> of tree species in non-forested <i>landscapes</i>.</p> <p>Performance Measure 2.2. <i>Program Participants</i> shall <i>minimize</i> chemical use required to achieve management <i>objectives</i> while protecting employees, neighbors, the public and the environment, including <i>wildlife</i> and <i>aquatic habitats</i>.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. <i>Minimized</i> chemical use required to achieve management <i>objectives</i>.</li> <li>2. Use of <i>least-toxic and narrowest-spectrum pesticides</i> necessary to achieve management <i>objectives</i>.</li> <li>3. Use of pesticides registered for the intended use and applied in accordance with label requirements.</li> <li>4. The World Health Organization (WHO) type 1A and 1B pesticides shall be prohibited, except where no other viable alternative is available.</li> <li>5. Use of pesticides banned under the Stockholm Convention on Persistent Organic Pollutants (2001) shall be prohibited.</li> <li>6. Use of <i>integrated pest management</i> where feasible.</li> <li>7. Supervision of forest chemical applications by state- or provincial-trained or certified applicators.</li> <li>8. Use of management practices appropriate to the situation, for example: <ol style="list-style-type: none"> <li>a. notification of adjoining landowners or nearby residents concerning applications and chemicals used;</li> <li>b. appropriate multilingual signs or oral warnings;</li> <li>c. control of public road access during and immediately after applications;</li> <li>d. designation of streamside and other needed buffer strips;</li> <li>e. use of positive shutoff and minimal-drift spray valves;</li> <li>f. aerial application of forest chemicals parallel to buffer zones to <i>minimize</i> drift;</li> <li>g. monitoring of water quality or safeguards to ensure proper equipment use and <i>protection</i> of streams, lakes and other water bodies;</li> <li>h. appropriate transportation and storage of chemicals;</li> <li>i. filing of required state or provincial reports; and/or</li> <li>j. use of methods to ensure <i>protection of threatened and endangered</i> species.</li> </ol> </li> </ol> <p>Performance Measure 2.3. <i>Program Participants</i> shall implement forest management practices to protect and maintain forest and soil <i>productivity</i>.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Process to identify soils vulnerable to compaction, and use of appropriate methods, including the use of soil maps where available, to avoid excessive soil disturbance.</li> <li>2. Use of erosion control measures to <i>minimize</i> the loss of soil and site <i>productivity</i>.</li> <li>3. Post-harvest conditions conducive to maintaining site <i>productivity</i> (e.g., limited rutting, retained down woody debris, <i>minimized skid trails</i>).</li> <li>4. Retention of vigorous trees during partial harvesting, consistent with scientific silvicultural standards for the area.</li> <li>5. Criteria that address harvesting and site preparation to protect soil <i>productivity</i>.</li> <li>6. Road construction and skidding layout to <i>minimize</i> impacts to soil <i>productivity</i>.</li> </ol> <p>Performance Measure 2.4. <i>Program Participants</i> shall manage so as to protect forests from damaging agents, such as environmentally or economically undesirable wildfire, pests, diseases and <i>invasive exotic plants and animals</i>, to maintain and improve <i>long-term forest health, productivity</i> and <i>economic viability</i>.</p>

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	<p>1. Use of information such as existing natural heritage data or expert advice in identifying or selecting ecologically important sites for <i>protection</i>.</p> <p>2. Appropriate mapping, cataloging and management of identified ecologically important sites.</p> <p>Performance Measure 4.4. <i>Program Participants</i> shall apply knowledge gained through research, science, technology and field experience to manage <i>wildlife habitat</i> and contribute to the <i>conservation</i> of <i>biological diversity</i>.</p> <p>Indicators:</p> <p>1. Collection of information on <i>Forests with Exceptional Conservation Value</i> and other <i>biodiversity</i>-related data through <i>forest inventory</i> processes, mapping or participation in external <i>programs</i>, such as NatureServe, state or provincial heritage <i>programs</i>, 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.</p> <p>2. A methodology to incorporate research results and field applications of <i>biodiversity</i> and ecosystem research into forest management decisions.</p>
<p>5.4.7 Genetically-modified trees shall not be used.</p> <p>Note: The restriction on the usage of genetically-modified trees has been adopted based on the Precautionary Principle. Until enough scientific data on genetically-modified trees indicates that impacts on human and animal health and the environment are equivalent to, or more positive than, those presented by trees genetically improved by traditional methods, no genetically-modified trees will be used.</p>	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI Policies - Section 7</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-7-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-7-pdf/</a></p> <p><u>SFI Policy on Forest Tree Biotechnology<sup>49</sup></u></p> <p>The SFI program has strong existing measures in the SFI 2015-2019 Forest Management Standard and the SFI 2015-2019 Fiber Sourcing Standard regarding research on genetically engineered trees via forest tree biotechnology.<sup>50</sup> The use of genetically modified organisms is an evolving issue and as federal and international laws, regulations, agreements, treaties and market place recognition of the use of genetically engineered trees via forest tree biotechnology change, SFI Inc. will proactively review and update the SFI 2015-2019 Standards and Rules language and this policy as necessary.</p> <p>A. SFI Inc. recognizes that forest tree biotechnology offers the potential to prevent the loss of tree species like the American Chestnut due to devastating diseases and to further improve the quality and productivity of trees, their resistance to insects and disease and to grow trees with characteristics that allow them to be more efficiently manufactured into building products, paper and to provide feedstock for bioenergy.</p> <p>B. SFI Inc. recognizes that genetically engineered forest trees are not approved for commercial plantings in the United States and Canada and, even if approved in the future, it will take many years for fiber from genetically engineered forest trees to reach manufacturing facilities.</p> <p>C. SFI Inc. realizes that much research is still being conducted to study the ecological cost benefits of genetically engineered trees and regulations concerning forest biotechnology continue to evolve. As such research and regulations develop; SFI Inc. will review to understand the impacts of genetically engineered trees from an ecological perspective.</p> <p>D. SFI Inc. is endorsed by the Program for the Endorsement of Forest Certification (<a href="http://www.pefc.org">www.pefc.org</a>) which has restrictions on the use of genetically engineered trees</p>

<sup>49</sup> As approved by the *SFI* Board of Directors December 5, 2013.

<sup>50</sup> 5.1.2 (FS) and 10.1.2 (FM). Research on genetically engineered trees via *forest tree biotechnology* shall adhere to all applicable federal, state, and provincial regulations and international protocols.

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

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	<p>until December 31, 2015:</p> <p>“Genetically-modified trees shall not be used.” <sup>51</sup></p> <p>Note: The restriction on the usage of genetically-modified trees has been adopted based on the Precautionary Principle. Until enough scientific data on genetically-modified trees indicates that impacts on human and animal health and the environment are equivalent to, or more positive than, those presented by trees genetically improved by traditional methods, no genetically-modified trees will be used.”</p> <p>Note: The policy on the exclusion of material from genetically modified forest based organisms remains in force until 31 December 2015.”</p> <p>E. Given the issues identified in item (b) regarding legal approval and lack of commercialization and in item (d) regarding PEFC requirements for endorsement of the SFI program, the use of fiber from genetically engineered trees via forest biotechnology is not approved for use in SFI labeled products.</p> <p>F. The SFI 2015-2019 Standards and Rules requirements regarding research on genetically engineered trees via forest tree biotechnology will remain in place.</p> <p>G. SFI Inc. will proactively review and update the SFI 2015-2019 Standard and Rules language and this policy as necessary.</p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 10 – Forest Research, Science and Technology</b>  Performance Measure 10.1. <i>Program Participants</i> shall individually and/or through cooperative efforts involving <i>SFI Implementation Committees</i>, associations or other partners provide in-kind support or funding for forest research to improve <i>forest health, productivity</i> and sustainable management of forest resources, and the environmental benefits and performance of forest products.  Indicator:  2. Research on genetically engineered trees via <i>forest tree biotechnology</i> shall adhere to all applicable federal, state, and provincial regulations and international protocols ratified by the United States and/or Canada depending on jurisdiction of management.</p>
<p>5.4.8 Forest management practices shall, where appropriate, promote a diversity of both horizontal and vertical structures such as uneven-aged stands and the diversity of species such as mixed stands. Where appropriate, the practices shall also aim to maintain and restore landscape diversity.</p>	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 1 – Forest Management Planning</b>  Performance Measure 1.2. <i>Program Participants</i> shall not convert one <i>forest cover type</i> to another <i>forest cover type</i>, unless in justified circumstances.</p> <p>Indicators:</p>

<sup>51</sup> PEFC ST 1003:2010, Sustainable Forest Management-Requirements, 5.4.7.

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	<p>5. <i>Program Participants</i> shall not convert one <i>forest cover type</i> to another <i>forest cover type</i>, unless the conversion:</p> <ul style="list-style-type: none"> <li>a. Is in compliance with relevant national and regional <i>policy</i> and legislation related to land use and forest management; and</li> <li>b. Would not convert <i>native</i> forest types that are rare and ecologically significant at the <i>landscape</i> level or put any <i>native</i> forest types at risk of becoming rare; and</li> </ul> <p>c. Does not create significant <i>long-term</i> adverse impacts on <i>Forests with Exceptional Conservation Value</i>, <i>old-growth forests</i>, forests critical to <i>threatened and endangered</i> species, and <i>special sites</i>.</p> <p>6. Where a <i>Program Participant</i> intends to convert another <i>forest cover type</i>, an assessment considers:</p> <ul style="list-style-type: none"> <li>j. <i>Productivity</i> and <i>stand</i> quality conditions and impacts which may include social and economic values;</li> <li>k. Specific ecosystem issues related to the site such as invasive species, insect or disease issues, riparian <i>protection</i> needs and others as appropriate to site including regeneration challenges; and</li> <li>l. Ecological impacts of the conversion including a review at the site and <i>landscape</i> scale as well as consideration for any appropriate mitigation measures.</li> </ul> <p><b>Objective 4 – Conservation of Biological Diversity</b></p> <p>Performance Measure 4.1. <i>Program Participants</i> shall conserve <i>biological diversity</i>.</p> <p>Indicators:</p> <ul style="list-style-type: none"> <li>1. <i>Program</i> to incorporate the <i>conservation</i> of <i>native biological diversity</i>, including species, <i>wildlife habitats</i> and ecological community types at <i>stand</i> and <i>landscape</i> levels.</li> <li>2. Development of criteria and implementation of practices, as guided by regionally based <i>best scientific information</i>, to retain <i>stand</i>-level <i>wildlife habitat</i> elements such as snags, stumps, mast trees, down woody debris, den trees and nest trees.</li> <li>3. Document diversity of <i>forest cover types</i> and age or size classes at the individual ownership or forest tenure level, and where credible data are available, at the <i>landscape</i> scale. Working individually or collaboratively to support diversity of <i>native forest cover types</i> and age or size classes that enhance <i>biological diversity</i> at the <i>landscape</i> scale.</li> <li>4. <i>Program Participants</i> shall participate in or incorporate the results of state, provincial, or regional <i>conservation</i> planning and priority-setting efforts to conserve biological diversity and consider these efforts in forest management planning. Examples of credible priority-setting efforts include state <i>wildlife</i> action plans, state forest action plans, relevant <i>habitat conservation</i> plans or provincial <i>wildlife</i> recovery plans.</li> <li>5. <i>Program</i> to address <i>conservation</i> of known sites with viable occurrences of significant species of concern.</li> <li>6. Identification and <i>protection</i> of <i>non-forested wetlands</i>, including bogs, fens and marshes, and <i>vernal pools</i> of ecological significance.</li> <li>7. Participation in <i>programs</i> and demonstration of activities as appropriate to limit the introduction, spread and impact of <i>invasive exotic plants and animals</i> that directly threaten or are likely to threaten <i>native</i> plant and animal communities.</li> <li>8. Consider the role of natural disturbances, including the use of prescribed or natural fire where appropriate, and <i>forest health</i> threats in relation to <i>biological diversity</i> when developing forest management plans.</li> </ul> <p>Performance Measure 4.2. <i>Program Participants</i> shall protect <i>threatened and endangered</i> species, <i>Forests with Exceptional Conservation Values</i> (FECV) and old-growth forests.</p> <p>Indicators:</p> <ul style="list-style-type: none"> <li>1. <i>Program</i> to protect <i>threatened and endangered</i> species.</li> <li>2. <i>Program</i> to locate and protect known sites flora and fauna associated with viable occurrences of <i>critically imperiled</i> and <i>imperiled</i> species and communities also known as <i>Forests with Exceptional Conservation Value</i>. Plans for <i>protection</i> may be developed independently or collaboratively, and may include <i>Program Participant</i> management, cooperation with other stakeholders, or use of easements, <i>conservation</i> land sales, exchanges, or other <i>conservation</i> strategies.</li> </ul>

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	<p>3. Support of and participation in plans or <i>programs</i> for the <i>conservation</i> of <i>old-growth forests</i> in the region of ownership or forest tenure.</p> <p>Performance Measure 4.3. <i>Program Participants</i> shall manage ecologically important sites in a manner that takes into account their unique qualities.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Use of information such as existing natural heritage data or expert advice in identifying or selecting ecologically important sites for <i>protection</i>.</li> <li>2. Appropriate mapping, cataloging and management of identified ecologically important sites.</li> </ol> <p>Performance Measure 4.4. <i>Program Participants</i> shall apply knowledge gained through research, science, technology and field experience to manage <i>wildlife habitat</i> and contribute to the <i>conservation</i> of <i>biological diversity</i>.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Collection of information on <i>Forests with Exceptional Conservation Value</i> and other <i>biodiversity</i>-related data through <i>forest inventory</i> processes, mapping or participation in external <i>programs</i>, such as NatureServe, state or provincial heritage <i>programs</i>, 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.</li> <li>2. A methodology to incorporate research results and field applications of <i>biodiversity</i> and ecosystem research into forest management decisions.</li> </ol>
<p>5.4.9 Traditional management systems that have created valuable ecosystems, such as coppice, on appropriate sites shall be supported, when economically feasible.</p>	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 1 – Forest Management Planning</b></p> <p>Performance Measure 1.2. <i>Program Participants</i> shall not convert one <i>forest cover type</i> to another <i>forest cover type</i>, unless in justified circumstances.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. <i>Program Participants</i> shall not convert one <i>forest cover type</i> to another <i>forest cover type</i>, unless the conversion: <ol style="list-style-type: none"> <li>d. Is in compliance with relevant national and regional <i>policy</i> and legislation related to land use and forest management; and</li> <li>e. Would not convert <i>native</i> forest types that are rare and ecologically significant at the <i>landscape</i> level or put any <i>native</i> forest types at risk of becoming rare; and</li> <li>c. Does not create significant <i>long-term</i> adverse impacts on <i>Forests with Exceptional Conservation Value</i>, <i>old-growth forests</i>, forests critical to <i>threatened and endangered</i> species, and <i>special sites</i>.</li> </ol> </li> <li>2. Where a <i>Program Participant</i> intends to convert another <i>forest cover type</i>, an assessment considers: <ol style="list-style-type: none"> <li>f. <i>Productivity</i> and <i>stand</i> quality conditions and impacts which may include social and economic values;</li> <li>g. Specific ecosystem issues related to the site such as invasive species, insect or disease issues, riparian <i>protection</i> needs and others as appropriate to site including regeneration challenges; and</li> <li>h. Ecological impacts of the conversion including a review at the site and <i>landscape</i> scale as well as consideration for any appropriate mitigation measures.</li> </ol> </li> </ol> <p><b>Objective 4 – Conservation of Biological Diversity</b></p> <p>Performance Measure 4.1. <i>Program Participants</i> shall conserve <i>biological diversity</i>.</p> <p>Indicators:</p>

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	<p>1. <i>Program</i> to incorporate the <i>conservation</i> of <i>native biological diversity</i>, including species, <i>wildlife habitats</i> and ecological community types at <i>stand</i> and <i>landscape</i> levels.</p> <p>2. Development of criteria and implementation of practices, as guided by regionally based <i>best scientific information</i>, to retain <i>stand</i>-level <i>wildlife habitat</i> elements such as snags, stumps, mast trees, down woody debris, den trees and nest trees.</p> <p>3. Document diversity of <i>forest cover types</i> and age or size classes at the individual ownership or forest tenure level, and where credible data are available, at the <i>landscape</i> scale. Working individually or collaboratively to support diversity of <i>native forest cover types</i> and age or size classes that enhance <i>biological diversity</i> at the <i>landscape</i> scale.</p> <p>4. <i>Program Participants</i> shall participate in or incorporate the results of state, provincial, or regional <i>conservation</i> planning and priority-setting efforts to conserve biological diversity and consider these efforts in forest management planning. Examples of credible priority-setting efforts include state <i>wildlife</i> action plans, state forest action plans, relevant <i>habitat conservation</i> plans or provincial <i>wildlife</i> recovery plans.</p> <p>5. <i>Program</i> to address <i>conservation</i> of known sites with viable occurrences of significant species of concern.</p> <p>7. Participation in <i>programs</i> and demonstration of activities as appropriate to limit the introduction, spread and impact of <i>invasive exotic plants and animals</i> that directly threaten or are likely to threaten <i>native</i> plant and animal communities.</p> <p>8. Consider the role of natural disturbances, including the use of prescribed or natural fire where appropriate, and <i>forest health</i> threats in relation to <i>biological diversity</i> when developing forest management plans.</p> <p>Performance Measure 4.2. <i>Program Participants</i> shall protect <i>threatened and endangered</i> species, <i>Forests with Exceptional Conservation Values</i> (FECV) and old-growth forests.</p> <p>Indicators:</p> <p>1. <i>Program</i> to protect <i>threatened and endangered</i> species.</p> <p>2. <i>Program</i> to locate and protect known sites flora and fauna associated with viable occurrences of <i>critically imperiled</i> and <i>imperiled</i> species and communities also known as <i>Forests with Exceptional Conservation Value</i>. Plans for <i>protection</i> may be developed independently or collaboratively, and may include <i>Program Participant</i> management, cooperation with other stakeholders, or use of easements, <i>conservation</i> land sales, exchanges, or other <i>conservation</i> strategies.</p> <p>3. Support of and participation in plans or <i>programs</i> for the <i>conservation</i> of <i>old-growth forests</i> in the region of ownership or forest tenure.</p> <p>Performance Measure 4.3. <i>Program Participants</i> shall manage ecologically important sites in a manner that takes into account their unique qualities.</p> <p>Indicators:</p> <p>1. Use of information such as existing natural heritage data or expert advice in identifying or selecting ecologically important sites for <i>protection</i>.</p> <p>2. Appropriate mapping, cataloging and management of identified ecologically important sites.</p> <p>Performance Measure 4.4. <i>Program Participants</i> shall apply knowledge gained through research, science, technology and field experience to manage <i>wildlife habitat</i> and contribute to the <i>conservation</i> of <i>biological diversity</i>.</p> <p>Indicators:</p> <p>1. Collection of information on <i>Forests with Exceptional Conservation Value</i> and other <i>biodiversity</i>-related data through <i>forest inventory</i> processes, mapping or participation in external <i>programs</i>, such as NatureServe, state or provincial heritage <i>programs</i>, 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.</p> <p>2. A methodology to incorporate research results and field applications of <i>biodiversity</i> and ecosystem research into forest management decisions.</p>
5.4.10 Tending and harvesting operations	<b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b>



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shall be conducted in a way that does not cause lasting damage to ecosystems. Wherever possible, practical measures shall be taken to improve or maintain biological diversity.	<p><b>SFI 2015-2019 Forest Management Standard - Section 2</b> <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 2 – Forest Health and Productivity</b></p> <p>Performance Measure 2.1. <i>Program Participants</i> shall promptly reforest after final harvest.</p> <p>Indicators:</p> <ol style="list-style-type: none"><li>1. Documented <i>reforestation</i> plans, including designation of all harvest areas for either natural, planted or direct seeded regeneration and prompt <i>reforestation</i>, unless delayed for site-specific environmental or <i>forest health</i> considerations or legal requirements, through <i>planting</i> within two years or two <i>planting</i> seasons, or by planned <i>natural regeneration</i> methods within five years.</li><li>2. Clear criteria to judge adequate regeneration and appropriate actions to correct understocked areas and achieve acceptable species composition and stocking rates for <i>planting</i>, <i>direct seeding</i> and <i>natural regeneration</i>.</li><li>3. <i>Plantings</i> of <i>exotic tree species</i> should <i>minimize</i> risk to <i>native</i> ecosystems.</li><li>4. <i>Protection</i> of desirable or planned advanced <i>natural regeneration</i> during harvest.</li><li>5. <i>Afforestation programs</i> that consider potential ecological impacts of the selection and <i>planting</i> of tree species in non-forested <i>landscapes</i>.</li></ol> <p>Performance Measure 2.2. <i>Program Participants</i> shall <i>minimize</i> chemical use required to achieve management <i>objectives</i> while protecting employees, neighbors, the public and the environment, including <i>wildlife</i> and <i>aquatic habitats</i>.</p> <p>Indicators:</p> <ol style="list-style-type: none"><li>1. <i>Minimized</i> chemical use required to achieve management <i>objectives</i>.</li><li>2. Use of <i>least-toxic and narrowest-spectrum pesticides</i> necessary to achieve management <i>objectives</i>.</li><li>3. Use of pesticides registered for the intended use and applied in accordance with label requirements.</li><li>4. The World Health Organization (WHO) type 1A and 1B pesticides shall be prohibited, except where no other viable alternative is available.</li><li>5. Use of pesticides banned under the Stockholm Convention on Persistent Organic Pollutants (2001) shall be prohibited.</li><li>6. Use of <i>integrated pest management</i> where feasible.</li><li>7. Supervision of forest chemical applications by state- or provincial-trained or certified applicators.</li><li>8. Use of management practices appropriate to the situation, for example:<ol style="list-style-type: none"><li>a. notification of adjoining landowners or nearby residents concerning applications and chemicals used;</li><li>b. appropriate multilingual signs or oral warnings;</li><li>c. control of public road access during and immediately after applications;</li><li>d. designation of streamside and other needed buffer strips;</li><li>e. use of positive shutoff and minimal-drift spray valves;</li><li>f. aerial application of forest chemicals parallel to buffer zones to <i>minimize</i> drift;</li><li>g. monitoring of water quality or safeguards to ensure proper equipment use and <i>protection</i> of streams, lakes and other water bodies;</li><li>h. appropriate transportation and storage of chemicals;</li><li>i. filing of required state or provincial reports; and/or</li><li>j. use of methods to ensure <i>protection</i> of <i>threatened and endangered</i> species.</li></ol></li></ol>

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	<p>Performance Measure 2.3. <i>Program Participants</i> shall implement forest management practices to protect and maintain forest and soil <i>productivity</i>.  Indicators:</p> <ol style="list-style-type: none"> <li>1. Process to identify soils vulnerable to compaction, and use of appropriate methods, including the use of soil maps where available, to avoid excessive soil disturbance.</li> <li>2. Use of erosion control measures to <i>minimize</i> the loss of soil and site <i>productivity</i>.</li> <li>3. Post-harvest conditions conducive to maintaining site <i>productivity</i> (e.g., limited rutting, retained down woody debris, <i>minimized skid trails</i>).</li> <li>4. Retention of vigorous trees during partial harvesting, consistent with scientific silvicultural standards for the area.</li> <li>5. Criteria that address harvesting and site preparation to protect soil <i>productivity</i>.</li> <li>6. Road construction and skidding layout to <i>minimize</i> impacts to soil <i>productivity</i>.</li> </ol> <p><b>Objective 3 – Protection and Maintenance of Water Resources</b>  Performance Measure 3.1. <i>Program Participants</i> shall meet or exceed all applicable federal, provincial, state and local water quality laws, and meet or exceed <i>best management practices</i> developed under Canadian or U.S. Environmental Protection Agency–approved water quality <i>programs</i>.  Indicators:</p> <ol style="list-style-type: none"> <li>1. <i>Program</i> to implement federal, state or provincial water quality <i>best management practices</i> during all phases of management activities.</li> <li>2. Contract provisions that specify conformance to <i>best management practices</i>.</li> <li>3. Monitoring of overall <i>best management practices</i> implementation.</li> </ol> <p>Performance Measure 3.2. <i>Program Participants</i> shall implement water, <i>wetland</i> and <i>riparian protection</i> measures based on soil type, terrain, vegetation, ecological function, harvesting system, state <i>best management practices (BMPs)</i>, provincial guidelines and other applicable factors.  Indicators:</p> <ol style="list-style-type: none"> <li>1. <i>Program</i> addressing management and <i>protection</i> of rivers, streams, lakes, <i>wetlands</i>, other water bodies and <i>riparian areas</i> during all phases of management, including the layout and construction of roads and <i>skid trails</i> to maintain water reach, flow and quality.</li> <li>2. Mapping of rivers, streams, lakes, <i>wetlands</i> and other water bodies as specified in state or provincial <i>best management practices</i> and, where appropriate, identification on the ground.</li> <li>3. Document and implement plans to manage and protect rivers, streams, lakes, <i>wetlands</i>, other water bodies and <i>riparian areas</i>.</li> <li>4. Plans that address wet-weather events in order to maintain water quality (e.g., <i>forest inventory</i> systems, wet-weather tracts, definitions of acceptable operating conditions).</li> </ol> <p><b>Objective 4 – Conservation of Biological Diversity</b>  Performance Measure 4.1. <i>Program Participants</i> shall conserve <i>biological diversity</i>.  Indicators:</p> <ol style="list-style-type: none"> <li>1. <i>Program</i> to incorporate the <i>conservation</i> of <i>native biological diversity</i>, including species, <i>wildlife habitats</i> and ecological community types at <i>stand</i> and <i>landscape</i> levels.</li> <li>2. Development of criteria and implementation of practices, as guided by regionally based <i>best scientific information</i>, to retain <i>stand</i>-level <i>wildlife habitat</i> elements such as snags, stumps, mast trees, down woody debris, den trees and nest trees.</li> <li>3. Document diversity of <i>forest cover types</i> and age or size classes at the individual ownership or forest tenure level, and where credible data are available, at the <i>landscape</i> scale. Working individually or collaboratively to support diversity of <i>native forest cover types</i> and age or size classes that enhance <i>biological diversity</i> at the <i>landscape</i> scale.</li> <li>4. <i>Program Participants</i> shall participate in or incorporate the results of state, provincial, or regional <i>conservation</i> planning and priority-setting efforts to conserve biological diversity and consider these efforts in forest management planning. Examples of credible priority-setting efforts include state <i>wildlife</i> action plans, state</li> </ol>

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	<p>forest action plans, relevant <i>habitat conservation</i> plans or provincial <i>wildlife</i> recovery plans.</p> <p>5. <i>Program</i> to address <i>conservation</i> of known sites with viable occurrences of significant species of concern.</p> <p>7. Participation in <i>programs</i> and demonstration of activities as appropriate to limit the introduction, spread and impact of <i>invasive exotic plants and animals</i> that directly threaten or are likely to threaten <i>native</i> plant and animal communities.</p> <p>8. Consider the role of natural disturbances, including the use of prescribed or natural fire where appropriate, and <i>forest health</i> threats in relation to <i>biological diversity</i> when developing forest management plans.</p> <p>Performance Measure 4.2. <i>Program Participants</i> shall protect <i>threatened and endangered</i> species, <i>Forests with Exceptional Conservation Values</i> (FECV) and old-growth forests.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. <i>Program</i> to protect <i>threatened and endangered</i> species.</li> <li>2. <i>Program</i> to locate and protect known sites flora and fauna associated with viable occurrences of <i>critically imperiled</i> and <i>imperiled</i> species and communities also known as <i>Forests with Exceptional Conservation Value</i>. Plans for <i>protection</i> may be developed independently or collaboratively, and may include <i>Program Participant</i> management, cooperation with other stakeholders, or use of easements, <i>conservation</i> land sales, exchanges, or other <i>conservation</i> strategies.</li> <li>3. Support of and participation in plans or <i>programs</i> for the <i>conservation</i> of <i>old-growth forests</i> in the region of ownership or forest tenure.</li> </ol> <p>Performance Measure 4.3. <i>Program Participants</i> shall manage ecologically important sites in a manner that takes into account their unique qualities.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Use of information such as existing natural heritage data or expert advice in identifying or selecting ecologically important sites for <i>protection</i>.</li> <li>2. Appropriate mapping, cataloging and management of identified ecologically important sites.</li> </ol> <p><b>Objective 5 – Management of Visual Quality and Recreational Benefits</b></p> <p>Performance Measure 5.2. <i>Program Participants</i> shall manage the size, shape and placement of clearcut harvests.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Average size of clearcut harvest areas does not exceed 120 acres (50 hectares), except when necessary to meet regulatory requirements, achieve ecological <i>objectives</i> or to respond to <i>forest health</i> emergencies or other natural catastrophes.</li> <li>2. Documentation through internal records of clearcut size and the process for calculating average size.</li> </ol> <p>Performance Measure 5.3. <i>Program Participants</i> shall adopt a <i>green-up requirement</i> or alternative methods that provide for <i>visual quality</i>.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. <i>Program</i> implementing the <i>green-up requirement</i> or alternative methods.</li> <li>2. Harvest area tracking system to demonstrate conformance with the <i>green-up requirement</i> or alternative methods.</li> <li>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 <i>performance measure</i> are utilized by the <i>Program Participant</i>.</li> </ol>

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<p>5.4.11 Infrastructure shall be planned and constructed in a way that minimises damage to ecosystems, especially to rare, sensitive or representative ecosystems and genetic reserves, and that takes threatened or other key species – in particular their migration patterns – into consideration.</p>	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 2 – Forest Health and Productivity</b>  Performance Measure 2.3. <i>Program Participants</i> shall implement forest management practices to protect and maintain forest and soil <i>productivity</i>.  Indicators:  1. Process to identify soils vulnerable to compaction, and use of appropriate methods, including the use of soil maps where available, to avoid excessive soil disturbance.  2. Use of erosion control measures to <i>minimize</i> the loss of soil and site <i>productivity</i>.  3. Post-harvest conditions conducive to maintaining site <i>productivity</i> (e.g., limited rutting, retained down woody debris, <i>minimized skid trails</i>).  4. Retention of vigorous trees during partial harvesting, consistent with scientific silvicultural standards for the area.  5. Criteria that address harvesting and site preparation to protect soil <i>productivity</i>.  6. Road construction and skidding layout to <i>minimize</i> impacts to soil <i>productivity</i>.</p> <p>Performance Measure 2.4. <i>Program Participants</i> shall manage so as to protect forests from damaging agents, such as environmentally or economically undesirable wildfire, pests, diseases and <i>invasive exotic plants and animals</i>, to maintain and improve <i>long-term forest health, productivity</i> and <i>economic viability</i>.  Indicators:  1. <i>Program</i> to protect forests from damaging agents.  2. Management to promote healthy and productive forest conditions to <i>minimize</i> susceptibility to damaging agents.  3. Participation in, and support of, fire and pest prevention and control <i>programs</i>.</p> <p><b>Objective 3 – Protection and Maintenance of Water Resources</b>  Performance Measure 3.2. <i>Program Participants</i> shall implement water, <i>wetland</i> and <i>riparian protection</i> measures based on soil type, terrain, vegetation, ecological function, harvesting system, state <i>best management practices (BMPs)</i>, provincial guidelines and other applicable factors.  Indicators:  1. <i>Program</i> addressing management and <i>protection</i> of rivers, streams, lakes, <i>wetlands</i>, other water bodies and <i>riparian areas</i> during all phases of management, including the layout and construction of roads and <i>skid trails</i> to maintain water reach, flow and quality.  2. Mapping of rivers, streams, lakes, <i>wetlands</i> and other water bodies as specified in state or provincial <i>best management practices</i> and, where appropriate, identification on the ground.  3. Document and implement plans to manage and protect rivers, streams, lakes, <i>wetlands</i>, other water bodies and <i>riparian areas</i>.  4. Plans that address wet-weather events in order to maintain water quality (e.g., <i>forest inventory</i> systems, wet-weather tracts, definitions of acceptable operating conditions).</p> <p><b>Objective 4 – Conservation of Biological Diversity</b>  Performance Measure 4.1. <i>Program Participants</i> shall conserve <i>biological diversity</i>.  Indicators:  1. <i>Program</i> to incorporate the <i>conservation</i> of <i>native biological diversity</i>, including species, <i>wildlife habitats</i> and ecological community types at <i>stand</i> and <i>landscape</i> levels.</p>

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	<p>2. Development of criteria and implementation of practices, as guided by regionally based <i>best scientific information</i>, to retain <i>stand</i>-level <i>wildlife habitat</i> elements such as snags, stumps, mast trees, down woody debris, den trees and nest trees.</p> <p>3. Document diversity of <i>forest cover types</i> and age or size classes at the individual ownership or forest tenure level, and where credible data are available, at the <i>landscape</i> scale. Working individually or collaboratively to support diversity of <i>native forest cover types</i> and age or size classes that enhance <i>biological diversity</i> at the <i>landscape</i> scale.</p> <p>4. <i>Program Participants</i> shall participate in or incorporate the results of state, provincial, or regional <i>conservation</i> planning and priority-setting efforts to conserve biological diversity and consider these efforts in forest management planning. Examples of credible priority-setting efforts include state <i>wildlife</i> action plans, state forest action plans, relevant <i>habitat conservation</i> plans or provincial <i>wildlife</i> recovery plans.</p> <p>5. <i>Program</i> to address <i>conservation</i> of known sites with viable occurrences of significant species of concern.</p> <p>6. Identification and <i>protection</i> of <i>non-forested wetlands</i>, including bogs, fens and marshes, and <i>vernal pools</i> of ecological significance.</p> <p>7. Participation in <i>programs</i> and demonstration of activities as appropriate to limit the introduction, spread and impact of <i>invasive exotic plants and animals</i> that directly threaten or are likely to threaten <i>native</i> plant and animal communities.</p> <p>8. Consider the role of natural disturbances, including the use of prescribed or natural fire where appropriate, and <i>forest health</i> threats in relation to <i>biological diversity</i> when developing forest management plans.</p> <p>Performance Measure 4.2. <i>Program Participants</i> shall protect <i>threatened and endangered</i> species, <i>Forests with Exceptional Conservation Values</i> (FECV) and old-growth forests.</p> <p>Indicators:</p> <p>1. <i>Program</i> to protect <i>threatened and endangered</i> species.</p> <p>2. <i>Program</i> to locate and protect known sites flora and fauna associated with viable occurrences of <i>critically imperiled</i> and <i>imperiled</i> species and communities also known as <i>Forests with Exceptional Conservation Value</i>. Plans for <i>protection</i> may be developed independently or collaboratively, and may include <i>Program Participant</i> management, cooperation with other stakeholders, or use of easements, <i>conservation</i> land sales, exchanges, or other <i>conservation</i> strategies.</p> <p>3. Support of and participation in plans or <i>programs</i> for the <i>conservation</i> of <i>old-growth forests</i> in the region of ownership or forest tenure.</p>
<p>5.4.12 With due regard to management objectives, measures shall be taken to balance the pressure of animal populations and grazing on forest regeneration and growth as well as on biodiversity.</p>	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 2 – Forest Health and Productivity</b></p> <p>Performance Measure 2.1. <i>Program Participants</i> shall promptly reforest after final harvest.</p> <p>Indicators:</p> <p>1. Documented <i>reforestation</i> plans, including designation of all harvest areas for either natural, planted or direct seeded regeneration and prompt <i>reforestation</i>, unless delayed for site-specific environmental or <i>forest health</i> considerations or legal requirements, through <i>planting</i> within two years or two <i>planting</i> seasons, or by planned <i>natural regeneration</i> methods within five years.</p> <p>2. Clear criteria to judge adequate regeneration and appropriate actions to correct understocked areas and achieve acceptable species composition and stocking rates for <i>planting</i>, <i>direct seeding</i> and <i>natural regeneration</i>.</p> <p>4. <i>Protection</i> of desirable or planned advanced <i>natural regeneration</i> during harvest.</p> <p>5. <i>Afforestation programs</i> that consider potential ecological impacts of the selection and <i>planting</i> of tree species in non-forested <i>landscapes</i>.</p>

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	<p>Performance Measure 2.4. <i>Program Participants</i> shall manage so as to protect forests from damaging agents, such as environmentally or economically undesirable wildfire, pests, diseases and <i>invasive exotic plants and animals</i>, to maintain and improve <i>long-term forest health, productivity</i> and <i>economic viability</i>.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. <i>Program</i> to protect forests from damaging agents.</li> <li>2. Management to promote healthy and productive forest conditions to <i>minimize</i> susceptibility to damaging agents.</li> <li>3. Participation in, and support of, fire and pest prevention and control <i>programs</i>.</li> </ol> <p><b>Objective 4 – Conservation of Biological Diversity</b></p> <p>Performance Measure 4.1. <i>Program Participants</i> shall conserve <i>biological diversity</i>.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. <i>Program</i> to incorporate the <i>conservation</i> of <i>native biological diversity</i>, including species, <i>wildlife habitats</i> and ecological community types at <i>stand</i> and <i>landscape</i> levels.</li> <li>2. Development of criteria and implementation of practices, as guided by regionally based <i>best scientific information</i>, to retain <i>stand-level wildlife habitat</i> elements such as snags, stumps, mast trees, down woody debris, den trees and nest trees.</li> <li>3. Document diversity of <i>forest cover types</i> and age or size classes at the individual ownership or forest tenure level, and where credible data are available, at the <i>landscape</i> scale. Working individually or collaboratively to support diversity of <i>native forest cover types</i> and age or size classes that enhance <i>biological diversity</i> at the <i>landscape</i> scale.</li> <li>4. <i>Program Participants</i> shall participate in or incorporate the results of state, provincial, or regional <i>conservation</i> planning and priority-setting efforts to conserve biological diversity and consider these efforts in forest management planning. Examples of credible priority-setting efforts include state <i>wildlife</i> action plans, state forest action plans, relevant <i>habitat conservation</i> plans or provincial <i>wildlife</i> recovery plans.</li> <li>5. <i>Program</i> to address <i>conservation</i> of known sites with viable occurrences of significant species of concern.</li> <li>6. Identification and <i>protection</i> of <i>non-forested wetlands</i>, including bogs, fens and marshes, and <i>vernal pools</i> of ecological significance.</li> <li>7. Participation in <i>programs</i> and demonstration of activities as appropriate to limit the introduction, spread and impact of <i>invasive exotic plants and animals</i> that directly threaten or are likely to threaten <i>native</i> plant and animal communities.</li> <li>8. Consider the role of natural disturbances, including the use of prescribed or natural fire where appropriate, and <i>forest health</i> threats in relation to <i>biological diversity</i> when developing forest management plans.</li> </ol> <p>Performance Measure 4.2. <i>Program Participants</i> shall protect <i>threatened and endangered</i> species, <i>Forests with Exceptional Conservation Values</i> (FECV) and old-growth forests.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. <i>Program</i> to protect <i>threatened and endangered</i> species.</li> <li>2. <i>Program</i> to locate and protect known sites flora and fauna associated with viable occurrences of <i>critically imperiled</i> and <i>imperiled</i> species and communities also known as <i>Forests with Exceptional Conservation Value</i>. Plans for <i>protection</i> may be developed independently or collaboratively, and may include <i>Program Participant</i> management, cooperation with other stakeholders, or use of easements, <i>conservation</i> land sales, exchanges, or other <i>conservation</i> strategies.</li> <li>3. Support of and participation in plans or <i>programs</i> for the <i>conservation</i> of <i>old-growth forests</i> in the region of ownership or forest tenure.</li> </ol> <p>Performance Measure 4.3. <i>Program Participants</i> shall manage ecologically important sites in a manner that takes into account their unique qualities.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Use of information such as existing natural heritage data or expert advice in identifying or selecting ecologically important sites for <i>protection</i>.</li> </ol>

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	<p>2. Appropriate mapping, cataloging and management of identified ecologically important sites.</p> <p>Performance Measure 4.4. <i>Program Participants</i> shall apply knowledge gained through research, science, technology and field experience to manage <i>wildlife habitat</i> and contribute to the <i>conservation</i> of <i>biological diversity</i>.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Collection of information on <i>Forests with Exceptional Conservation Value</i> and other <i>biodiversity</i>-related data through <i>forest inventory</i> processes, mapping or participation in external <i>programs</i>, such as NatureServe, state or provincial heritage <i>programs</i>, 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.</li> <li>2. A methodology to incorporate research results and field applications of <i>biodiversity</i> and ecosystem research into forest management decisions.</li> </ol> <p><i>(Note: In US &amp; Canada grazing is only allowed for on publically owned forest lands and is accommodated for in forest management plans for public forests.)</i></p>
<p>5.4.13 Standing and fallen dead wood, hollow trees, old groves and special rare tree species shall be left in quantities and distribution necessary to safeguard biological diversity, taking into account the potential effect on the health and stability of forests and on surrounding ecosystems.</p>	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 2 – Forest Health and Productivity</b></p> <p>Performance Measure 2.3. <i>Program Participants</i> shall implement forest management practices to protect and maintain forest and soil <i>productivity</i>.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>3. Post-harvest conditions conducive to maintaining site <i>productivity</i> (e.g., limited rutting, retained down woody debris, <i>minimized skid trails</i>).</li> <li>4. Retention of vigorous trees during partial harvesting, consistent with scientific silvicultural standards for the area.</li> </ol> <p>Performance Measure 2.4. <i>Program Participants</i> shall manage so as to protect forests from damaging agents, such as environmentally or economically undesirable wildfire, pests, diseases and <i>invasive exotic plants and animals</i>, to maintain and improve <i>long-term forest health, productivity</i> and <i>economic viability</i>.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. <i>Program</i> to protect forests from damaging agents.</li> <li>2. Management to promote healthy and productive forest conditions to <i>minimize</i> susceptibility to damaging agents.</li> <li>3. Participation in, and support of, fire and pest prevention and control <i>programs</i>.</li> </ol> <p><b>Objective 4 – Conservation of Biological Diversity</b></p> <p>Performance Measure 4.1. <i>Program Participants</i> shall conserve <i>biological diversity</i>.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. <i>Program</i> to incorporate the <i>conservation</i> of <i>native biological diversity</i>, including species, <i>wildlife habitats</i> and ecological community types at <i>stand</i> and <i>landscape</i> levels.</li> <li>2. Development of criteria and implementation of practices, as guided by regionally based <i>best scientific information</i>, to retain <i>stand-level wildlife habitat</i> elements such as snags, stumps, mast trees, down woody debris, den trees and nest trees.</li> <li>3. Document diversity of <i>forest cover types</i> and age or size classes at the individual ownership or forest tenure level, and where credible data are available, at the <i>landscape</i> scale. Working individually or collaboratively to support diversity of <i>native forest cover types</i> and age or size classes that enhance <i>biological diversity</i> at the <i>landscape</i> scale.</li> </ol>



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	<p>4. <i>Program Participants</i> shall participate in or incorporate the results of state, provincial, or regional <i>conservation</i> planning and priority-setting efforts to conserve biological diversity and consider these efforts in forest management planning. Examples of credible priority-setting efforts include state <i>wildlife</i> action plans, state forest action plans, relevant <i>habitat conservation</i> plans or provincial <i>wildlife</i> recovery plans.</p> <p>5. <i>Program</i> to address <i>conservation</i> of known sites with viable occurrences of significant species of concern.</p> <p>6. Identification and <i>protection</i> of <i>non-forested wetlands</i>, including bogs, fens and marshes, and <i>vernal pools</i> of ecological significance.</p> <p>7. Participation in <i>programs</i> and demonstration of activities as appropriate to limit the introduction, spread and impact of <i>invasive exotic plants and animals</i> that directly threaten or are likely to threaten <i>native</i> plant and animal communities.</p> <p>8. Consider the role of natural disturbances, including the use of prescribed or natural fire where appropriate, and <i>forest health</i> threats in relation to <i>biological diversity</i> when developing forest management plans.</p> <p>Performance Measure 4.2. <i>Program Participants</i> shall protect <i>threatened and endangered</i> species, <i>Forests with Exceptional Conservation Values</i> (FECV) and old-growth forests.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. <i>Program</i> to protect <i>threatened and endangered</i> species.</li> <li>2. <i>Program</i> to locate and protect known sites flora and fauna associated with viable occurrences of <i>critically imperiled</i> and <i>imperiled</i> species and communities also known as <i>Forests with Exceptional Conservation Value</i>. Plans for <i>protection</i> may be developed independently or collaboratively, and may include <i>Program Participant</i> management, cooperation with other stakeholders, or use of easements, <i>conservation</i> land sales, exchanges, or other <i>conservation</i> strategies.</li> <li>3. Support of and participation in plans or <i>programs</i> for the <i>conservation</i> of <i>old-growth forests</i> in the region of ownership or forest tenure.</li> </ol> <p>Performance Measure 4.3. <i>Program Participants</i> shall manage ecologically important sites in a manner that takes into account their unique qualities.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Use of information such as existing natural heritage data or expert advice in identifying or selecting ecologically important sites for <i>protection</i>.</li> <li>2. Appropriate mapping, cataloging and management of identified ecologically important sites.</li> </ol> <p>Performance Measure 4.4. <i>Program Participants</i> shall apply knowledge gained through research, science, technology and field experience to manage <i>wildlife habitat</i> and contribute to the <i>conservation</i> of <i>biological diversity</i>.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Collection of information on <i>Forests with Exceptional Conservation Value</i> and other <i>biodiversity</i>-related data through <i>forest inventory</i> processes, mapping or participation in external <i>programs</i>, such as NatureServe, state or provincial heritage <i>programs</i>, 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.</li> <li>2. A methodology to incorporate research results and field applications of <i>biodiversity</i> and ecosystem research into forest management decisions.</li> </ol>
5.5.1 Forest management planning shall aim to maintain and enhance protective functions of forests for society, such as protection of infrastructure, protection from soil erosion, protection of water resources and from adverse impacts of	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 2 – Forest Health and Productivity</b></p> <p>Performance Measure 2.3. <i>Program Participants</i> shall implement forest management practices to protect and maintain forest and soil <i>productivity</i>.</p>

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water such as floods or avalanches.	<p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Process to identify soils vulnerable to compaction, and use of appropriate methods, including the use of soil maps where available, to avoid excessive soil disturbance.</li> <li>2. Use of erosion control measures to <i>minimize</i> the loss of soil and site <i>productivity</i>.</li> <li>3. Post-harvest conditions conducive to maintaining site <i>productivity</i> (e.g., limited rutting, retained down woody debris, <i>minimized skid trails</i>).</li> <li>4. Retention of vigorous trees during partial harvesting, consistent with scientific silvicultural standards for the area.</li> <li>5. Criteria that address harvesting and site preparation to protect soil <i>productivity</i>.</li> <li>6. Road construction and skidding layout to <i>minimize</i> impacts to soil <i>productivity</i>.</li> </ol> <p>Performance Measure 2.4. <i>Program Participants</i> shall manage so as to protect forests from damaging agents, such as environmentally or economically undesirable wildfire, pests, diseases and <i>invasive exotic plants and animals</i>, to maintain and improve <i>long-term forest health, productivity and economic viability</i>.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. <i>Program</i> to protect forests from damaging agents.</li> <li>2. Management to promote healthy and productive forest conditions to <i>minimize</i> susceptibility to damaging agents.</li> <li>3. Participation in, and support of, fire and pest prevention and control <i>programs</i>.</li> </ol> <p><b>Objective 3 – Protection and Maintenance of Water Resources</b></p> <p>Performance Measure 3.1. <i>Program Participants</i> shall meet or exceed all applicable federal, provincial, state and local water quality laws, and meet or exceed <i>best management practices</i> developed under Canadian or U.S. Environmental Protection Agency–approved water quality <i>programs</i>.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. <i>Program</i> to implement federal, state or provincial water quality <i>best management practices</i> during all phases of management activities.</li> <li>2. Contract provisions that specify conformance to <i>best management practices</i>.</li> <li>3. Monitoring of overall <i>best management practices</i> implementation.</li> </ol> <p>Performance Measure 3.2. <i>Program Participants</i> shall implement water, <i>wetland</i> and <i>riparian protection</i> measures based on soil type, terrain, vegetation, ecological function, harvesting system, state <i>best management practices (BMPs)</i>, provincial guidelines and other applicable factors.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. <i>Program</i> addressing management and <i>protection</i> of rivers, streams, lakes, <i>wetlands</i>, other water bodies and <i>riparian areas</i> during all phases of management, including the layout and construction of roads and <i>skid trails</i> to maintain water reach, flow and quality.</li> <li>2. Mapping of rivers, streams, lakes, <i>wetlands</i> and other water bodies as specified in state or provincial <i>best management practices</i> and, where appropriate, identification on the ground.</li> <li>3. Document and implement plans to manage and protect rivers, streams, lakes, <i>wetlands</i>, other water bodies and <i>riparian areas</i>.</li> <li>4. Plans that address wet-weather events in order to maintain water quality (e.g., <i>forest inventory</i> systems, wet-weather tracts, definitions of acceptable operating conditions).</li> </ol>
5.5.2 Areas that fulfil specific and recognised protective functions for society shall be registered and mapped, and forest management plans or their equivalents	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b></p> <p><a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p>

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shall take these areas into account.	<p><b>Objective 1 – Forest Management Planning</b>  Performance Measure 1.1. <i>Program Participants</i> shall ensure that forest management plans include <i>long-term</i> harvest levels that are sustainable and consistent with appropriate <i>growth-and-yield models</i>.  Indicators:  1. Forest management planning at a level appropriate to the size and scale of the operation, including:  c. a <i>land classification</i> system;  d. biodiversity at <i>landscape</i> scales;  g. up-to-date maps or a <i>geographic information system (GIS)</i>;  i. a review of non-timber issues (e.g., recreation, tourism, pilot projects and economic incentive <i>programs</i> to promote water <i>protection</i>, carbon storage, <i>bioenergy feedstock</i> production, or <i>biological diversity conservation</i>, or to address climate-induced ecosystem change).</p> <p><b>Objective 3 – Protection and Maintenance of Water Resources</b>  Performance Measure 3.2. <i>Program Participants</i> shall implement water, <i>wetland</i> and <i>riparian protection</i> measures based on soil type, terrain, vegetation, ecological function, harvesting system, state <i>best management practices (BMPs)</i>, provincial guidelines and other applicable factors.  Indicators:  1. <i>Program</i> addressing management and <i>protection</i> of rivers, streams, lakes, <i>wetlands</i>, other water bodies and <i>riparian areas</i> during all phases of management, including the layout and construction of roads and <i>skid trails</i> to maintain water reach, flow and quality.  2. Mapping of rivers, streams, lakes, <i>wetlands</i> and other water bodies as specified in state or provincial <i>best management practices</i> and, where appropriate, identification on the ground.  3. Document and implement plans to manage and protect rivers, streams, lakes, <i>wetlands</i>, other water bodies and <i>riparian areas</i>.  4. Plans that address wet-weather events in order to maintain water quality (e.g., <i>forest inventory</i> systems, wet-weather tracts, definitions of acceptable operating conditions).</p> <p><b>Objective 4 – Conservation of Biological Diversity</b>  Performance Measure 4.3. <i>Program Participants</i> shall manage ecologically important sites in a manner that takes into account their unique qualities.  Indicators:  1. Use of information such as existing natural heritage data or expert advice in identifying or selecting ecologically important sites for <i>protection</i>.  2. Appropriate mapping, cataloging and management of identified ecologically important sites.</p> <p><b>Objective 6 – Protection of Special Sites</b>  Performance Measure 6.1. <i>Program Participants</i> shall identify <i>special sites</i> and manage them in a manner appropriate for their unique features.  Indicators:  1. Use of information such as existing natural heritage data, expert advice or stakeholder consultation in identifying or selecting <i>special sites</i> for <i>protection</i>.  2. Appropriate mapping, cataloging and management of identified <i>special sites</i>.</p> <p><b>Objective 8 – Recognize and Respect Indigenous Peoples' Rights</b>  Performance Measure 8.1. <i>Program Participants</i> shall recognize and respect <i>Indigenous Peoples'</i> rights.  Indicator:  1. <i>Program Participants</i> will provide a written <i>policy</i> acknowledging a commitment to recognize and respect the rights of <i>Indigenous Peoples</i>.</p>

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	<p>Performance Measure 8.2. <i>Program Participants</i> with forest <i>management responsibilities on public lands</i> shall confer with affected <i>Indigenous Peoples</i> with respect to sustainable forest management practices.</p> <p>Indicator:</p> <ol style="list-style-type: none"> <li>1. <i>Program</i> that includes communicating with affected <i>Indigenous Peoples</i> to enable <i>Program Participants</i> to: <ol style="list-style-type: none"> <li>a. understand and respect <i>traditional forest-related knowledge</i>;</li> <li>b. identify and protect spiritually, historically, or <i>culturally important</i> sites;</li> <li>c. address the use of <i>non-timber forest products</i> of value to <i>Indigenous Peoples</i> in areas where <i>Program Participants</i> have <i>management responsibilities on public lands</i>; and</li> <li>d. respond to <i>Indigenous Peoples'</i> inquiries and concerns received.</li> </ol> </li> </ol> <p>Performance Measure 8.3. <i>Program Participants</i> are encouraged to communicate with and shall respond to local <i>Indigenous Peoples</i> with respect to sustainable forest management practices on their private lands.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. <i>Program Participants</i> are aware of <i>traditional forest-related knowledge</i>, 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.</li> <li>2. Respond to <i>Indigenous Peoples'</i> inquiries and concerns received.</li> </ol>
<p>5.5.3 Special care shall be given to silvicultural operations on sensitive soils and erosion-prone areas as well as in areas where operations might lead to excessive erosion of soil into watercourses. Inappropriate techniques such as deep soil tillage and use of unsuitable machinery shall be avoided in such areas. Special measures shall be taken to minimise the pressure of animal populations.</p>	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 2 – Forest Health and Productivity</b></p> <p>Performance Measure 2.2. <i>Program Participants</i> shall <i>minimize</i> chemical use required to achieve management <i>objectives</i> while protecting employees, neighbors, the public and the environment, including <i>wildlife</i> and <i>aquatic habitats</i>.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. <i>Minimized</i> chemical use required to achieve management <i>objectives</i>.</li> <li>2. Use of <i>least-toxic and narrowest-spectrum pesticides</i> necessary to achieve management <i>objectives</i>.</li> <li>3. Use of pesticides registered for the intended use and applied in accordance with label requirements.</li> <li>4. The World Health Organization (WHO) type 1A and 1B pesticides shall be prohibited, except where no other viable alternative is available.</li> <li>5. Use of pesticides banned under the Stockholm Convention on Persistent Organic Pollutants (2001) shall be prohibited.</li> <li>6. Use of <i>integrated pest management</i> where feasible.</li> <li>7. Supervision of forest chemical applications by state- or provincial-trained or certified applicators.</li> <li>8. Use of management practices appropriate to the situation, for example: <ol style="list-style-type: none"> <li>a. notification of adjoining landowners or nearby residents concerning applications and chemicals used;</li> <li>b. appropriate multilingual signs or oral warnings;</li> <li>c. control of public road access during and immediately after applications;</li> </ol> </li> </ol>

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	<ul style="list-style-type: none"> <li>d. designation of streamside and other needed buffer strips;</li> <li>e. use of positive shutoff and minimal-drift spray valves;</li> <li>f. aerial application of forest chemicals parallel to buffer zones to <i>minimize</i> drift;</li> <li>g. monitoring of water quality or safeguards to ensure proper equipment use and <i>protection</i> of streams, lakes and other water bodies;</li> <li>h. appropriate transportation and storage of chemicals;</li> <li>i. filing of required state or provincial reports; and/or</li> <li>j. use of methods to ensure <i>protection of threatened and endangered</i> species.</li> </ul> <p>Performance Measure 2.3. <i>Program Participants</i> shall implement forest management practices to protect and maintain forest and soil <i>productivity</i>.  Indicators:</p> <ul style="list-style-type: none"> <li>1. Process to identify soils vulnerable to compaction, and use of appropriate methods, including the use of soil maps where available, to avoid excessive soil disturbance.</li> <li>2. Use of erosion control measures to <i>minimize</i> the loss of soil and site <i>productivity</i>.</li> <li>3. Post-harvest conditions conducive to maintaining site <i>productivity</i> (e.g., limited rutting, retained down woody debris, <i>minimized skid trails</i>).</li> <li>4. Retention of vigorous trees during partial harvesting, consistent with scientific silvicultural standards for the area.</li> <li>5. Criteria that address harvesting and site preparation to protect soil <i>productivity</i>.</li> <li>6. Road construction and skidding layout to <i>minimize</i> impacts to soil <i>productivity</i>.</li> </ul> <p>Performance Measure 2.4. <i>Program Participants</i> shall manage so as to protect forests from damaging agents, such as environmentally or economically undesirable wildfire, pests, diseases and <i>invasive exotic plants and animals</i>, to maintain and improve <i>long-term forest health, productivity and economic viability</i>.  Indicators:</p> <ul style="list-style-type: none"> <li>1. <i>Program</i> to protect forests from damaging agents.</li> <li>2. Management to promote healthy and productive forest conditions to <i>minimize</i> susceptibility to damaging agents.</li> <li>3. Participation in, and support of, fire and pest prevention and control <i>programs</i>.</li> </ul> <p><b>Objective 3 – Protection and Maintenance of Water Resources</b></p> <p>Performance Measure 3.1. <i>Program Participants</i> shall meet or exceed all applicable federal, provincial, state and local water quality laws, and meet or exceed <i>best management practices</i> developed under Canadian or U.S. Environmental Protection Agency–approved water quality <i>programs</i>.  Indicators:</p> <ul style="list-style-type: none"> <li>1. <i>Program</i> to implement federal, state or provincial water quality <i>best management practices</i> during all phases of management activities.</li> <li>2. Contract provisions that specify conformance to <i>best management practices</i>.</li> <li>3. Monitoring of overall <i>best management practices</i> implementation.</li> </ul> <p>Performance Measure 3.2. <i>Program Participants</i> shall implement water, <i>wetland</i> and <i>riparian protection</i> measures based on soil type, terrain, vegetation, ecological function, harvesting system, state <i>best management practices (BMPs)</i>, provincial guidelines and other applicable factors.  Indicators:</p> <ul style="list-style-type: none"> <li>1. <i>Program</i> addressing management and <i>protection</i> of rivers, streams, lakes, <i>wetlands</i>, other water bodies and <i>riparian areas</i> during all phases of management, including the layout and construction of roads and <i>skid trails</i> to maintain water reach, flow and quality.</li> <li>2. Mapping of rivers, streams, lakes, <i>wetlands</i> and other water bodies as specified in state or provincial <i>best management practices</i> and, where appropriate, identification</li> </ul>

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	<p>on the ground.</p> <p>3. Document and implement plans to manage and protect rivers, streams, lakes, <i>wetlands</i>, other water bodies and <i>riparian areas</i>.</p> <p>4. Plans that address wet-weather events in order to maintain water quality (e.g., <i>forest inventory</i> systems, wet-weather tracts, definitions of acceptable operating conditions).</p> <p><b>Objective 11 – Training and Education</b>  Performance Measure 11.1. <i>Program Participants</i> shall require appropriate training of personnel and contractors so that they are competent to fulfill their responsibilities under the <i>SFI 2015-2019 Forest Management Standard</i>.  Indicators:</p> <p>1. Written statement of commitment to the <i>SFI 2015-2019 Forest Management Standard</i> communicated throughout the organization, particularly to facility and woodland managers, and field foresters.</p> <p>2. Assignment and understanding of roles and responsibilities for achieving <i>SFI 2015-2019 Forest Management Standard objectives</i>.</p> <p>3. Staff education and training sufficient to their roles and responsibilities.</p> <p>4. Contractor education and training sufficient to their roles and responsibilities.</p>
<p>5.5.4 Special care shall be given to forest management practices in forest areas with water protection functions to avoid adverse effects on the quality and quantity of water resources.</p> <p>Inappropriate use of chemicals or other harmful substances or inappropriate silvicultural practices influencing water quality in a harmful way shall be avoided.</p>	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 2 – Forest Health and Productivity</b>  Performance Measure 2.2. <i>Program Participants</i> shall <i>minimize</i> chemical use required to achieve management <i>objectives</i> while protecting employees, neighbors, the public and the environment, including <i>wildlife</i> and <i>aquatic habitats</i>.  Indicators:</p> <p>1. <i>Minimized</i> chemical use required to achieve management <i>objectives</i>.</p> <p>2. Use of <i>least-toxic and narrowest-spectrum pesticides</i> necessary to achieve management <i>objectives</i>.</p> <p>3. Use of pesticides registered for the intended use and applied in accordance with label requirements.</p> <p>4. The World Health Organization (WHO) type 1A and 1B pesticides shall be prohibited, except where no other viable alternative is available.</p> <p>5. Use of pesticides banned under the Stockholm Convention on Persistent Organic Pollutants (2001) shall be prohibited.</p> <p>6. Use of <i>integrated pest management</i> where feasible.</p> <p>7. Supervision of forest chemical applications by state- or provincial-trained or certified applicators.</p> <p>8. Use of management practices appropriate to the situation, for example:</p> <ol style="list-style-type: none"> <li>notification of adjoining landowners or nearby residents concerning applications and chemicals used;</li> <li>appropriate multilingual signs or oral warnings;</li> <li>control of public road access during and immediately after applications;</li> <li>designation of streamside and other needed buffer strips;</li> <li>use of positive shutoff and minimal-drift spray valves;</li> </ol>

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	<p>f. aerial application of forest chemicals parallel to buffer zones to <i>minimize</i> drift;</p> <p>g. monitoring of water quality or safeguards to ensure proper equipment use and <i>protection</i> of streams, lakes and other water bodies;</p> <p>h. appropriate transportation and storage of chemicals;</p> <p>i. filing of required state or provincial reports; and/or</p> <p>j. use of methods to ensure <i>protection of threatened and endangered</i> species.</p> <p>Performance Measure 2.3. <i>Program Participants</i> shall implement forest management practices to protect and maintain forest and soil <i>productivity</i>.  Indicators:</p> <ol style="list-style-type: none"> <li>1. Process to identify soils vulnerable to compaction, and use of appropriate methods, including the use of soil maps where available, to avoid excessive soil disturbance.</li> <li>2. Use of erosion control measures to <i>minimize</i> the loss of soil and site <i>productivity</i>.</li> <li>3. Post-harvest conditions conducive to maintaining site <i>productivity</i> (e.g., limited rutting, retained down woody debris, <i>minimized skid trails</i>).</li> <li>5. Criteria that address harvesting and site preparation to protect soil <i>productivity</i>.</li> <li>6. Road construction and skidding layout to <i>minimize</i> impacts to soil <i>productivity</i>.</li> </ol> <p><b>Objective 3 – Protection and Maintenance of Water Resources</b></p> <p>Performance Measure 3.1. <i>Program Participants</i> shall meet or exceed all applicable federal, provincial, state and local water quality laws, and meet or exceed <i>best management practices</i> developed under Canadian or U.S. Environmental Protection Agency–approved water quality <i>programs</i>.  Indicators:</p> <ol style="list-style-type: none"> <li>1. <i>Program</i> to implement federal, state or provincial water quality <i>best management practices</i> during all phases of management activities.</li> <li>2. Contract provisions that specify conformance to <i>best management practices</i>.</li> <li>3. Monitoring of overall <i>best management practices</i> implementation.</li> </ol> <p>Performance Measure 3.2. <i>Program Participants</i> shall implement water, <i>wetland</i> and <i>riparian protection</i> measures based on soil type, terrain, vegetation, ecological function, harvesting system, state <i>best management practices (BMPs)</i>, provincial guidelines and other applicable factors.  Indicators:</p> <ol style="list-style-type: none"> <li>1. <i>Program</i> addressing management and <i>protection</i> of rivers, streams, lakes, <i>wetlands</i>, other water bodies and <i>riparian areas</i> during all phases of management, including the layout and construction of roads and <i>skid trails</i> to maintain water reach, flow and quality.</li> <li>2. Mapping of rivers, streams, lakes, <i>wetlands</i> and other water bodies as specified in state or provincial <i>best management practices</i> and, where appropriate, identification on the ground.</li> <li>3. Document and implement plans to manage and protect rivers, streams, lakes, <i>wetlands</i>, other water bodies and <i>riparian areas</i>.</li> <li>4. Plans that address wet-weather events in order to maintain water quality (e.g., <i>forest inventory</i> systems, wet-weather tracts, definitions of acceptable operating conditions).</li> </ol> <p><b>Objective 11 – Training and Education</b></p> <p>Performance Measure 11.1. <i>Program Participants</i> shall require appropriate training of personnel and contractors so that they are competent to fulfill their responsibilities under the <i>SFI 2015-2019 Forest Management Standard</i>.  Indicators:</p> <ol style="list-style-type: none"> <li>1. Written statement of commitment to the <i>SFI 2015-2019 Forest Management Standard</i> communicated throughout the organization, particularly to facility and</li> </ol>



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	<p>woodland managers, and field foresters.</p> <ol style="list-style-type: none"> <li>2. Assignment and understanding of roles and responsibilities for achieving <i>SFI 2015-2019 Forest Management Standard objectives</i>.</li> <li>3. Staff education and training sufficient to their roles and responsibilities.</li> <li>4. Contractor education and training sufficient to their roles and responsibilities.</li> </ol>
<p>5.5.5 Construction of roads, bridges and other infrastructure shall be carried out in a manner that minimises bare soil exposure, avoids the introduction of soil into watercourses and preserves the natural level and function of water courses and river beds. Proper road drainage facilities shall be installed and maintained.</p>	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 2 – Forest Health and Productivity</b>  Performance Measure 2.3. <i>Program Participants</i> shall implement forest management practices to protect and maintain forest and soil <i>productivity</i>.  Indicators:</p> <ol style="list-style-type: none"> <li>1. Process to identify soils vulnerable to compaction, and use of appropriate methods, including the use of soil maps where available, to avoid excessive soil disturbance.</li> <li>2. Use of erosion control measures to <i>minimize</i> the loss of soil and site <i>productivity</i>.</li> <li>3. Post-harvest conditions conducive to maintaining site <i>productivity</i> (e.g., limited rutting, retained down woody debris, <i>minimized skid trails</i>).</li> <li>5. Criteria that address harvesting and site preparation to protect soil <i>productivity</i>.</li> <li>6. Road construction and skidding layout to <i>minimize</i> impacts to soil <i>productivity</i>.</li> </ol> <p><b>Objective 3 – Protection and Maintenance of Water Resources</b>  Performance Measure 3.1. <i>Program Participants</i> shall meet or exceed all applicable federal, provincial, state and local water quality laws, and meet or exceed <i>best management practices</i> developed under Canadian or U.S. Environmental Protection Agency–approved water quality <i>programs</i>.  Indicators:</p> <ol style="list-style-type: none"> <li>1. <i>Program</i> to implement federal, state or provincial water quality <i>best management practices</i> during all phases of management activities.</li> <li>2. Contract provisions that specify conformance to <i>best management practices</i>.</li> <li>3. Monitoring of overall <i>best management practices</i> implementation.</li> </ol> <p>Performance Measure 3.2. <i>Program Participants</i> shall implement water, <i>wetland</i> and <i>riparian protection</i> measures based on soil type, terrain, vegetation, ecological function, harvesting system, state <i>best management practices (BMPs)</i>, provincial guidelines and other applicable factors.  Indicators:</p> <ol style="list-style-type: none"> <li>1. <i>Program</i> addressing management and <i>protection</i> of rivers, streams, lakes, <i>wetlands</i>, other water bodies and <i>riparian areas</i> during all phases of management, including the layout and construction of roads and <i>skid trails</i> to maintain water reach, flow and quality.</li> <li>2. Mapping of rivers, streams, lakes, <i>wetlands</i> and other water bodies as specified in state or provincial <i>best management practices</i> and, where appropriate, identification on the ground.</li> <li>3. Document and implement plans to manage and protect rivers, streams, lakes, <i>wetlands</i>, other water bodies and <i>riparian areas</i>.</li> <li>4. Plans that address wet-weather events in order to maintain water quality (e.g., <i>forest inventory</i> systems, wet-weather tracts, definitions of acceptable operating conditions).</li> </ol>

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	<p><b>Objective 11 – Training and Education</b>  Performance Measure 11.1. <i>Program Participants</i> shall require appropriate training of personnel and contractors so that they are competent to fulfill their responsibilities under the <i>SFI 2015-2019 Forest Management Standard</i>.  Indicators:  1. Written statement of commitment to the <i>SFI 2015-2019 Forest Management Standard</i> communicated throughout the organization, particularly to facility and woodland managers, and field foresters.  2. Assignment and understanding of roles and responsibilities for achieving <i>SFI 2015-2019 Forest Management Standard objectives</i>.  3. Staff education and training sufficient to their roles and responsibilities.  4. Contractor education and training sufficient to their roles and responsibilities.</p>
<p>5.6.1 Forest management planning shall aim to respect the multiple functions of forests to society, give due regard to the role of forestry in rural development, and especially consider new opportunities for employment in connection with the socio-economic functions of forests.</p> <p>Note: The stimulation of rural development could be achieved by training and employment of local people, including indigenous people, a preference for the local processing of timber and non-wood forest products, etc.</p>	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 1 – Forest Management Planning</b>  Performance Measure 1.1. <i>Program Participants</i> shall ensure that forest management plans include <i>long-term</i> harvest levels that are sustainable and consistent with appropriate <i>growth-and-yield models</i>.  Indicators:  1. Forest management planning at a level appropriate to the size and scale of the operation, including:  a. a <i>long-term</i> resources analysis;  b. a periodic or ongoing <i>forest inventory</i>;  c. a <i>land classification</i> system;  d. biodiversity at <i>landscape</i> scales;  e. soils inventory and maps, where available;  f. access to <i>growth-and-yield modeling</i> capabilities;  g. up-to-date maps or a <i>geographic information system (GIS)</i>;  h. recommended sustainable harvest levels for areas available for harvest; and  i. a review of non-timber issues (e.g., recreation, tourism, pilot projects and economic incentive <i>programs</i> to promote water <i>protection</i>, carbon storage, <i>bioenergy feedstock</i> production, or <i>biological diversity conservation</i>, or to address climate-induced ecosystem change).  2. Documented current harvest trends fall within <i>long-term</i> sustainable levels identified in the forest management plan.  3. A <i>forest inventory</i> system and a method to calculate growth and yield.  4. Periodic updates of <i>forest inventory</i> and recalculation of planned harvests to account for changes in growth due to <i>productivity</i> increases or decreases, including but not limited to: improved data, <i>long-term</i> drought, fertilization, <i>climate change</i>, changes in forest land ownership and tenure, or <i>forest health</i>.  5. Documentation of forest practices (e.g., <i>planting</i>, fertilization and thinning) consistent with assumptions in harvest plans.</p> <p><b>Objective 7 – Efficient Use of Fiber Resources</b>  Performance Measure 7.1. <i>Program Participants</i> shall employ appropriate forest harvesting technology and in-woods manufacturing processes and practices to <i>minimize</i></p>

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	<p>waste and ensure efficient utilization of harvested trees, where consistent with other <i>SFI Standard objectives</i>.</p> <p>Indicator:</p> <ol style="list-style-type: none"> <li>1. <i>Program</i> or monitoring system to ensure efficient utilization, which may include provisions to ensure: <ol style="list-style-type: none"> <li>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;</li> <li>b. training or incentives to encourage loggers to enhance utilization;</li> <li>c. exploration of markets for underutilized species and low-grade wood and alternative markets (e.g., bioenergy markets); or</li> <li>d. periodic inspections and reports noting utilization and product separation.</li> </ol> </li> </ol> <p><b>Objective 11 – Training and Education</b></p> <p>Performance Measure 11.1. <i>Program Participants</i> shall require appropriate training of personnel and contractors so that they are competent to fulfill their responsibilities under the <i>SFI 2015-2019 Forest Management Standard</i>.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Written statement of commitment to the <i>SFI 2015-2019 Forest Management Standard</i> communicated throughout the organization, particularly to facility and woodland managers, and field foresters.</li> <li>2. Assignment and understanding of roles and responsibilities for achieving <i>SFI 2015-2019 Forest Management Standard objectives</i>.</li> <li>3. Staff education and training sufficient to their roles and responsibilities.</li> <li>4. Contractor education and training sufficient to their roles and responsibilities.</li> <li>5. <i>Program Participants</i> shall have written agreements for the use of <i>qualified logging professionals</i> and/or <i>certified logging professionals</i> (where available) and/or <i>wood producers</i> that have completed training <i>programs</i> and are recognized as <i>qualified logging professionals</i>.</li> </ol> <p>Performance Measure 11.2. <i>Program Participants</i> shall work individually and/or with <i>SFI Implementation Committees</i>, logging or <i>forestry</i> associations, or appropriate agencies or others in the <i>forestry</i> community to foster improvement in the professionalism of <i>wood producers</i>.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Participation in or support of <i>SFI Implementation Committees</i> to establish criteria and identify delivery mechanisms for <i>wood producer</i> training courses and periodic continuing education that address: <ol style="list-style-type: none"> <li>a. awareness of <i>sustainable forestry principles</i> and the <i>SFI program</i>;</li> <li>b. <i>best management practices</i>, including streamside management and road construction, maintenance and retirement;</li> <li>c. <i>reforestation, invasive exotic plants and animals</i>, forest resource <i>conservation</i>, aesthetics and <i>special sites</i>;</li> <li>d. awareness of responsibilities under the U.S. Endangered Species Act, the Canadian Species at Risk Act, and other measures to protect <i>wildlife habitat</i> (e.g., <i>Forests with Exceptional Conservation Value</i>);</li> <li>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.</li> <li>f. logging safety;</li> <li>g. U.S. Occupational Safety and Health Administration (OSHA) and Canadian Centre for Occupational Health and Safety (CCOHS) regulations, wage and hour rules, and other provincial, state and local employment laws;</li> <li>h. transportation issues;</li> <li>i. business management;</li> <li>j. public <i>policy</i> and outreach; and</li> </ol> </li> </ol>

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	<p>k. awareness of emerging technologies.</p> <p>2. The <i>SIC</i>-approved <i>wood producer</i> training <i>programs</i> shall have a continuing education component with coursework that supports the current training <i>programs</i>, safety and the <i>principles</i> of <i>sustainable forestry</i>.</p> <p>3. Participation in or support of <i>SFI Implementation Committees</i> to establish criteria for recognition of logger certification <i>programs</i>, where they exist, that include:</p> <ul style="list-style-type: none"> <li>a. completion of <i>SFI Implementation Committee</i> recognized logger training <i>programs</i> and meeting continuing education requirements of the training <i>program</i>;</li> <li>b. independent in-the-forest verification of conformance with the logger certification <i>program</i> standards;</li> <li>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 <i>wildlife habitat</i>;</li> <li>d. use of <i>best management practices</i> to protect water quality;</li> <li>e. logging safety;</li> <li>f. compliance with acceptable <i>silviculture</i> and utilization standards;</li> <li>g. aesthetic management techniques employed where applicable; and</li> <li>h. adherence to a management or harvest plan that is site specific and agreed to by the forest landowner.</li> </ul>
<p>5.6.2 Forest management shall promote the long-term health and well-being of communities within or adjacent to the forest management area.</p>	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 1 – Forest Management Planning</b></p> <p>Performance Measure 1.1. <i>Program Participants</i> shall ensure that forest management plans include <i>long-term</i> harvest levels that are sustainable and consistent with appropriate <i>growth-and-yield models</i>.</p> <p>Indicators:</p> <ul style="list-style-type: none"> <li>1. Forest management planning at a level appropriate to the size and scale of the operation, including: <ul style="list-style-type: none"> <li>a. a <i>long-term</i> resources analysis;</li> <li>b. a periodic or ongoing <i>forest inventory</i>;</li> <li>c. a <i>land classification</i> system;</li> <li>d. biodiversity at <i>landscape</i> scales;</li> <li>e. soils inventory and maps, where available;</li> <li>f. access to <i>growth-and-yield modeling</i> capabilities;</li> <li>g. up-to-date maps or a <i>geographic information system (GIS)</i>;</li> <li>h. recommended sustainable harvest levels for areas available for harvest; and</li> <li>i. a review of non-timber issues (e.g., recreation, tourism, pilot projects and economic incentive <i>programs</i> to promote water <i>protection</i>, carbon storage, <i>bioenergy feedstock</i> production, or <i>biological diversity conservation</i>, or to address climate-induced ecosystem change).</li> </ul> </li> <li>2. Documented current harvest trends fall within <i>long-term</i> sustainable levels identified in the forest management plan.</li> <li>3. A <i>forest inventory</i> system and a method to calculate growth and yield.</li> <li>4. Periodic updates of <i>forest inventory</i> and recalculation of planned harvests to account for changes in growth due to <i>productivity</i> increases or decreases, including but not limited to: improved data, <i>long-term</i> drought, fertilization, <i>climate change</i>, changes in forest land ownership and tenure, or <i>forest health</i>.</li> <li>5. Documentation of forest practices (e.g., <i>planting</i>, fertilization and thinning) consistent with assumptions in harvest plans.</li> </ul>

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	<p><b>Objective 2 – Forest Health and Productivity</b>  Performance Measure 2.1. <i>Program Participants</i> shall promptly reforest after final harvest.  Indicators:</p> <ol style="list-style-type: none"> <li>1. Documented <i>reforestation</i> plans, including designation of all harvest areas for either natural, planted or direct seeded regeneration and prompt <i>reforestation</i>, unless delayed for site-specific environmental or <i>forest health</i> considerations or legal requirements, through <i>planting</i> within two years or two <i>planting</i> seasons, or by planned <i>natural regeneration</i> methods within five years.</li> <li>2. Clear criteria to judge adequate regeneration and appropriate actions to correct understocked areas and achieve acceptable species composition and stocking rates for <i>planting</i>, <i>direct seeding</i> and <i>natural regeneration</i>.</li> <li>3. <i>Plantings</i> of <i>exotic tree species</i> should <i>minimize</i> risk to <i>native</i> ecosystems.</li> <li>4. <i>Protection</i> of desirable or planned advanced <i>natural regeneration</i> during harvest.</li> <li>5. <i>Afforestation programs</i> that consider potential ecological impacts of the selection and <i>planting</i> of tree species in non-forested <i>landscapes</i>.</li> </ol> <p><b>Objective 7 – Efficient Use of Fiber Resources</b>  Performance Measure 7.1. <i>Program Participants</i> shall employ appropriate forest harvesting technology and in-woods manufacturing processes and practices to <i>minimize</i> waste and ensure efficient utilization of harvested trees, where consistent with other <i>SFI Standard objectives</i>.  Indicator:</p> <ol style="list-style-type: none"> <li>1. <i>Program</i> or monitoring system to ensure efficient utilization, which may include provisions to ensure: <ol style="list-style-type: none"> <li>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;</li> <li>b. training or incentives to encourage loggers to enhance utilization;</li> <li>c. exploration of markets for underutilized species and low-grade wood and alternative markets (e.g., bioenergy markets); or</li> <li>d. periodic inspections and reports noting utilization and product separation.</li> </ol> </li> </ol> <p><b>Objective 12 – Community Involvement and Landowner Outreach</b>  Performance Measure 12.2. <i>Program Participants</i> 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:</p> <ol style="list-style-type: none"> <li>1. Periodic educational opportunities promoting <i>sustainable forestry</i>, such as <ol style="list-style-type: none"> <li>a. field tours, seminars, websites, webinars or workshops;</li> <li>b. educational trips;</li> <li>c. self-guided forest management trails;</li> <li>d. publication of articles, educational pamphlets or newsletters; or</li> <li>e. support for state, provincial, and local <i>forestry</i> organizations and soil and water <i>conservation</i> districts.</li> </ol> </li> </ol> <p>Performance Measure 12.3. <i>Program Participants</i> 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 <i>Program Participants</i> regarding practices that appear inconsistent with the <i>SFI Standard principles</i> and <i>objectives</i>.</p>

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	<p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Support for <i>SFI Implementation Committees</i> (e.g., toll-free numbers and other efforts) to address concerns about apparent nonconforming practices.</li> <li>2. Process to receive and respond to public inquiries. <i>SFI Implementation Committees</i> shall submit data annually to <i>SFI Inc.</i> regarding concerns received and responses.</li> </ol> <p><b>Objective 13 – Public Land Management Responsibilities</b>  Performance Measure 13.1. <i>Program Participants</i> with forest <i>management responsibilities on public lands</i> shall participate in the development of <i>public land</i> planning and management processes.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Involvement in <i>public land</i> planning and management activities with appropriate governmental entities and the public.</li> <li>2. Appropriate contact with local stakeholders over forest management issues through state, provincial, federal or independent collaboration.</li> </ol>
<p>5.6.3 Property rights and land tenure arrangements shall be clearly defined, documented and established for the relevant forest area. Likewise, legal, customary and traditional rights related to the forest land shall be clarified, recognised and respected.</p>	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 1 – Forest Management Planning</b>  Performance Measure 1.1. <i>Program Participants</i> shall ensure that forest management plans include <i>long-term</i> harvest levels that are sustainable and consistent with appropriate <i>growth-and-yield models</i>.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Forest management planning at a level appropriate to the size and scale of the operation, including: <ol style="list-style-type: none"> <li>a. a <i>long-term</i> resources analysis;</li> <li>b. a periodic or ongoing <i>forest inventory</i>;</li> <li>c. a <i>land classification</i> system;</li> <li>d. biodiversity at <i>landscape</i> scales;</li> <li>e. soils inventory and maps, where available;</li> <li>f. access to <i>growth-and-yield modeling</i> capabilities;</li> <li>g. up-to-date maps or a <i>geographic information system (GIS)</i>;</li> <li>h. recommended sustainable harvest levels for areas available for harvest; and</li> <li>i. a review of non-timber issues (e.g., recreation, tourism, pilot projects and economic incentive <i>programs</i> to promote water <i>protection</i>, carbon storage, <i>bioenergy feedstock</i> production, or <i>biological diversity conservation</i>, or to address climate-induced ecosystem change).</li> </ol> </li> </ol> <p><b>Objective 8 – Recognize and Respect Indigenous Peoples' Rights</b>  Performance Measure 8.1. <i>Program Participants</i> shall recognize and respect <i>Indigenous Peoples'</i> rights.</p> <p>Indicator:</p> <ol style="list-style-type: none"> <li>1. <i>Program Participants</i> will provide a written <i>policy</i> acknowledging a commitment to recognize and respect the rights of <i>Indigenous Peoples</i>.</li> </ol>

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	<p>Performance Measure 8.2. <i>Program Participants</i> with forest <i>management responsibilities on public lands</i> shall confer with affected <i>Indigenous Peoples</i> with respect to sustainable forest management practices.</p> <p>Indicator:</p> <ol style="list-style-type: none"> <li>1. <i>Program</i> that includes communicating with affected <i>Indigenous Peoples</i> to enable <i>Program Participants</i> to: <ol style="list-style-type: none"> <li>a. understand and respect <i>traditional forest-related knowledge</i>;</li> <li>b. identify and protect spiritually, historically, or <i>culturally important</i> sites;</li> <li>c. address the use of <i>non-timber forest products</i> of value to <i>Indigenous Peoples</i> in areas where <i>Program Participants</i> have <i>management responsibilities on public lands</i>; and</li> <li>d. respond to <i>Indigenous Peoples'</i> inquiries and concerns received.</li> </ol> </li> </ol> <p>Performance Measure 8.3. <i>Program Participants</i> are encouraged to communicate with and shall respond to local <i>Indigenous Peoples</i> with respect to sustainable forest management practices on their private lands.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. <i>Program Participants</i> are aware of <i>traditional forest-related knowledge</i>, 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.</li> <li>2. Respond to <i>Indigenous Peoples'</i> inquiries and concerns received.</li> </ol> <p><b>Objective 9 – Legal and Regulatory Compliance</b></p> <p>Performance Measure 9.1. <i>Program Participants</i> shall comply with applicable federal, provincial, state and local <i>forestry</i> and related social and environmental laws and regulations.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Access to relevant laws and regulations in appropriate locations.</li> <li>2. System to achieve compliance with applicable federal, provincial, state, or local laws and regulations.</li> <li>3. Demonstration of commitment to legal compliance through <i>available regulatory action information</i>.</li> </ol> <p>For a summary of Canadian legislation and regulation pertaining to forest management see National Council for Air Stream Improvement Special Report 14-03  <a href="http://www.ncasi.org/Search-Results.aspx?q=SPECIAL+REPORT+NO.+14-03">http://www.ncasi.org/Search-Results.aspx?q=SPECIAL+REPORT+NO.+14-03</a></p> <p>For a summary of <b>American legislation</b> and regulations pertaining to forest management see <b>Appendix 26 of the PEFC Endorsement Application - Summary of U.S. and Canadian Legislation Pertaining to Forest Management</b></p>
5.6.4 Forest management activities shall be conducted in recognition of the established framework of legal, customary and traditional rights such as outlined in	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>Introduction - SFI Section 1</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-1-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-1-pdf/</a></p>



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ILO 169 and the UN Declaration on the Rights of Indigenous Peoples, which shall not be infringed upon without the free, prior and informed consent of the holders of the rights, including the provision of compensation where applicable. Where the extent of rights is not yet resolved or is in dispute there are processes for just and fair resolution. In such cases forest managers shall, in the interim, provide meaningful opportunities for parties to be engaged in forest management decisions whilst respecting the processes and roles and responsibilities laid out in the policies and laws where the certification takes place.	<p>The SFI 2015-2019 Forest Management Standard also recognizes and adopts the principles outlined in the United Nations Declaration for the Rights of Indigenous Peoples (UNDRIP).<sup>52</sup> The Declaration says that consideration should be given for Indigenous Peoples’ rights to maintain and strengthen their distinct spiritual relationship with their traditionally owned or otherwise used lands and territories.<sup>53</sup> In adopting the UNDRIP articles SFI Program Participants are encouraged to communicate and collaborate with local Indigenous Peoples in order to better understand their traditional practices and experiences with respect to forest management.</p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b> <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 8. Recognize and Respect <i>Indigenous Peoples’</i> Rights. To recognize and respect <i>Indigenous Peoples’</i> rights and traditional knowledge.</b></p> <p>Performance Measure 8.1. <i>Program Participants</i> shall recognize and respect <i>Indigenous Peoples’</i> rights.</p> <p>Indicator:</p> <p>1. <i>Program Participants</i> will provide a written <i>policy</i> acknowledging a commitment to recognize and respect the rights of <i>Indigenous Peoples</i>.</p> <p>Performance Measure 8.2. <i>Program Participants</i> with forest <i>management responsibilities on public lands</i> shall confer with affected <i>Indigenous Peoples</i> with respect to sustainable forest management practices.</p> <p>Indicator:</p> <p>1. <i>Program</i> that includes communicating with affected <i>Indigenous Peoples</i> to enable <i>Program Participants</i> to:</p> <p>a. understand and respect <i>traditional forest-related knowledge</i>;</p> <p>b. identify and protect spiritually, historically, or <i>culturally important</i> sites;</p> <p>c. address the use of <i>non-timber forest products</i> of value to <i>Indigenous Peoples</i> in areas where <i>Program Participants</i> have <i>management responsibilities on public lands</i>; and</p> <p>d. respond to <i>Indigenous Peoples’</i> inquiries and concerns received.</p> <p>Performance Measure 8.3. <i>Program Participants</i> are encouraged to communicate with and shall respond to local <i>Indigenous Peoples</i> with respect to sustainable forest management practices on their private lands.</p> <p>Indicators:</p> <p>1. <i>Program Participants</i> are aware of <i>traditional forest-related knowledge</i>, 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.</p> <p>2. Respond to <i>Indigenous Peoples’</i> inquiries and concerns received.</p>

<sup>52</sup> Both Canada and the United States officially endorsed UNDRIP in 2010.

<sup>53</sup> Article 25 of UNDRIP states that, “*Indigenous peoples* have the right to maintain and strengthen their distinctive spiritual relationship with their traditionally owned or otherwise occupied and used lands, territories, waters and coastal seas and other resources and to uphold their responsibilities to future generations in this regard.”

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	<p><b>Objective 9 – Legal and Regulatory Compliance</b></p> <p>Performance Measure 9.1. <i>Program Participants</i> shall comply with applicable federal, provincial, state and local <i>forestry</i> and related social and environmental laws and regulations.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Access to relevant laws and regulations in appropriate locations.</li> <li>2. System to achieve compliance with applicable federal, provincial, state, or local laws and regulations.</li> <li>3. Demonstration of commitment to legal compliance through <i>available regulatory action information</i>.</li> </ol> <p>Performance Measure 9.2. <i>Program Participants</i> 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 <i>Program Participant</i> operates.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Written <i>policy</i> demonstrating commitment to comply with social laws, such as those covering civil rights, equal employment opportunities, anti-discrimination and anti-harassment measures, workers’ compensation, <i>Indigenous Peoples’</i> rights, workers’ and communities’ right to know, prevailing wages, workers’ right to organize, and occupational health and safety.</li> <li>2. <i>Forestry enterprises</i> will respect the rights of workers and labor representatives in a manner that encompasses the intent of the International Labor Organization (ILO) core conventions.</li> </ol> <p><b>Guidance to the SFI 2015-2019 Standards and Rules - Section 6</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-6-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-6-pdf/</a></p> <p>8. <i>SFI 2015-2019 Forest Management Standard – Indigenous Peoples’ Rights</i></p> <p>8.1 Aboriginal Title</p> <p><i>SFI 2015-2019 Forest Management Standard</i> Performance Measure 8.1 requires that <i>Program Participants</i> recognize and respect <i>Indigenous Peoples’</i> rights. Additionally, Objective 9 requires <i>Program Participants</i> to comply with all applicable federal, provincial/state laws and regulations.</p> <p>On June 26, 2014 the Supreme Court of Canada provided a significant ruling on the occurrence of Aboriginal title in Canada (<i>Tsilhqot’in Nation v. British Columbia</i>, 2014 SCC 44). The <i>Tsilhqot’in</i> decision is significant as it recognizes “Aboriginal title” over 1,900 km<sup>2</sup> of <i>Tsilhqot’in</i> territory establishing what is a new form of land tenure in Canada. This decision will have implications for Canadian <i>Program Participants</i> as First Nations legally establish “Aboriginal title” on territories that are currently non-treaty lands.</p> <p>With this legal precedent in place, <i>Program Participants</i> must ensure they are in compliance with all applicable laws including recent court decisions that bear on forest management and land tenure. Certified <i>Program Participants</i> operating in non-treaty areas of Canada over which “Aboriginal title” claims are made should be aware of the recent Supreme Court of Canada decision ( <i>Tsilhqot’in Nation v. British Columbia</i>, 2014 SCC 44) and the tests for and content of “Aboriginal title” to land.</p>
5.6.5 Adequate public access to forests for	<b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b>

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<p>the purpose of recreation shall be provided taking into account respect for ownership rights and the rights of others, the effects on forest resources and ecosystems, as well as compatibility with other functions of the forest.</p>	<p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 1 – Forest Management Planning</b>  Performance Measure 1.1. <i>Program Participants</i> shall ensure that forest management plans include <i>long-term</i> harvest levels that are sustainable and consistent with appropriate <i>growth-and-yield models</i>.  Indicators:  1. Forest management planning at a level appropriate to the size and scale of the operation, including:  i. a review of non-timber issues (e.g., recreation, tourism, pilot projects and economic incentive <i>programs</i> to promote water <i>protection</i>, carbon storage, <i>bioenergy feedstock</i> production, or <i>biological diversity conservation</i>, or to address climate-induced ecosystem change).</p> <p><b>Objective 5 – Management of Visual Quality and Recreational Benefits</b>  Performance Measure 5.4. <i>Program Participants</i> shall support and promote recreational opportunities for the public.  Indicator:  1. Provide recreational opportunities for the public, where consistent with forest management <i>objectives</i>.</p> <p><b>Objective 9 – Legal and Regulatory Compliance</b>  Performance Measure 9.1. <i>Program Participants</i> shall comply with applicable federal, provincial, state and local <i>forestry</i> 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 <i>available regulatory action information</i>.</p> <p><b>Objective 13 – Public Land Management Responsibilities</b>  Performance Measure 13.1. <i>Program Participants</i> with forest <i>management responsibilities on public lands</i> shall participate in the development of <i>public land</i> planning and management processes.  Indicators:  1. Involvement in <i>public land</i> 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.</p>
<p>5.6.6 Sites with recognised specific historical, cultural or spiritual significance and areas fundamental to meeting the basic needs of local communities (e.g. health, subsistence) shall be protected or managed in a way that takes due regard of the significance of the site.</p>	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 6 – Protection of Special Sites</b>  Performance Measure 6.1. <i>Program Participants</i> shall identify <i>special sites</i> and manage them in a manner appropriate for their unique features.  Indicators:</p>

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	<p>1. Use of information such as existing natural heritage data, expert advice or stakeholder consultation in identifying or selecting <i>special sites</i> for <i>protection</i>.</p> <p>2. Appropriate mapping, cataloging and management of identified <i>special sites</i>.</p> <p><b>Objective 8 – Recognize and Respect Indigenous Peoples’ Rights</b></p> <p>Performance Measure 8.1. <i>Program Participants</i> shall recognize and respect <i>Indigenous Peoples’</i> rights.</p> <p>Indicator:</p> <p>1. <i>Program Participants</i> will provide a written <i>policy</i> acknowledging a commitment to recognize and respect the rights of <i>Indigenous Peoples</i>.</p> <p>Performance Measure 8.2. <i>Program Participants</i> with forest <i>management responsibilities on public lands</i> shall confer with affected <i>Indigenous Peoples</i> with respect to sustainable forest management practices.</p> <p>Indicator:</p> <p>1. <i>Program</i> that includes communicating with affected <i>Indigenous Peoples</i> to enable <i>Program Participants</i> to:</p> <ul style="list-style-type: none"> <li>a. understand and respect <i>traditional forest-related knowledge</i>;</li> <li>b. identify and protect spiritually, historically, or <i>culturally important</i> sites;</li> <li>c. address the use of <i>non-timber forest products</i> of value to <i>Indigenous Peoples</i> in areas where <i>Program Participants</i> have <i>management responsibilities on public lands</i>; and</li> <li>d. respond to <i>Indigenous Peoples’</i> inquiries and concerns received.</li> </ul> <p>Performance Measure 8.3. <i>Program Participants</i> are encouraged to communicate with and shall respond to local <i>Indigenous Peoples</i> with respect to sustainable forest management practices on their private lands.</p> <p>Indicators:</p> <p>1. <i>Program Participants</i> are aware of <i>traditional forest-related knowledge</i>, 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.</p> <p>2. Respond to <i>Indigenous Peoples’</i> inquiries and concerns received.</p>
<p>5.6.7 Forest management operations shall take into account all socio-economic functions, especially the recreational function and aesthetic values of forests by maintaining for example varied forest structures, and by encouraging attractive trees, groves and other features such as colours, flowers and fruits. This shall be done, however, in a way and to an extent that does not lead to serious negative effects on forest resources, and forest land.</p>	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 4 – Conservation of Biological Diversity</b></p> <p>Performance Measure 4.1. <i>Program Participants</i> shall conserve <i>biological diversity</i>.</p> <p>Indicators:</p> <p>1. <i>Program</i> to incorporate the <i>conservation</i> of <i>native biological diversity</i>, including species, <i>wildlife habitats</i> and ecological community types at <i>stand</i> and <i>landscape</i> levels.</p> <p>2. Development of criteria and implementation of practices, as guided by regionally based <i>best scientific information</i>, to retain <i>stand-level wildlife habitat</i> elements such as snags, stumps, mast trees, down woody debris, den trees and nest trees.</p> <p>3. Document diversity of <i>forest cover types</i> and age or size classes at the individual ownership or forest tenure level, and where credible data are available, at the <i>landscape</i> scale. Working individually or collaboratively to support diversity of <i>native forest cover types</i> and age or size classes that enhance <i>biological diversity</i> at the <i>landscape</i> scale.</p>

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	<p>4. <i>Program Participants</i> shall participate in or incorporate the results of state, provincial, or regional <i>conservation</i> planning and priority-setting efforts to conserve biological diversity and consider these efforts in forest management planning. Examples of credible priority-setting efforts include state <i>wildlife</i> action plans, state forest action plans, relevant <i>habitat conservation</i> plans or provincial <i>wildlife</i> recovery plans.</p> <p>5. <i>Program</i> to address <i>conservation</i> of known sites with viable occurrences of significant species of concern.</p> <p>6. Identification and <i>protection</i> of <i>non-forested wetlands</i>, including bogs, fens and marshes, and <i>vernal pools</i> of ecological significance.</p> <p>7. Participation in <i>programs</i> and demonstration of activities as appropriate to limit the introduction, spread and impact of <i>invasive exotic plants and animals</i> that directly threaten or are likely to threaten <i>native</i> plant and animal communities.</p> <p>8. Consider the role of natural disturbances, including the use of prescribed or natural fire where appropriate, and <i>forest health</i> threats in relation to <i>biological diversity</i> when developing forest management plans.</p> <p>Performance Measure 4.2. <i>Program Participants</i> shall protect <i>threatened and endangered</i> species, <i>Forests with Exceptional Conservation Values</i> (FECV) and old-growth forests.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. <i>Program</i> to protect <i>threatened and endangered</i> species.</li> <li>2. <i>Program</i> to locate and protect known sites flora and fauna associated with viable occurrences of <i>critically imperiled</i> and <i>imperiled</i> species and communities also known as <i>Forests with Exceptional Conservation Value</i>. Plans for <i>protection</i> may be developed independently or collaboratively, and may include <i>Program Participant</i> management, cooperation with other stakeholders, or use of easements, <i>conservation</i> land sales, exchanges, or other <i>conservation</i> strategies.</li> <li>3. Support of and participation in plans or <i>programs</i> for the <i>conservation</i> of <i>old-growth forests</i> in the region of ownership or forest tenure.</li> </ol> <p>Performance Measure 4.3. <i>Program Participants</i> shall manage ecologically important sites in a manner that takes into account their unique qualities.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Use of information such as existing natural heritage data or expert advice in identifying or selecting ecologically important sites for <i>protection</i>.</li> <li>2. Appropriate mapping, cataloging and management of identified ecologically important sites.</li> </ol> <p>Performance Measure 4.4. <i>Program Participants</i> shall apply knowledge gained through research, science, technology and field experience to manage <i>wildlife habitat</i> and contribute to the <i>conservation</i> of <i>biological diversity</i>.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Collection of information on <i>Forests with Exceptional Conservation Value</i> and other <i>biodiversity</i>-related data through <i>forest inventory</i> processes, mapping or participation in external <i>programs</i>, such as NatureServe, state or provincial heritage <i>programs</i>, 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.</li> <li>2. A methodology to incorporate research results and field applications of <i>biodiversity</i> and ecosystem research into forest management decisions.</li> </ol> <p><b>Objective 5 – Management of Visual Quality and Recreational Benefits</b></p> <p>Performance Measure 5.1. <i>Program Participants</i> shall manage the impact of harvesting on <i>visual quality</i>.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. <i>Program</i> to address <i>visual quality management</i>.</li> <li>2. Incorporation of aesthetic considerations in harvesting, road, landing design and management, and other management activities where visual impacts are a concern.</li> </ol> <p>Performance Measure 5.2. <i>Program Participants</i> shall manage the size, shape and placement of clearcut harvests.</p>

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	<p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Average size of clearcut harvest areas does not exceed 120 acres (50 hectares), except when necessary to meet regulatory requirements, achieve ecological <i>objectives</i> or to respond to <i>forest health</i> emergencies or other natural catastrophes.</li> <li>2. Documentation through internal records of clearcut size and the process for calculating average size.</li> </ol> <p>Performance Measure 5.3. <i>Program Participants</i> shall adopt a <i>green-up requirement</i> or alternative methods that provide for <i>visual quality</i>.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. <i>Program</i> implementing the <i>green-up requirement</i> or alternative methods.</li> <li>2. Harvest area tracking system to demonstrate conformance with the <i>green-up requirement</i> or alternative methods.</li> <li>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 <i>performance measure</i> are utilized by the <i>Program Participant</i>.</li> </ol> <p>Performance Measure 5.4. <i>Program Participants</i> shall support and promote recreational opportunities for the public.</p> <p>Indicator:</p> <ol style="list-style-type: none"> <li>1. Provide recreational opportunities for the public, where consistent with forest management <i>objectives</i>.</li> </ol>
<p>5.6.8 Forest managers, contractors, employees and forest owners shall be provided with sufficient information and encouraged to keep up-to-date through continuous training in relation to sustainable forest management as a precondition for all management planning and practices described in this standard.</p>	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 11 – Training and Education</b></p> <p>Performance Measure 11.1. <i>Program Participants</i> shall require appropriate training of personnel and contractors so that they are competent to fulfill their responsibilities under the <i>SFI 2015-2019 Forest Management Standard</i>.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Written statement of commitment to the <i>SFI 2015-2019 Forest Management Standard</i> communicated throughout the organization, particularly to facility and woodland managers, and field foresters.</li> <li>2. Assignment and understanding of roles and responsibilities for achieving <i>SFI 2015-2019 Forest Management Standard objectives</i>.</li> <li>3. Staff education and training sufficient to their roles and responsibilities.</li> <li>4. Contractor education and training sufficient to their roles and responsibilities.</li> <li>5. <i>Program Participants</i> shall have written agreements for the use of <i>qualified logging professionals</i> and/or <i>certified logging professionals</i> (where available) and/or <i>wood producers</i> that have completed training <i>programs</i> and are recognized as <i>qualified logging professionals</i>.</li> </ol> <p>Performance Measure 11.2. <i>Program Participants</i> shall work individually and/or with <i>SFI Implementation Committees</i>, logging or <i>forestry</i> associations, or appropriate agencies or others in the <i>forestry</i> community to foster improvement in the professionalism of <i>wood producers</i>.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Participation in or support of <i>SFI Implementation Committees</i> to establish criteria and identify delivery mechanisms for <i>wood producer</i> training courses and periodic continuing education that address: <ol style="list-style-type: none"> <li>a. awareness of <i>sustainable forestry principles</i> and the <i>SFI program</i>;</li> <li>b. <i>best management practices</i>, including streamside management and road construction, maintenance and retirement;</li> </ol> </li> </ol>



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	<ul style="list-style-type: none"> <li>c. <i>reforestation, invasive exotic plants and animals</i>, forest resource <i>conservation</i>, aesthetics and <i>special sites</i>;</li> <li>d. awareness of responsibilities under the U.S. Endangered Species Act, the Canadian Species at Risk Act, and other measures to protect <i>wildlife habitat</i> (e.g., <i>Forests with Exceptional Conservation Value</i>);</li> <li>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.</li> <li>f. logging safety;</li> <li>g. U.S. Occupational Safety and Health Administration (OSHA) and Canadian Centre for Occupational Health and Safety (CCOHS) regulations, wage and hour rules, and other provincial, state and local employment laws;</li> <li>h. transportation issues;</li> <li>i. business management;</li> <li>j. public <i>policy</i> and outreach; and</li> <li>k. awareness of emerging technologies.</li> </ul> <p>2. The <i>SIC</i>-approved <i>wood producer</i> training <i>programs</i> shall have a continuing education component with coursework that supports the current training <i>programs</i>, safety and the <i>principles</i> of <i>sustainable forestry</i>.</p> <p>3. Participation in or support of <i>SFI Implementation Committees</i> to establish criteria for recognition of logger certification <i>programs</i>, where they exist, that include:</p> <ul style="list-style-type: none"> <li>a. completion of <i>SFI Implementation Committee</i> recognized logger training <i>programs</i> and meeting continuing education requirements of the training <i>program</i>;</li> <li>b. independent in-the-forest verification of conformance with the logger certification <i>program</i> standards;</li> <li>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 <i>wildlife habitat</i>;</li> <li>d. use of <i>best management practices</i> to protect water quality;</li> <li>e. logging safety;</li> <li>f. compliance with acceptable <i>silviculture</i> and utilization standards;</li> <li>g. aesthetic management techniques employed where applicable; and</li> <li>h. adherence to a management or harvest plan that is site specific and agreed to by the forest landowner.</li> </ul>
<p>5.6.9 Forest management practices shall make the best use of local forest-related experience and knowledge, such as those of local communities, forest owners, NGOs and local people.</p>	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 10 – Forest Research, Science and Technology</b></p> <p>Performance Measure 10.1. <i>Program Participants</i> shall individually and/or through cooperative efforts involving <i>SFI Implementation Committees</i>, associations or other partners provide in-kind support or funding for forest research to improve <i>forest health, productivity</i> and sustainable management of forest resources, and the environmental benefits and performance of forest products.</p> <p>Indicators:</p> <p>1. Financial or in-kind support of research to address questions of relevance in the region of operations. Examples could include, but are not limited to, areas of forest <i>productivity</i>, water quality, biodiversity, community issues, or similar areas which build broader understanding of the benefits and impacts of forest management.</p> <p>Performance Measure 10.2. <i>Program Participants</i> shall individually and/or through cooperative efforts involving <i>SFI Implementation Committees</i>, associations or other</p>



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	<p>partners develop or use state, provincial or regional analyses in support of their <i>sustainable forestry programs</i>.</p> <p>Indicator:</p> <ol style="list-style-type: none"> <li>1. Participation, individually and/or through cooperative efforts involving <i>SFI Implementation Committees</i> and/or associations at the national, state, provincial or regional level, in the development or use of some of the following: <ol style="list-style-type: none"> <li>a. regeneration assessments;</li> <li>b. <i>growth and drain</i> assessments;</li> <li>c. <i>best management practices</i> implementation and conformance;</li> <li>d. <i>biodiversity conservation</i> information for family forest owners; and</li> <li>e. social, cultural or economic benefit assessments.</li> </ol> </li> </ol> <p>Performance Measure 10.3. <i>Program Participants</i> shall individually and/or through cooperative efforts involving <i>SFI Implementation Committees</i>, associations or other partners broaden the awareness of <i>climate change</i> impacts on forests, <i>wildlife</i> and <i>biological diversity</i>.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Where available, monitor information generated from regional climate models on <i>long-term forest health, productivity</i> and <i>economic viability</i>.</li> <li>2. <i>Program Participants</i> are knowledgeable about <i>climate change</i> impacts on <i>wildlife, wildlife habitats</i> and <i>conservation of biological diversity</i> through international, national, regional or local <i>programs</i>.</li> </ol> <p><b>Objective 12 – Community Involvement and Landowner Outreach</b></p> <p>Performance Measure 12.1. <i>Program Participants</i> shall support and promote efforts by consulting foresters, state, provincial and federal agencies, state or local groups, professional societies, <i>conservation</i> organizations, <i>Indigenous Peoples</i> and governments, community groups, sporting organizations, labor, universities, extension agencies, the <i>American Tree Farm System®</i> and/or other landowner cooperative <i>programs</i> to apply <i>principles</i> of sustainable forest management.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Support, including financial, for efforts of <i>SFI Implementation Committees</i>.</li> <li>2. Support, individually or collaboratively, education and outreach to forest landowners describing the importance and providing implementation guidance on: <ol style="list-style-type: none"> <li>a. <i>best management practices</i>;</li> <li>b. <i>reforestation</i> and <i>afforestation</i>;</li> <li>c. <i>visual quality management</i>;</li> <li>d. <i>conservation objectives</i>, such as critical <i>wildlife habitat</i> elements, <i>biodiversity, threatened and endangered</i> species, and <i>Forests with Exceptional Conservation Value</i>;</li> <li>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;</li> <li>f. control of <i>invasive exotic plants and animals</i>;</li> <li>g. characteristics of <i>special sites</i>; and</li> <li>h. reduction of wildfire risk.</li> </ol> </li> <li>3. Participation in efforts to support or promote <i>conservation</i> of managed forests through voluntary market-based incentive <i>programs</i> such as current-use taxation <i>programs, Forest Legacy Program</i> or <i>conservation</i> easements.</li> </ol>

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	<p>Performance Measure 12.2. <i>Program Participants</i> shall support and promote, at the state, provincial or other appropriate levels, mechanisms for public outreach, education and involvement related to sustainable forest management.</p> <p>Indicator:</p> <ol style="list-style-type: none"> <li>1. Periodic educational opportunities promoting <i>sustainable forestry</i>, such as <ol style="list-style-type: none"> <li>a. field tours, seminars, websites, webinars or workshops;</li> <li>b. educational trips;</li> <li>c. self-guided forest management trails;</li> <li>d. publication of articles, educational pamphlets or newsletters; or</li> <li>e. support for state, provincial, and local <i>forestry</i> organizations and soil and water <i>conservation</i> districts.</li> </ol> </li> </ol> <p>Performance Measure 12.3. <i>Program Participants</i> 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 <i>Program Participants</i> regarding practices that appear inconsistent with the <i>SFI Standard principles</i> and <i>objectives</i>.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Support for <i>SFI Implementation Committees</i> (e.g., toll-free numbers and other efforts) to address concerns about apparent nonconforming practices.</li> <li>2. Process to receive and respond to public inquiries. <i>SFI Implementation Committees</i> shall submit data annually to <i>SFI Inc.</i> regarding concerns received and responses.</li> </ol> <p><b>Objective 13 – Public Land Management Responsibilities</b></p> <p>Performance Measure 13.1. <i>Program Participants</i> with forest <i>management responsibilities on public lands</i> shall participate in the development of <i>public land</i> planning and management processes.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Involvement in <i>public land</i> planning and management activities with appropriate governmental entities and the public.</li> <li>2. Appropriate contact with local stakeholders over forest management issues through state, provincial, federal or independent collaboration.</li> </ol>
<p>5.6.10 Forest management shall provide for effective communication and consultation with local people and other stakeholders relating to sustainable forest management and shall provide appropriate mechanisms for resolving complaints and disputes relating to forest management between forest operators and local people.</p>	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 12 – Community Involvement and Landowner Outreach</b></p> <p>Performance Measure 12.1. <i>Program Participants</i> shall support and promote efforts by consulting foresters, state, provincial and federal agencies, state or local groups, professional societies, <i>conservation</i> organizations, <i>Indigenous Peoples</i> and governments, community groups, sporting organizations, labor, universities, extension agencies, the <i>American Tree Farm System</i>® and/or other landowner cooperative <i>programs</i> to apply <i>principles</i> of sustainable forest management.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>2. Support, individually or collaboratively, education and outreach to forest landowners describing the importance and providing implementation guidance on: <ol style="list-style-type: none"> <li>a. <i>best management practices</i>;</li> <li>b. <i>reforestation</i> and <i>afforestation</i>;</li> <li>c. <i>visual quality management</i>;</li> <li>d. <i>conservation objectives</i>, such as critical <i>wildlife habitat</i> elements, <i>biodiversity</i>, <i>threatened and endangered</i> species, and <i>Forests with Exceptional Conservation</i></li> </ol> </li> </ol>

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	<p><i>Value;</i></p> <ul style="list-style-type: none"><li>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;</li><li>f. control of <i>invasive exotic plants and animals</i>;</li><li>g. characteristics of <i>special sites</i>; and</li><li>h. reduction of wildfire risk.</li></ul> <p>Performance Measure 12.2. <i>Program Participants</i> shall support and promote, at the state, provincial or other appropriate levels, mechanisms for public outreach, education and involvement related to sustainable forest management.</p> <p>Indicator:</p> <ul style="list-style-type: none"><li>1. Periodic educational opportunities promoting <i>sustainable forestry</i>, such as<ul style="list-style-type: none"><li>a. field tours, seminars, websites, webinars or workshops;</li><li>b. educational trips;</li><li>c. self-guided forest management trails;</li><li>d. publication of articles, educational pamphlets or newsletters; or</li><li>e. support for state, provincial, and local <i>forestry</i> organizations and soil and water <i>conservation</i> districts.</li></ul></li></ul> <p>Performance Measure 12.3. <i>Program Participants</i> 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 <i>Program Participants</i> regarding practices that appear inconsistent with the <i>SFI Standard principles</i> and <i>objectives</i>.</p> <p>Indicators:</p> <ul style="list-style-type: none"><li>1. Support for <i>SFI Implementation Committees</i> (e.g., toll-free numbers and other efforts) to address concerns about apparent nonconforming practices.</li><li>2. Process to receive and respond to public inquiries. <i>SFI Implementation Committees</i> shall submit data annually to <i>SFI Inc.</i> regarding concerns received and responses.</li></ul> <p><b>Objective 13 – Public Land Management Responsibilities</b></p> <p>Performance Measure 13.1. <i>Program Participants</i> with forest <i>management responsibilities on public lands</i> shall participate in the development of <i>public land</i> planning and management processes.</p> <p>Indicators:</p> <ul style="list-style-type: none"><li>1. Involvement in <i>public land</i> planning and management activities with appropriate governmental entities and the public.</li><li>2. Appropriate contact with local stakeholders over forest management issues through state, provincial, federal or independent collaboration.</li></ul> <p><b>Public Inquires and Public Complaints - SFI Section 11</b></p> <p><a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-11-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-11-pdf/</a></p> <p>Introduction</p> <p>A process that openly investigates concerns and official complaints is an important component of any legitimate certification <i>program</i>. The transparency requirements of the <i>SFI</i> Standard and supporting documents allow individuals and organizations to bring forward questions and concerns using two different processes as outlined in this section.</p>

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	<p>The “Public Inquiries Regarding Inconsistent Practices” (number 1 below) shall be used for general inquiries from the public and to promptly review and apply corrective actions, if warranted, in situations where isolated deficiencies in implementing the requirements of the <i>SFI Forest Management, Fiber Sourcing or Chain-of-Custody</i> Standards may have occurred.</p> <p>Inquiries that involve multiple or systemic instances of alleged nonconformity that challenge the validity of a certification shall be addressed using the process outlined in “Official Complaints Questioning the Validity of a Certification” (number 2 below).</p> <p>An official complaint does not challenge the credibility or the content of the standard requirements; rather it challenges the audit findings and the decision of the <i>certification body</i> to grant the certification, or events occurring since the audit that question the maintenance of the certification.</p> <p>In instances where there is disagreement on the process to be applied, <i>SFI Inc.</i> shall serve as the higher authority in determining which process is most appropriate.</p>
<p>5.6.11 Forestry work shall be planned, organised and performed in a manner that enables health and accident risks to be identified and all reasonable measures to be applied to protect workers from work-related risks. Workers shall be informed about the risks involved with their work and about preventive measures.</p>	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 9 – Legal and Regulatory Compliance</b>  Performance Measure 9.1. <i>Program Participants</i> shall comply with applicable federal, provincial, state and local <i>forestry</i> 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 <i>available regulatory action information</i>.</p> <p>Performance Measure 9.2. <i>Program Participants</i> 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 <i>Program Participant</i> operates.  Indicators:  1. Written <i>policy</i> demonstrating commitment to comply with social laws, such as those covering civil rights, equal employment opportunities, anti-discrimination and anti-harassment measures, workers’ compensation, <i>Indigenous Peoples’</i> rights, workers’ and communities’ right to know, prevailing wages, workers’ right to organize, and occupational health and safety.  2. <i>Forestry enterprises</i> will respect the rights of workers and labor representatives in a manner that encompasses the intent of the International Labor Organization (ILO) core conventions.</p> <p><b>Objective 11 – Training and Education</b>  Performance Measure 11.2. <i>Program Participants</i> shall work individually and/or with <i>SFI Implementation Committees</i>, logging or <i>forestry</i> associations, or appropriate agencies or others in the <i>forestry</i> community to foster improvement in the professionalism of <i>wood producers</i>.  Indicators:</p>

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	<ol style="list-style-type: none"> <li>Participation in or support of <i>SFI Implementation Committees</i> to establish criteria and identify delivery mechanisms for <i>wood producer</i> training courses and periodic continuing education that address: <ol style="list-style-type: none"> <li>logging safety;</li> <li>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;</li> </ol> </li> <li>The SIC-approved wood producer training programs shall have a continuing education component with coursework that supports the current training programs, safety and the principles of sustainable forestry.</li> <li>Participation in or support of <i>SFI Implementation Committees</i> to establish criteria for recognition of logger certification <i>programs</i>, where they exist, that include: <ol style="list-style-type: none"> <li>logging safety;</li> </ol> </li> </ol>
<p>5.6.12 Working conditions shall be safe, and guidance and training in safe working practices shall be provided to all those assigned to a task in forest operations.</p> <p>Note: Guidance for specifying national standards can be obtained from the ILO Code of Good Practice: Safety and Health in Forestry Work.</p>	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 9 – Legal and Regulatory Compliance</b>  Performance Measure 9.1. <i>Program Participants</i> shall comply with applicable federal, provincial, state and local <i>forestry</i> and related social and environmental laws and regulations.  Indicators:  <ol style="list-style-type: none"> <li>Access to relevant laws and regulations in appropriate locations.</li> <li>System to achieve compliance with applicable federal, provincial, state, or local laws and regulations.</li> <li>Demonstration of commitment to legal compliance through <i>available regulatory action information</i>.</li> </ol>   Performance Measure 9.2. <i>Program Participants</i> 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 <i>Program Participant</i> operates.  Indicators:  <ol style="list-style-type: none"> <li>Written <i>policy</i> demonstrating commitment to comply with social laws, such as those covering civil rights, equal employment opportunities, anti-discrimination and anti-harassment measures, workers' compensation, <i>Indigenous Peoples'</i> rights, workers' and communities' right to know, prevailing wages, workers' right to organize, and occupational health and safety.</li> <li><i>Forestry enterprises</i> will respect the rights of workers and labor representatives in a manner that encompasses the intent of the International Labor Organization (ILO) core conventions.</li> </ol>   <b>Objective 11 – Training and Education</b>  Performance Measure 11.2. <i>Program Participants</i> shall work individually and/or with <i>SFI Implementation Committees</i>, logging or <i>forestry</i> associations, or appropriate agencies or others in the <i>forestry</i> community to foster improvement in the professionalism of <i>wood producers</i>.  Indicators:  <ol style="list-style-type: none"> <li>Participation in or support of <i>SFI Implementation Committees</i> to establish criteria and identify delivery mechanisms for <i>wood producer</i> training courses and periodic continuing education that address: <ol style="list-style-type: none"> <li>logging safety;</li> <li>U.S. Occupational Safety and Health Administration (OSHA) and Canadian Centre for Occupational Health and Safety (CCOHS) regulations, wage and hour</li> </ol> </li> </ol> </p>

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	<p>rules, and other provincial, state and local employment laws;</p> <p>2. The SIC-approved wood producer training programs shall have a continuing education component with coursework that supports the current training programs, safety and the principles of sustainable forestry.</p> <p>3. Participation in or support of <i>SFI Implementation Committees</i> to establish criteria for recognition of logger certification <i>programs</i>, where they exist, that include:</p> <p>e. logging safety;</p>
<p>5.6.13 Forest management shall comply with fundamental ILO conventions.</p> <p>Note: In countries where the fundamental ILO conventions have been ratified, the requirements of 5.7.1 apply. In countries where a fundamental convention has not been ratified and its content is not covered by applicable legislation, specific requirements shall be included in the forest management standard.</p>	<p><b>A Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 9 – Legal and Regulatory Compliance</b>  Performance Measure 9.2. <i>Program Participants</i> 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 <i>Program Participant</i> operates.  Indicators:</p> <ol style="list-style-type: none"> <li>1. Written <i>policy</i> demonstrating commitment to comply with social laws, such as those covering civil rights, equal employment opportunities, anti-discrimination and anti-harassment measures, workers' compensation, <i>Indigenous Peoples'</i> rights, workers' and communities' right to know, prevailing wages, workers' right to organize, and occupational health and safety.</li> <li>2. <i>Forestry enterprises</i> will respect the rights of workers and labor representatives in a manner that encompasses the intent of the International Labor Organization (ILO) core conventions.</li> </ol> <p><b>Guidance to the SFI 2015-2019 Standards and Rules - SFI Section 6</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-6-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-6-pdf/</a></p> <p>Part 13 – ILO Core Conventions give additional guidance for the ILO Core Conventions.</p>
<p>5.6.14 Forest management shall be based inter-alia on the results of scientific research. Forest management shall contribute to research activities and data collection needed for sustainable forest management or support relevant research activities carried out by other organisations, as appropriate.</p>	<p><b>A Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 4 – Conservation of Biological Diversity</b>  Performance Measure 4.1. <i>Program Participants</i> shall conserve <i>biological diversity</i>.  Indicators:</p> <ol style="list-style-type: none"> <li>2. Development of criteria and implementation of practices, as guided by regionally based <i>best scientific information</i>, to retain <i>stand-level wildlife habitat</i> elements such as snags, stumps, mast trees, down woody debris, den trees and nest trees.</li> </ol> <p>Performance Measure 4.4. <i>Program Participants</i> shall apply knowledge gained through research, science, technology and field experience to manage <i>wildlife habitat</i> and contribute to the <i>conservation</i> of <i>biological diversity</i>.  Indicators:</p> <ol style="list-style-type: none"> <li>1. Collection of information on <i>Forests with Exceptional Conservation Value</i> and other <i>biodiversity</i>-related data through <i>forest inventory</i> processes, mapping or</li> </ol>



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	<p>participation in external <i>programs</i>, such as NatureServe, state or provincial heritage <i>programs</i>, 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.</p> <p>2. A methodology to incorporate research results and field applications of <i>biodiversity</i> and ecosystem research into forest management decisions.</p> <p><b>Objective 10 – Forest Research, Science and Technology</b></p> <p>Performance Measure 10.1. <i>Program Participants</i> shall individually and/or through cooperative efforts involving <i>SFI Implementation Committees</i>, associations or other partners provide in-kind support or funding for forest research to improve <i>forest health, productivity</i> and sustainable management of forest resources, and the environmental benefits and performance of forest products.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Financial or in-kind support of research to address questions of relevance in the region of operations. Examples could include, but are not limited to, areas of forest <i>productivity</i>, water quality, biodiversity, community issues, or similar areas which build broader understanding of the benefits and impacts of forest management.</li> <li>2. Research on genetically engineered trees via <i>forest tree biotechnology</i> shall adhere to all applicable federal, state, and provincial regulations and international protocols ratified by the United States and/or Canada depending on jurisdiction of management.</li> </ol> <p>Performance Measure 10.2. <i>Program Participants</i> shall individually and/or through cooperative efforts involving <i>SFI Implementation Committees</i>, associations or other partners develop or use state, provincial or regional analyses in support of their <i>sustainable forestry programs</i>.</p> <p>Indicator:</p> <ol style="list-style-type: none"> <li>1. Participation, individually and/or through cooperative efforts involving <i>SFI Implementation Committees</i> and/or associations at the national, state, provincial or regional level, in the development or use of some of the following: <ol style="list-style-type: none"> <li>a. regeneration assessments;</li> <li>b. <i>growth and drain</i> assessments;</li> <li>c. <i>best management practices</i> implementation and conformance;</li> <li>d. <i>biodiversity conservation</i> information for family forest owners; and</li> <li>e. social, cultural or economic benefit assessments.</li> </ol> </li> </ol> <p>Performance Measure 10.3. <i>Program Participants</i> shall individually and/or through cooperative efforts involving <i>SFI Implementation Committees</i>, associations or other partners broaden the awareness of <i>climate change</i> impacts on forests, <i>wildlife</i> and <i>biological diversity</i>.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Where available, monitor information generated from regional climate models on <i>long-term forest health, productivity</i> and <i>economic viability</i>.</li> <li>2. <i>Program Participants</i> are knowledgeable about <i>climate change</i> impacts on <i>wildlife, wildlife habitats</i> and <i>conservation of biological diversity</i> through international, national, regional or local <i>programs</i>.</li> </ol>
<p>5.7.1 Forest management shall comply with legislation applicable to forest management issues including forest management practices; nature and environmental protection; protected and endangered species; property, tenure and land-use rights for indigenous people;</p>	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 2 – Forest Health and Productivity</b></p> <p>Performance Measure 2.2. <i>Program Participants</i> shall <i>minimize</i> chemical use required to achieve management <i>objectives</i> while protecting employees, neighbors, the public and the environment, including <i>wildlife</i> and <i>aquatic habitats</i>.</p>



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health, labour and safety issues; and the payment of royalties and taxes.	Indicators: 3. Use of pesticides registered for the intended use and applied in accordance with label requirements.
Note: For a country which has signed a FLEGT Voluntary Partnership Agreement (VPA) between the European Union and the producing country, the “legislation applicable to forest management” is defined by the VPA agreement.	<b>Objective 3 – Protection and Maintenance of Water Resources</b> Performance Measure 3.1. <i>Program Participants</i> shall meet or exceed all applicable federal, provincial, state and local water quality laws, and meet or exceed <i>best management practices</i> developed under Canadian or U.S. Environmental Protection Agency–approved water quality <i>programs</i> . Indicators: 1. <i>Program</i> to implement federal, state or provincial water quality <i>best management practices</i> during all phases of management activities. 2. Contract provisions that specify conformance to <i>best management practices</i> . 3. Monitoring of overall <i>best management practices</i> implementation.  <b>Objective 8 – Recognize and Respect Indigenous Peoples’ Rights</b> Performance Measure 8.2. <i>Program Participants</i> with forest <i>management responsibilities on public lands</i> shall confer with affected <i>Indigenous Peoples</i> with respect to sustainable forest management practices.  Indicator: 1. <i>Program</i> that includes communicating with affected <i>Indigenous Peoples</i> to enable <i>Program Participants</i> to: a. understand and respect <i>traditional forest-related knowledge</i> ; b. identify and protect spiritually, historically, or <i>culturally important</i> sites; c. address the use of <i>non-timber forest products</i> of value to <i>Indigenous Peoples</i> in areas where <i>Program Participants</i> have <i>management responsibilities on public lands</i> ; and d. respond to <i>Indigenous Peoples’</i> inquiries and concerns received.  Performance Measure 8.3. <i>Program Participants</i> are encouraged to communicate with and shall respond to local <i>Indigenous Peoples</i> with respect to sustainable forest management practices on their private lands.  Indicators: 1. <i>Program Participants</i> are aware of <i>traditional forest-related knowledge</i> , 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 <i>Indigenous Peoples’</i> inquiries and concerns received.  <b>Objective 9 – Legal and Regulatory Compliance</b> Performance Measure 9.1. <i>Program Participants</i> shall comply with applicable federal, provincial, state and local <i>forestry</i> 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 <i>available regulatory action information</i> .

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	<p>Performance Measure 9.2. <i>Program Participants</i> 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 <i>Program Participant</i> operates.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Written <i>policy</i> demonstrating commitment to comply with social laws, such as those covering civil rights, equal employment opportunities, anti-discrimination and anti-harassment measures, workers' compensation, <i>Indigenous Peoples'</i> rights, workers' and communities' right to know, prevailing wages, workers' right to organize, and occupational health and safety.</li> <li>2. <i>Forestry enterprises</i> will respect the rights of workers and labor representatives in a manner that encompasses the intent of the International Labor Organization (ILO) core conventions.</li> </ol> <p><b>Objective 10 – Forest Research, Science and Technology</b></p> <p>Performance Measure 10.1. <i>Program Participants</i> shall individually and/or through cooperative efforts involving <i>SFI Implementation Committees</i>, associations or other partners provide in-kind support or funding for forest research to improve <i>forest health, productivity</i> and sustainable management of forest resources, and the environmental benefits and performance of forest products.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>2. Research on genetically engineered trees via <i>forest tree biotechnology</i> shall adhere to all applicable federal, state, and provincial regulations and international protocols ratified by the United States and/or Canada depending on jurisdiction of management.</li> </ol> <p>For a summary of Canadian legislation and regulation pertaining to forest management see National Council for Air Stream Improvement Special Report 14-03  <a href="http://www.ncasi.org/Search-Results.aspx?q=SPECIAL+REPORT+NO.+14-03">http://www.ncasi.org/Search-Results.aspx?q=SPECIAL+REPORT+NO.+14-03</a></p> <p>For a summary of American legislation and regulations pertaining to forest management see <b>Appendix 26 of the PEFC Endorsement Application - Summary of U.S. and Canadian Legislation Pertaining to Forest Management</b></p>
<p>5.7.2 Forest management shall provide for adequate protection of the forest from unauthorised activities such as illegal logging, illegal land use, illegally initiated fires, and other illegal activities.</p>	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Forest Management Standard - Section 2</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a></p> <p><b>Objective 9 – Legal and Regulatory Compliance</b></p> <p>Performance Measure 9.1. <i>Program Participants</i> shall comply with applicable federal, provincial, state and local <i>forestry</i> and related social and environmental laws and regulations.</p> <p>Indicators:</p> <ol style="list-style-type: none"> <li>1. Access to relevant laws and regulations in appropriate locations.</li> <li>2. System to achieve compliance with applicable federal, provincial, state, or local laws and regulations.</li> <li>3. Demonstration of commitment to legal compliance through <i>available regulatory action information</i>.</li> </ol>

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	<p>Performance Measure 9.2. <i>Program Participants</i> 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 <i>Program Participant</i> operates.</p> <p>Indicators:</p> <ol style="list-style-type: none"><li>1. Written <i>policy</i> demonstrating commitment to comply with social laws, such as those covering civil rights, equal employment opportunities, anti-discrimination and anti-harassment measures, workers’ compensation, <i>Indigenous Peoples’</i> rights, workers’ and communities’ right to know, prevailing wages, workers’ right to organize, and occupational health and safety.</li><li>2. <i>Forestry enterprises</i> will respect the rights of workers and labor representatives in a manner that encompasses the intent of the International Labor Organization (ILO) core conventions.</li></ol> <p><b>SFI Policies - Section 7</b> <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-7-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-7-pdf/</a></p> <p>SFI Policy on Illegal Logging<sup>54</sup></p> <p>The SFI program has strong existing measures in the SFI 2015-2019 Forest Management Standard, SFI 2015-2019 Fiber Sourcing Standard and the SFI 2015-2019 Chain-of-Custody Standard to avoid illegal sources of supply. This appendix covers the issue as to whether an organization can certify one operation to the SFI 2015-2019 Fiber Sourcing Standard (Section 3, Appendix 1) or SFI’s Chain-of-Custody Standard (Section 4) in the SFI requirements document, while another operation controlled by the company is engaged in illegal logging. This is an evolving issue and as international laws, regulations, agreements, treaties and definitions of illegal logging change, SFI Inc. will review and update the language as necessary.</p> <ol style="list-style-type: none"><li>A. SFI Inc. will not license any person or entity to use SFI’s trademarks or labels, and SFI may revoke any license previously granted, if the proposed licensee or an Affiliate of the licensee has been found to have engaged in Illegal Logging by a government authority in the jurisdiction where the logging occurred<sup>55</sup>, unless the evidence available to SFI supports a conclusion that, in the business judgment of the SFI Inc. Board, any incidents of Illegal Logging by the entity are followed by prompt corrective action and do not show a pattern of Illegal Logging.</li><li>B. SFI Inc. will not license any person or entity to use SFI’s trademarks or labels, and SFI may revoke any license previously granted, if the evidence available to SFI supports a conclusion that, in the business judgment of the SFI Inc. Board, the proposed licensee or an Affiliate of the licensee has engaged in a pattern of Illegal Logging.<sup>56</sup></li><li>C. Any person or entity whose application for an SFI license has been denied or whose license has been revoked pursuant to this section may reapply for a license upon a showing that any past Illegal Logging has been stopped, that appropriate actions have been taken to prevent it from recurring, and that the proposed</li></ol>

<sup>54</sup> As Approved by the SFI Board of Directors September 23, 2008.

<sup>55</sup> This enables SFI to take action that is based on a government finding (conviction, court decision, regulatory decision, fine etc.) of *Illegal Logging*. SFI would not make any factual determinations of *illegal logging*; they would be made by the government. No audit of overseas operations is required unless and until such a finding is made.

<sup>56</sup> This enables SFI to take action against a company that is known to engage in a pattern of *Illegal Logging*, but that has NOT been subject to government enforcement actions (perhaps because the local government is corrupt or ineffective). The SFI Board would need to make the factual determinations based on the best evidence available to it. No audit of overseas operations is required unless and until such a finding is made.

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Question	Reference to scheme documentation
	<p>licensee and its Affiliates do not knowingly engage in Illegal Logging. Such showing shall be supported by a third-party audit conducted by an SFI certification body accredited to conduct 2015-2019 SFI Standard certifications and shall include local expertise as part of the audit team.<sup>57</sup></p> <p>D. As used in this section,</p> <ul style="list-style-type: none"><li>• “Illegal Logging” means harvesting and trading of wood fiber in violation of applicable laws and regulations in the country of harvest.</li><li>• “Affiliate” means any person or entity that directly or indirectly controls, is controlled by, or is under common control with the proposed licensee.</li><li>• “Control” means owning a majority of the stock, appointing a majority of the directors, or otherwise having the practical or legal power to direct the operations of a person or entity.</li></ul> <p><b>SFI Definitions - Section 13</b> <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-13-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-13-pdf/</a></p> <p>illegal logging: Harvesting and trading of wood fiber in violation of applicable laws and regulations in the country of harvest.</p> <p>For a summary of Canadian legislation and regulation pertaining to forest management see National Council for Air Stream Improvement Special Report 14-03 <a href="http://www.ncasi.org/Search-Results.aspx?q=SPECIAL+REPORT+NO.+14-03">http://www.ncasi.org/Search-Results.aspx?q=SPECIAL+REPORT+NO.+14-03</a></p> <p>For a summary of American legislation and regulations pertaining to forest management see <b>Appendix 26 of the PEFC Endorsement Application - Summary of U.S. and Canadian Legislation Pertaining to Forest Management</b></p>

<sup>57</sup> The audit shall cover all operations in all jurisdictions where the *illegal logging* occurred.

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**PART IV: SFI's checklist for certification and accreditation procedures (PEFC Annex 6)**

**PART IV: SFI's checklist for certification and accreditation procedures (PEFC Annex 6)**

**1 Scope**

This document covers requirements for certification and accreditation procedures given in Annex 6 to the PEFC Council Technical Document (*Certification and accreditation procedures*).

Any inconsistencies between this text and the original referred to document will be overruled by the content and wording of the technical document.

**2 Checklist**

No.	Question	Reference to scheme documentation
1.	Does the scheme documentation require that certification shall be carried out by impartial, independent third parties that cannot be involved in the standard setting process as governing or decision making body, or in the forest management and are independent of the certified entity?	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Audit Procedures &amp; Auditor Qualifications and Accreditation - SFI Section 9</b> <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-9-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-9-pdf/</a></p> <p>1. Scope This <i>SFI Audit Procedures and Qualifications</i> document is intended to support, but not replace the audit process requirements contained in ISO 17021:2011, ISO 17021-2 and ISO 17065, by providing specific requirements to <i>SFI Program Participants</i> and <i>certification bodies</i>. It is applicable to all forest management, <i>fiber sourcing</i> organizations and chain-of-custody certificate holders when conducting <i>third-party certification</i>, recertification, or surveillance audits to the <i>SFI 2015-2019 Sections 2, 3 and 4 Standards</i>.</p> <p>2. Normative Reference <i>Certification bodies</i> and <i>auditors</i> conducting third-party audits to <i>SFI</i> Sections 2 and 3 in the <i>SFI 2015-2019 Standards and Rules</i> document must conform to the requirements of ISO 17021:2011 and ISO TS 17021-2, while those conducting third-party audits to <i>SFI</i> Section 3 – Appendix 1: Rules for Use of <i>SFI Certified Sourcing</i> Label and Section 4 must conform to the requirements of ISO 17065. In addition, all <i>certification bodies</i> and <i>auditors</i> conducting third-party audits to <i>SFI</i> Sections 2, 3 or 4 in the <i>SFI 2015-2019 Standards and Rules</i> document must conform to all applicable ANAB, ANSI or SCC and requirements and International Accreditation Forum (IAF) Mandatory Documents (e.g., IAF MD 1, IAF MD 5, IAF MD 11, etc.).</p> <p>4. Procedures for Implementing the <i>Principles</i> for <i>SFI</i> Auditing ISO 17021:2011 Section 4 addresses general <i>principles</i> associated with auditing, including impartiality, competence, responsibility, openness, confidentiality and responsiveness to complaints.</p> <p>All information and documents, including working drafts and reports, shall be considered confidential. <i>Certification bodies</i> shall not release any information or documents without the prior written permission of the <i>Program Participant</i>. <i>Auditors</i> shall conduct themselves in a professional and ethical manner.</p>

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No.	Question	Reference to scheme documentation
		<p><i>Certification bodies</i> and <i>audit team</i> members and their employers shall not participate in an appraisal or advise a potential purchaser or broker a purchase of property audited within the prior three years without the written permission of the audited party. <i>Certification bodies</i>, <i>audit team</i> members, and employers shall notify the audited party of participation in such activities after the three-year period immediately upon initiation of such activities for a period of at least 10 years following the audit.</p> <p>Prior to engaging in an audit and the <i>Program Participant's</i> acceptance of the <i>audit team</i>, the <i>certification bodies</i> and <i>audit team</i> members shall disclose to the party requesting the audit any prior land appraisal or assessment work or land brokerage activity or other professional services they or their employers conducted related to the property to be audited.</p> <p><i>Certification bodies</i> must successfully complete annual witness audits and periodic re-accreditation audits to maintain their accreditation status from ANAB or SCC.</p>
2.	Does the scheme documentation require that certification body for forest management certification or chain of custody certification against a scheme specific chain of custody standard shall fulfil requirements defined in ISO 17021 or ISO Guide 65?	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Audit Procedures &amp; Auditor Qualifications and Accreditation - SFI Section 9</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-9-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-9-pdf/</a></p> <p>All certification, recertification and surveillance audits to Sections 2 and 3 in the <i>SFI 2015-2019 Standards and Rules</i> document shall be conducted by <i>certification bodies</i> accredited by the ANSI-ASQ National Accreditation Board (ANAB) or the Standards Council of Canada (SCC) to conduct <i>SFI certification</i>.</p> <p>All certification, recertification and surveillance audits to Section 3 – Appendix 1: Rules for Use of <i>SFI Certified Sourcing</i> Label and Section 4 in the <i>SFI 2015-2019 Standards and Rules</i> shall be conducted by <i>certification bodies</i> accredited by the American National Standards Institute (ANSI) or the Standards Council of Canada to conduct <i>SFI certifications</i>.</p> <p>Information related to the accreditation process can be found on the websites of ANSI-ASQ National Accreditation Board (<a href="http://www.anab.org">www.anab.org</a>), the American National Standards Institute (<a href="http://www.ansi.org">www.ansi.org</a>) or the Standards Council of Canada (<a href="http://www.scc.ca">www.scc.ca</a>).</p> <p>Accredited <i>certification bodies</i> that provide certification services for <i>SFI</i> Sections 2 and 3 are required to maintain audit processes and conduct audits consistent with the requirements of:</p> <ul style="list-style-type: none"> <li>• International Organization for Standardization (ISO) 17021:2011 (Conformity assessment – Requirements for bodies providing audit and certification of management systems; and</li> <li>• ISO TS 17021-2 (Part 2: Competence requirements for auditing and certification of environmental management systems).</li> </ul>

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No.	Question	Reference to scheme documentation
		<p>Accredited <i>certification bodies</i> that provide certification services for <i>SFI</i> Section 3 – Appendix 1: Rules for Use of <i>SFI Certified Sourcing</i> Label and Section 4 are required to maintain audit processes and conduct audits consistent with the requirements of ISO 17065 (Conformity assessment – Requirements for bodies certifying products, processes and services).</p> <p>1. Scope  This <i>SFI Audit Procedures and Qualifications</i> document is intended to support, but not replace the audit process requirements contained in ISO 17021:2011, ISO 17021-2 and ISO 17065, by providing specific requirements to <i>SFI Program Participants</i> and <i>certification bodies</i>. It is applicable to all forest management, <i>fiber sourcing</i> organizations and chain-of-custody certificate holders when conducting <i>third-party certification</i>, recertification, or surveillance audits to the <i>SFI 2015-2019 Sections 2, 3 and 4 Standards</i>.</p> <p>2. Normative Reference  <i>Certification bodies</i> and <i>auditors</i> conducting third-party audits to <i>SFI</i> Sections 2 and 3 in the <i>SFI 2015-2019 Standards and Rules</i> document must conform to the requirements of ISO 17021:2011 and ISO TS 17021-2, while those conducting third-party audits to <i>SFI</i> Section 3 – Appendix 1: Rules for Use of <i>SFI Certified Sourcing</i> Label and Section 4 must conform to the requirements of ISO 17065. In addition, all <i>certification bodies</i> and <i>auditors</i> conducting third-party audits to <i>SFI</i> Sections 2, 3 or 4 in the <i>SFI 2015-2019 Standards and Rules</i> document must conform to all applicable ANAB, ANSI or SCC and requirements and International Accreditation Forum (IAF) Mandatory Documents (e.g., IAF MD 1, IAF MD 5, IAF MD 11, etc.).</p> <p>4. Procedures for Implementing the <i>Principles</i> for <i>SFI</i> Auditing  ISO 17021:2011 Section 4 addresses general <i>principles</i> associated with auditing, including impartiality, competence, responsibility, openness, confidentiality and responsiveness to complaints.</p> <p><i>Certification bodies</i> must successfully complete annual witness audits and periodic re-accreditation audits to maintain their accreditation status from ANAB or SCC.</p>
3.	Does the scheme documentation require that certification body chain of custody certification against Annex 4 shall fulfil requirements defined in ISO Guide 65?	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Audit Procedures &amp; Auditor Qualifications and Accreditation - SFI Section 9</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-9-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-9-pdf/</a></p> <p>2. Normative Reference  Certification bodies and auditors conducting third-party audits to SFI Sections 2 and 3 in the SFI 2015-2019 Standards and Rules document must conform to the requirements of ISO 17021:2011 and ISO TS 17021-2, while those conducting third-party audits to SFI Section 3 – Appendix 1: Rules for Use of SFI Certified Sourcing Label and Section 4 must conform to the requirements of ISO 17065. In addition, all</p>



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No.	Question	Reference to scheme documentation
		<p>certification bodies and auditors conducting third-party audits to SFI Sections 2, 3 or 4 in the SFI 2015-2019 Standards and Rules document must conform to all applicable ANAB, ANSI or SCC and requirements and International Accreditation Forum (IAF) Mandatory Documents (e.g., IAF MD 1, IAF MD 5, IAF MD 11, etc.).</p> <p><b>The SFI Inc. scheme and does not maintain documentation for PEFC CoC. Not applicable.</b></p>
4.	Does the scheme documentation require that certification bodies carrying out forest certification shall have the technical competence in forest management on its economic, social and environmental impacts, and on the forest certification criteria?	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Audit Procedures &amp; Auditor Qualifications and Accreditation - SFI Section 9</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-9-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-9-pdf/</a></p> <p>1. Scope  This <i>SFI Audit Procedures and Qualifications</i> document is intended to support, but not replace the audit process requirements contained in ISO 17021:2011, ISO 17021-2 and ISO 17065, by providing specific requirements to <i>SFI Program Participants</i> and <i>certification bodies</i>. It is applicable to all forest management, <i>fiber sourcing</i> organizations and chain-of-custody certificate holders when conducting <i>third-party certification</i>, recertification, or surveillance audits to the <i>SFI 2015-2019 Sections 2, 3 and 4 Standards</i>.</p> <p>6.1 Qualifications of <i>Audit Teams</i>  <i>Audit teams</i> shall have the competence (knowledge and skills) to conduct an audit in accordance with the <i>principles</i> of auditing. The <i>certification body</i> shall select <i>audit team</i> members appropriate to the scope, scale and geography of the operation being audited. Additionally, at least one member of the <i>audit team</i> shall have knowledge of <i>forestry</i> operations in the region undergoing the audit, at least one member shall have knowledge of applicable laws and regulations, at least one member shall have knowledge of the socio-demographics and cultural issues in the region, and at least one member shall be a professional forester as defined by the Society of American Foresters (SAF), the Canadian Institute of Forestry, or licensed or registered by the state(s) or province(s) in which the certification is conducted. For forest management audits, the <i>audit team</i> shall have expertise that includes plant and <i>wildlife</i> ecology, <i>silviculture</i>, forest modeling, forest operations, occupational safety and health, international labor standards, and hydrology. One specialist per discipline is not required to meet any of the above requirements.</p> <p>6.2 Qualifications of <i>Auditors</i>  ISO document 17021:2011 at Section 7.1 and Section 7.2 addresses general competence requirements for <i>certification bodies</i> providing audit and certification of management. This is supplemented by the environmental management system-specific competence requirements contained in ISO 17021-2.</p> <p>In addition to the competence requirements contained in ISO 17021:2011 and ISO 17021-2, for</p>

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No.	Question	Reference to scheme documentation
		<p>certifications to the <i>SFI 2015-2019 Standards</i>, <i>audit team</i> members shall have the education, formal training and experience that promote competency in and comprehension of:</p> <ol style="list-style-type: none"> <li><i>forestry</i> operations as they relate to natural resource management, including <i>wildlife</i>, fisheries, recreation, ecology, etc.;</li> <li>international and domestic <i>sustainable forestry</i> management systems and performance standards including occupational safety and health, and labor standards; and</li> <li>certification requirements related to the <i>SFI program</i>.</li> </ol> <p><i>Audit team</i> members who have obtained a professional <i>degree</i> in <i>forestry</i> or a closely related field shall have a minimum of two years' relevant work experience.</p> <p>6.3 Maintenance and Improvement of Competence  All <i>audit team</i> members shall pursue ongoing personal and professional development in</p> <ol style="list-style-type: none"> <li>forest management science and technology;</li> <li>sustainable forest management systems and certification <i>programs</i> and standards;</li> <li>understanding and interpretation of federal, state, and provincial <i>forestry</i> and environmental laws and codes of practice; and</li> <li>certification procedures, processes and techniques, especially as these pertain to the <i>SFI 2015-2019 Standards</i>.</li> </ol> <p>An <i>auditor</i> who maintains Certified Forester, Registrar Accreditation Board, or Canadian Environmental Certification Approvals Board sustainable forest management <i>auditor</i> (EP(EMSLA)) certification, or equivalent, shall be considered to have fulfilled continuing education requirements.</p>
5.	Does the scheme documentation require that certification bodies carrying out C-o-C certifications shall have technical competence in forest based products procurement and processing and material flows in different stages of processing and trading?	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Audit Procedures &amp; Auditor Qualifications and Accreditation - SFI Section 9</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-9-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-9-pdf/</a></p> <p>1. Scope</p> <p>This <i>SFI Audit Procedures and Qualifications</i> document is intended to support, but not replace the audit process requirements contained in ISO 17021:2011, ISO 17021-2 and ISO 17065, by providing specific requirements to <i>SFI Program Participants</i> and <i>certification bodies</i>. It is applicable to all forest management, <i>fiber sourcing</i> organizations and chain-of-custody certificate holders when conducting <i>third-party certification</i>, recertification, or surveillance audits to the <i>SFI 2015-2019 Sections 2, 3 and 4 Standards</i>.</p> <p>6.2 Qualifications of <i>Auditors</i></p> <p>ISO document 17021:2011 at Section 7.1 and Section 7.2 addresses general competence requirements for <i>certification bodies</i> providing audit and certification of management. This is</p>

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No.	Question	Reference to scheme documentation
		<p>supplemented by the environmental management system-specific competence requirements contained in ISO 17021-2.</p> <p>In addition to the competence requirements contained in ISO 17021:2011 and ISO 17021-2, for certifications to the <i>SFI 2015-2019 Standards</i>, <i>audit team</i> members shall have the education, formal training and experience that promote competency in and comprehension of:</p> <ol style="list-style-type: none"> <li><i>forestry</i> operations as they relate to natural resource management, including <i>wildlife</i>, fisheries, recreation, ecology, etc.;</li> <li>international and domestic <i>sustainable forestry</i> management systems and performance standards including occupational safety and health, and labor standards; and</li> <li>certification requirements related to the <i>SFI program</i>.</li> </ol> <p><i>Audit team</i> members who have obtained a professional <i>degree</i> in <i>forestry</i> or a closely related field shall have a minimum of two years' relevant work experience.</p> <p>6.3 Maintenance and Improvement of Competence</p> <p>All <i>audit team</i> members shall pursue ongoing personal and professional development in</p> <ol style="list-style-type: none"> <li>forest management science and technology;</li> <li>sustainable forest management systems and certification <i>programs</i> and standards;</li> <li>understanding and interpretation of federal, state, and provincial <i>forestry</i> and environmental laws and codes of practice; and</li> <li>certification procedures, processes and techniques, especially as these pertain to the <i>SFI 2015-2019 Standards</i>.</li> </ol> <p>An <i>auditor</i> who maintains Certified Forester, Registrar Accreditation Board, or Canadian Environmental Certification Approvals Board sustainable forest management <i>auditor</i> (EP(EMSLA)) certification, or equivalent, shall be considered to have fulfilled continuing education requirements.</p>
6.	Does the scheme documentation require that certification bodies shall have a good understanding of the national PEFC system against which they carry out forest management or C-o-C certifications?	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Audit Procedures &amp; Auditor Qualifications and Accreditation - SFI Section 9</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-9-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-9-pdf/</a></p> <p>6.2 Qualifications of <i>Auditors</i></p> <p>ISO document 17021:2011 at Section 7.1 and Section 7.2 addresses general competence requirements for <i>certification bodies</i> providing audit and certification of management. This is supplemented by the environmental management system-specific competence requirements</p>

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No.	Question	Reference to scheme documentation
		<p>contained in ISO 17021-2.</p> <p>In addition to the competence requirements contained in ISO 17021:2011 and ISO 17021-2, for certifications to the <i>SFI 2015-2019 Standards</i>, <i>audit team</i> members shall have the education, formal training and experience that promote competency in and comprehension of:</p> <ol style="list-style-type: none"> <li><i>forestry</i> operations as they relate to natural resource management, including <i>wildlife</i>, fisheries, recreation, ecology, etc.;</li> <li>international and domestic <i>sustainable forestry</i> management systems and performance standards including occupational safety and health, and labor standards; and</li> <li>certification requirements related to the <i>SFI program</i>.</li> </ol> <p><i>Audit team</i> members who have obtained a professional <i>degree</i> in <i>forestry</i> or a closely related field shall have a minimum of two years' relevant work experience.</p> <p>6.3 Maintenance and Improvement of Competence</p> <p>All <i>audit team</i> members shall pursue ongoing personal and professional development in</p> <ol style="list-style-type: none"> <li>forest management science and technology;</li> <li>sustainable forest management systems and certification <i>programs</i> and standards;</li> <li>understanding and interpretation of federal, state, and provincial <i>forestry</i> and environmental laws and codes of practice; and</li> <li>certification procedures, processes and techniques, especially as these pertain to the <i>SFI 2015-2019 Standards</i>.</li> </ol> <p>An <i>auditor</i> who maintains Certified Forester, Registrar Accreditation Board, or Canadian Environmental Certification Approvals Board sustainable forest management <i>auditor</i> (EP(EMSLA)) certification, or equivalent, shall be considered to have fulfilled continuing education requirements.</p>
7.	Does the scheme documentation require that certification bodies have the responsibility to use competent auditors and who have adequate technical know-how on the certification process and issues related to forest management or chain of custody certification?	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Audit Procedures &amp; Auditor Qualifications and Accreditation - SFI Section 9</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-9-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-9-pdf/</a></p> <p>1. Scope</p> <p>This <i>SFI Audit Procedures and Qualifications</i> document is intended to support, but not replace the audit process requirements contained in ISO 17021:2011, ISO 17021-2 and ISO 17065, by providing specific requirements to <i>SFI Program Participants</i> and <i>certification bodies</i>. It is applicable to all forest management, <i>fiber sourcing</i> organizations and chain-of-custody certificate holders when conducting</p>

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No.	Question	Reference to scheme documentation
		<p><i>third-party certification</i>, recertification, or surveillance audits to the <i>SFI 2015-2019 Sections 2, 3 and 4 Standards</i>.</p> <p>6.2 Qualifications of <i>Auditors</i></p> <p>ISO document 17021:2011 at Section 7.1 and Section 7.2 addresses general competence requirements for <i>certification bodies</i> providing audit and certification of management. This is supplemented by the environmental management system-specific competence requirements contained in ISO 17021-2.</p> <p>In addition to the competence requirements contained in ISO 17021:2011 and ISO 17021-2, for certifications to the <i>SFI 2015-2019 Standards</i>, <i>audit team</i> members shall have the education, formal training and experience that promote competency in and comprehension of:</p> <ol style="list-style-type: none"> <li><i>forestry</i> operations as they relate to natural resource management, including <i>wildlife</i>, fisheries, recreation, ecology, etc.;</li> <li>international and domestic <i>sustainable forestry</i> management systems and performance standards including occupational safety and health, and labor standards; and</li> <li>certification requirements related to the <i>SFI program</i>.</li> </ol> <p><i>Audit team</i> members who have obtained a professional <i>degree</i> in <i>forestry</i> or a closely related field shall have a minimum of two years' relevant work experience.</p> <p>6.3 Maintenance and Improvement of Competence</p> <p>All <i>audit team</i> members shall pursue ongoing personal and professional development in</p> <ol style="list-style-type: none"> <li>forest management science and technology;</li> <li>sustainable forest management systems and certification <i>programs</i> and standards;</li> <li>understanding and interpretation of federal, state, and provincial <i>forestry</i> and environmental laws and codes of practice; and</li> <li>certification procedures, processes and techniques, especially as these pertain to the <i>SFI 2015-2019 Standards</i>.</li> </ol> <p>An <i>auditor</i> who maintains Certified Forester, Registrar Accreditation Board, or Canadian Environmental Certification Approvals Board sustainable forest management <i>auditor</i> (EP(EMSLA)) certification, or equivalent, shall be considered to have fulfilled continuing education requirements.</p>
8.	Does the scheme documentation require that the auditors must fulfil the general criteria of ISO 19011 for Quality Management Systems auditors or for Environmental Management Systems auditors?	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Audit Procedures &amp; Auditor Qualifications and Accreditation - SFI Section 9</b></p>

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No.	Question	Reference to scheme documentation
		<a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-9-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-9-pdf/</a>  SFI 2015-2019 Forest Management Standard cites as a normative reference ISO 17021 -2: 2012 which specifies additional competence requirements for personnel involved in the audit and certification process for Environmental Management Systems (EMS) and complements the existing requirements of ISO/IEC 17021.
9.	Does the scheme documentation include additional qualification requirements for auditors carrying out forest management or chain of custody audits?	<b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b>  <b>SFI 2015-2019 Audit Procedures &amp; Auditor Qualifications and Accreditation - SFI Section 9</b> <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-9-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-9-pdf/</a>  2. Normative Reference <i>Certification bodies</i> and <i>auditors</i> conducting third-party audits to <i>SFI</i> Sections 2 and 3 in the <i>SFI 2015-2019 Standards and Rules</i> document must conform to the requirements of ISO 17021:2011 and ISO TS 17021-2, while those conducting third-party audits to <i>SFI</i> Section 3 – Appendix 1: Rules for Use of <i>SFI Certified Sourcing</i> Label and Section 4 must conform to the requirements of ISO 17065. In addition, all <i>certification bodies</i> and <i>auditors</i> conducting third-party audits to <i>SFI</i> Sections 2, 3 or 4 in the <i>SFI 2015-2019 Standards and Rules</i> document must conform to all applicable ANAB, ANSI or SCC and requirements and International Accreditation Forum (IAF) Mandatory Documents (e.g., IAF MD 1, IAF MD 5, IAF MD 11, etc.).  SFI 2015-2019 Forest Management Standard cites as a normative reference ISO 17021 -2: 2012 which specifies additional competence requirements for personnel involved in the audit and certification process for Environmental Management Systems (EMS) and complements the existing requirements of ISO/IEC 17021. 6.2 Qualifications of <i>Auditors</i>  ISO document 17021:2011 at Section 7.1 and Section 7.2 addresses general competence requirements for <i>certification bodies</i> providing audit and certification of management. This is supplemented by the environmental management system-specific competence requirements contained in ISO 17021-2.  In addition to the competence requirements contained in ISO 17021:2011 and ISO 17021-2, for certifications to the <i>SFI 2015-2019 Standards</i> , <i>audit team</i> members shall have the education, formal training and experience that promote competency in and comprehension of: a. <i>forestry</i> operations as they relate to natural resource management, including <i>wildlife</i> , fisheries, recreation, ecology, etc.; b. international and domestic <i>sustainable forestry</i> management systems and performance standards including occupational safety and health, and labor standards; and

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No.	Question	Reference to scheme documentation
		<p>c. certification requirements related to the <i>SFI program</i>.</p> <p><i>Audit team</i> members who have obtained a professional <i>degree</i> in <i>forestry</i> or a closely related field shall have a minimum of two years' relevant work experience.</p> <p>6.3 Maintenance and Improvement of Competence</p> <p>All <i>audit team</i> members shall pursue ongoing personal and professional development in</p> <ol style="list-style-type: none"> <li>forest management science and technology;</li> <li>sustainable forest management systems and certification <i>programs</i> and standards;</li> <li>understanding and interpretation of federal, state, and provincial <i>forestry</i> and environmental laws and codes of practice; and</li> <li>certification procedures, processes and techniques, especially as these pertain to the <i>SFI 2015-2019 Standards</i>.</li> </ol> <p>An <i>auditor</i> who maintains Certified Forester, Registrar Accreditation Board, or Canadian Environmental Certification Approvals Board sustainable forest management <i>auditor</i> (EP(EMSLA)) certification, or equivalent, shall be considered to have fulfilled continuing education requirements.</p>
10.	Does the scheme documentation require that certification bodies shall have established internal procedures for forest management and/or chain of custody certification?	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Audit Procedures &amp; Auditor Qualifications and Accreditation - SFI Section 9</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-9-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-9-pdf/</a></p> <p>This requirement is addressed via CB conformance to ISO 17021 or ISO 17065 which are normative requirements of the SFI 2015-2019 Forest Management and the SFI 2015-2019 Chain of Custody Standard.</p> <p>All certification, recertification and surveillance audits to Sections 2 and 3 in the <i>SFI 2015-2019 Standards and Rules</i> document shall be conducted by <i>certification bodies</i> accredited by the ANSI-ASQ National Accreditation Board (ANAB) or the Standards Council of Canada (SCC) to conduct <i>SFI certification</i>.</p> <p>All certification, recertification and surveillance audits to Section 3 – Appendix 1: Rules for Use of <i>SFI Certified Sourcing</i> Label and Section 4 in the <i>SFI 2015-2019 Standards and Rules</i> shall be conducted by <i>certification bodies</i> accredited by the American National Standards Institute (ANSI) or the Standards Council of Canada to conduct <i>SFI certifications</i>.</p> <p>Information related to the accreditation process can be found on the websites of ANSI-ASQ National Accreditation Board (<a href="http://www.anab.org">www.anab.org</a>), the American National Standards Institute (<a href="http://www.ansi.org">www.ansi.org</a>) or the Standards Council of Canada (<a href="http://www.scc.ca">www.scc.ca</a>).</p>



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No.	Question	Reference to scheme documentation
		<p>Accredited <i>certification bodies</i> that provide certification services for <i>SFI</i> Sections 2 and 3 are required to maintain audit processes and conduct audits consistent with the requirements of:</p> <ul style="list-style-type: none"> <li>• International Organization for Standardization (ISO) 17021:2011 (Conformity assessment – Requirements for bodies providing audit and certification of management systems; and</li> <li>• ISO TS 17021-2 (Part 2: Competence requirements for auditing and certification of environmental management systems).</li> </ul> <p>Accredited <i>certification bodies</i> that provide certification services for <i>SFI</i> Section 3 – Appendix 1: Rules for Use of <i>SFI Certified Sourcing</i> Label and Section 4 are required to maintain audit processes and conduct audits consistent with the requirements of ISO 17065 (Conformity assessment – Requirements for bodies certifying products, processes and services).</p> <p>1. Scope</p> <p>This <i>SFI Audit Procedures and Qualifications</i> document is intended to support, but not replace the audit process requirements contained in ISO 17021:2011, ISO 17021-2 and ISO 17065, by providing specific requirements to <i>SFI Program Participants</i> and <i>certification bodies</i>. It is applicable to all forest management, <i>fiber sourcing</i> organizations and chain-of-custody certificate holders when conducting <i>third-party certification</i>, recertification, or surveillance audits to the <i>SFI 2015-2019 Sections 2, 3 and 4 Standards</i>.</p> <p>2. Normative Reference</p> <p><i>Certification bodies</i> and <i>auditors</i> conducting third-party audits to <i>SFI</i> Sections 2 and 3 in the <i>SFI 2015-2019 Standards and Rules</i> document must conform to the requirements of ISO 17021:2011 and ISO TS 17021-2, while those conducting third-party audits to <i>SFI</i> Section 3 – Appendix 1: Rules for Use of <i>SFI Certified Sourcing</i> Label and Section 4 must conform to the requirements of ISO 17065. In addition, all <i>certification bodies</i> and <i>auditors</i> conducting third-party audits to <i>SFI</i> Sections 2, 3 or 4 in the <i>SFI 2015-2019 Standards and Rules</i> document must conform to all applicable ANAB, ANSI or SCC and requirements and International Accreditation Forum (IAF) Mandatory Documents (e.g., IAF MD 1, IAF MD 5, IAF MD 11, etc.).</p>
11.	Does the scheme documentation require that applied certification procedures for forest management certification or chain of custody certification against a scheme specific chain of custody standard shall fulfil or be compatible with the requirements defined in ISO 17021 or ISO Guide 65?	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Audit Procedures &amp; Auditor Qualifications and Accreditation - SFI Section 9</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-9-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-9-pdf/</a></p> <p>This requirement is addressed via CB conformance to ISO 17021 or ISO 17065 which are normative requirements of the SFI 2015-2019 Forest Management and the SFI 2015-2019 Chain of Custody Standard.</p>

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No.	Question	Reference to scheme documentation
		<p>All certification, recertification and surveillance audits to Sections 2 and 3 in the <i>SFI 2015-2019 Standards and Rules</i> document shall be conducted by <i>certification bodies</i> accredited by the ANSI-ASQ National Accreditation Board (ANAB) or the Standards Council of Canada (SCC) to conduct <i>SFI certification</i>.</p> <p>All certification, recertification and surveillance audits to Section 3 – Appendix 1: Rules for Use of <i>SFI Certified Sourcing</i> Label and Section 4 in the <i>SFI 2015-2019 Standards and Rules</i> shall be conducted by <i>certification bodies</i> accredited by the American National Standards Institute (ANSI) or the Standards Council of Canada to conduct <i>SFI certifications</i>.</p> <p>Information related to the accreditation process can be found on the websites of ANSI-ASQ National Accreditation Board (<a href="http://www.anab.org">www.anab.org</a>), the American National Standards Institute (<a href="http://www.ansi.org">www.ansi.org</a>) or the Standards Council of Canada (<a href="http://www.scc.ca">www.scc.ca</a>).</p> <p>Accredited <i>certification bodies</i> that provide certification services for <i>SFI</i> Sections 2 and 3 are required to maintain audit processes and conduct audits consistent with the requirements of:</p> <ul style="list-style-type: none"> <li>• International Organization for Standardization (ISO) 17021:2011 (Conformity assessment – Requirements for bodies providing audit and certification of management systems; and</li> <li>• ISO TS 17021-2 (Part 2: Competence requirements for auditing and certification of environmental management systems).</li> </ul> <p>Accredited <i>certification bodies</i> that provide certification services for <i>SFI</i> Section 3 – Appendix 1: Rules for Use of <i>SFI Certified Sourcing</i> Label and Section 4 are required to maintain audit processes and conduct audits consistent with the requirements of ISO 17065 (Conformity assessment – Requirements for bodies certifying products, processes and services).</p> <p>1. Scope</p> <p>This <i>SFI Audit Procedures and Qualifications</i> document is intended to support, but not replace the audit process requirements contained in ISO 17021:2011, ISO 17021-2 and ISO 17065, by providing specific requirements to <i>SFI Program Participants</i> and <i>certification bodies</i>. It is applicable to all forest management, <i>fiber sourcing</i> organizations and chain-of-custody certificate holders when conducting <i>third-party certification</i>, recertification, or surveillance audits to the <i>SFI 2015-2019 Sections 2, 3 and 4 Standards</i>.</p> <p>2. Normative Reference</p> <p><i>Certification bodies</i> and <i>auditors</i> conducting third-party audits to <i>SFI</i> Sections 2 and 3 in the <i>SFI 2015-2019 Standards and Rules</i> document must conform to the requirements of ISO 17021:2011 and ISO TS 17021-2, while those conducting third-party audits to <i>SFI</i> Section 3 – Appendix 1: Rules for Use of <i>SFI Certified Sourcing</i> Label and Section 4 must conform to the requirements of ISO 17065. In addition, all</p>

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No.	Question	Reference to scheme documentation
		<i>certification bodies</i> and <i>auditors</i> conducting third-party audits to <i>SFI</i> Sections 2, 3 or 4 in the <i>SFI 2015-2019 Standards and Rules</i> document must conform to all applicable ANAB, ANSI or SCC and requirements and International Accreditation Forum (IAF) Mandatory Documents (e.g., IAF MD 1, IAF MD 5, IAF MD 11, etc.).
12.	Does the scheme documentation require that applied certification procedures for chain of custody certification against Annex 4 shall fulfil or be compatible with the requirements defined in ISO Guide 65?	<b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b>  <b>SFI 2015-2019 Audit Procedures &amp; Auditor Qualifications and Accreditation - SFI Section 9</b> <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-9-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-9-pdf/</a>  <b>Not applicable as SFI Inc. is not seeking endorsement of the SFI 2015-2019 Chain of Custody Standard</b>
13.	Does the scheme documentation require that applied auditing procedures shall fulfil or be compatible with the requirements of ISO 19011?	<b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b>  <b>SFI 2015-2019 Audit Procedures &amp; Auditor Qualifications and Accreditation - SFI Section 9</b> <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-9-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-9-pdf/</a>  SFI 2015-2019 Forest Management Standard cites as a normative reference ISO 17021 -2: 2012 which specifies additional competence requirements for personnel involved in the audit and certification process for Environmental Management Systems (EMS) and complements the existing requirements of ISO/IEC 17021.
14.	Does the scheme documentation require that certification body shall inform the relevant PEFC National Governing Body about all issued forest management and chain of custody certificates and changes concerning the validity and scope of these certificates?	<b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b>  <b>SFI 2015-2019 Audit Procedures &amp; Auditor Qualifications and Accreditation - SFI Section 9</b> <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-9-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-9-pdf/</a>  This requirement is addressed via CB conformance to ISO 17021 or ISO 17065 which are normative requirements of the SFI 2015-2019 Forest Management and the SFI 2015-2019 Chain of Custody Standard.  1.        Scope This <i>SFI Audit Procedures and Qualifications</i> document is intended to support, but not replace the audit process requirements contained in ISO 17021:2011, ISO 17021-2 and ISO 17065, by providing specific requirements to <i>SFI Program Participants</i> and <i>certification bodies</i> . It is applicable to all forest management, <i>fiber sourcing</i> organizations and chain-of-custody certificate holders when conducting <i>third-party certification</i> , recertification, or surveillance audits to the <i>SFI 2015-2019 Sections 2, 3 and 4 Standards</i> .  2.        Normative Reference

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No.	Question	Reference to scheme documentation
		<p><i>Certification bodies</i> and <i>auditors</i> conducting third-party audits to <i>SFI</i> Sections 2 and 3 in the <i>SFI 2015-2019 Standards and Rules</i> document must conform to the requirements of ISO 17021:2011 and ISO TS 17021-2, while those conducting third-party audits to <i>SFI</i> Section 3 – Appendix 1: Rules for Use of <i>SFI Certified Sourcing</i> Label and Section 4 must conform to the requirements of ISO 17065. In addition, all <i>certification bodies</i> and <i>auditors</i> conducting third-party audits to <i>SFI</i> Sections 2, 3 or 4 in the <i>SFI 2015-2019 Standards and Rules</i> document must conform to all applicable ANAB, ANSI or SCC and requirements and International Accreditation Forum (IAF) Mandatory Documents (e.g., IAF MD 1, IAF MD 5, IAF MD 11, etc.).</p> <p><b>Communications and Public Reporting - Section 10</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-10-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-10-pdf/</a></p> <p><b>Preparing and Submitting a Public Report – <i>SFI 2015-2019 Forest Management Standard</i></b></p> <p>A <i>Program Participant</i> shall provide a summary audit report (one copy must be in English) to <i>SFI Inc.</i> after the successful completion of certification, recertification, or surveillance audit to the <i>SFI 2015-2019 Forest Management Standard</i>. The summary audit report will be posted on the <i>SFI Inc.</i> website (<a href="http://www.sfiprogram.org">www.sfiprogram.org</a>) for public review.</p> <p>3. The <i>certification body</i> shall prepare the <i>SFI 2015-2019 Forest Management Standard</i> summary audit report, which shall include, at a minimum:</p> <p style="padding-left: 40px;">a. a description of the audit process, <i>objectives</i> and scope;</p> <p>This shall include:</p> <ul style="list-style-type: none"> <li>• the specific SFI objectives that were within the scope of the audit</li> <li>• a description of the sampling approach (consistent with IAF MD-1 and, where appropriate, adopting a risk based approach) outlining the strata, location and number of sites sampled and the percentage of sites sampled within each stratum;</li> <li>• the sampling size, including the number of roads, harvesting blocks and silviculture sites physically inspected during the audit.</li> </ul> <p style="padding-left: 40px;">b. a description of substitute <i>indicators</i>, if any, used in the audit and a rationale for each;</p> <p style="padding-left: 40px;">c. the name of <i>Program Participant</i> that was audited, including its <i>SFI</i> representative;</p> <p style="padding-left: 40px;">d. a general description of the <i>Program Participant's</i> forest land included in the audits;</p> <p>This shall include:</p> <ul style="list-style-type: none"> <li>• a <u>general</u> description of the management plan outlining forest management policies and objectives;</li> <li>• an <u>outline</u> of the area of ownership (including the number of acres/hectares under management and provide a description of key ecological features);</li> </ul>

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No.	Question	Reference to scheme documentation
		<ul style="list-style-type: none"> <li>• a <u>general</u> description of major timber types with a general characterization of management approaches used (natural regeneration vs. planting, thinning regimes, even-aged vs. uneven-aged silvicultural).</li> <li>• The long-term harvest level and the participant's conformance to this.</li> </ul> <p>a description of the audit team. This shall include the names and professional qualifications of the lead auditor, all <i>audit team</i> members and any <i>technical experts</i> who participated in the audit. This may include the names and affiliations of any audit observers and an explanation of their role;</p> <p>f. the dates the audit was conducted and completed. This shall include the number of auditor days spent to conduct the audit, broken down by auditor time spent off and on-site. This shall include the specific woods operations visited if there is more than one operation/region associated with the certificate, and</p> <p>g. a summary of the findings, including general descriptions of <u>evidence of conformity and any nonconformities</u> (reported at the Performance Measure level) and corrective action plans to address them, opportunities for improvement, and exceptional practices.</p> <p>This shall include:</p> <ul style="list-style-type: none"> <li>• a description of the evidence examined for each SFI objective within the scope of the audit.</li> <li>• an update on the status of previous non-conformities, if any.</li> </ul> <p>h. the certification decision.</p> <p>SFI FM certificates (including scope and expiration date) can be found on the SFI website at:  <a href="http://www.sfiprogram.org/audit-reports/">http://www.sfiprogram.org/audit-reports/</a></p>
15.	Does the scheme documentation require that certification body shall carry out controls of PEFC logo usage if the certified entity is a PEFC logo user?	<p>PEFC US has logo use contracts with each notified CB conducting PEFC CoC audits for US based PEFC CoC certificate holder. PEFC US collects the respective notification fees semi-annually from the CBs. PEFC US also has PEFC logo use contracts with each PEFC CoC certificate holder outlining the certificate holders responsibilities regarding PEFC logo use.</p> <p><b>Appendix 24 - PEFC Endorsement Application - PEFC Chain of Custody Fee Summary One Pager</b></p> <p><b>Appendix 25 - PEFC Endorsement Application - PEFC U.S. Logo Use Contract Sample</b></p>
16.	Does a maximum period for surveillance audits defined by the scheme documentation not exceed more than one year?	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Audit Procedures &amp; Auditor Qualifications and Accreditation - SFI Section 9</b></p>

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No.	Question	Reference to scheme documentation
		<a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-9-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-9-pdf/</a>  5.2     Audit Scope  5.2.1   At a minimum the audit sampling process shall address all elements of the standards on an: <ul style="list-style-type: none"> <li>•     Annual basis for surveillance audits of conformance with <i>SFI</i> Sections 2, 3 and 4 of the <i>SFI 2015-2019 Standards and Rules</i> document.</li> <li>•     Triennial basis for re-certification audits of conformance with the <i>SFI 2015-2019 Section 2 and Section 3 Standards</i>.</li> <li>•     Quinquennial basis for re-certification audits of conformance with the <i>SFI 2015-2019 Chain-of-Custody Standard</i>.</li> </ul>
17	Does a maximum period for assessment audit not exceed five years for both forest management and chain of custody certifications?	<b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b>  <b>SFI 2015-2019 Audit Procedures &amp; Auditor Qualifications and Accreditation - SFI Section 9</b> <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-9-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-9-pdf/</a>  5.2     Audit Scope  5.2.1   At a minimum the audit sampling process shall address all elements of the standards on an: <ul style="list-style-type: none"> <li>•     Annual basis for surveillance audits of conformance with <i>SFI</i> Sections 2, 3 and 4 of the <i>SFI 2015-2019 Standards and Rules</i> document.</li> <li>•     Triennial basis for re-certification audits of conformance with the <i>SFI 2015-2019 Section 2 and Section 3 Standards</i>.</li> <li>•     Quinquennial basis for re-certification audits of conformance with the <i>SFI 2015-2019 Chain-of-Custody Standard</i>.</li> </ul>
18	Does the scheme documentation include requirements for public availability of certification report summaries?	<b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b>  <b>SFI 2015-2019 Audit Procedures &amp; Auditor Qualifications and Accreditation - SFI Section 9</b> <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-9-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-9-pdf/</a>  <b>5.5     <i>SFI</i> Technical Audit Report to the <i>Program Participant</i></b>  The ISO document 17021:2011 at Section 9.1.10 addresses audit report contents. In addition, the <i>SFI</i> audit report to the <i>Program Participant</i> shall cover: <ul style="list-style-type: none"> <li>a.     the audit plan;</li> <li>b.     a description of the audit process used;</li> <li>c.     the number of <i>auditor</i> days used to conduct the audit, including both on-site and off-site audit activities;</li> </ul>

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		<p>d. information regarding any meetings or correspondence between the <i>audit team</i> and government agencies, community groups, affected <i>Indigenous Peoples</i> and <i>conservation</i> organizations;</p> <p>e. documentation of the rationale for the substitution or modification of any <i>indicators</i>;</p> <p>f. a schedule for surveillance and recertification;</p> <p>g. any specific focus areas for the next audit visit.</p> <p>See Section 10 in the <i>SFI 2015-2019 Standards and Rules</i> document regarding the development and release of public summary audit reports.</p> <p><b>Communications and Public Reporting - Section 10</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-10-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-10-pdf/</a></p> <p><b>Preparing and Submitting a Public Report</b></p> <p>A <i>Program Participant</i> shall provide a summary audit report (one copy must be in English) to <i>SFI Inc.</i> after the successful completion of certification, recertification, or surveillance audit to the <i>SFI 2015-2019 Forest Management or SFI 2015-2019 Fiber Sourcing Standard</i> (Objective 1-13). The summary audit report will be posted on the <i>SFI Inc.</i> website (<a href="http://www.sfiprogram.org">www.sfiprogram.org</a>) for public review.</p> <p>4. The <i>certification body</i> shall prepare the <i>SFI 2015-2019 Forest Management Standard</i> summary audit report, which shall include, at a minimum:</p> <p>a. a description of the audit process, <i>objectives</i> and scope;  This shall include:</p> <ul style="list-style-type: none"> <li>the specific SFI objectives that were within the scope of the audit</li> <li>strata, location and number of sites sampled and the percentage of sites sampled within each stratum;</li> <li>the sampling approach, including the number of roads, harvesting blocks and silviculture sites physically inspected during the audit.</li> </ul> <p>b. a description of substitute <i>indicators</i>, if any, used in the audit and a rationale for each;</p> <p>c. the name of <i>Program Participant</i> that was audited, including its <i>SFI</i> representative;</p> <p>d. a general description of the <i>Program Participant's</i> forest land and manufacturing operations included in the audits;  This shall include:</p> <ul style="list-style-type: none"> <li>a <u>general</u> description of the management plan outlining forest management policies and objectives;</li> <li>an <u>outline</u> of the area of ownership (including the number of acres/hectares under management and key ecological features);</li> <li>a <u>general</u> description of major timber types with a general characterization of</li> </ul>



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No.	Question	Reference to scheme documentation
		<p>management approaches used (natural regeneration vs. planting, thinning regimes, even-aged vs. uneven-aged silvicultural).</p> <ul style="list-style-type: none"> <li>• The long-term harvest level and the participant's conformance to this.</li> </ul> <p>e. a description of the audit team. This shall include the names and professional qualifications of the lead auditor, all <i>audit team</i> members and any <i>technical experts</i> who participated in the audit. This may include the names and affiliations of any audit observers and an explanation of their role;</p> <p>f. the dates the audit was conducted and completed. This shall include the number of auditor days spent to conduct the audit, broken down by auditor time spent off and on-site. This shall include the specific woods operations visited if there is more than one operation/region associated with the certificate, and</p> <p>g. a summary of the findings, including general descriptions of <u>evidence of conformity and any nonconformities</u> (reported at the level of the Performance Measure) and corrective action plans to address them, opportunities for improvement, and exceptional practices. This shall include:</p> <ul style="list-style-type: none"> <li>• a description of the evidence examined for each SFI objective within the scope of the audit.</li> <li>• an update on the status of previous non-conformities, if any.</li> </ul> <p>h. the certification decision.</p>
19	Does the scheme documentation include requirements for usage of information from external parties as the audit evidence?	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Audit Procedures &amp; Auditor Qualifications and Accreditation - SFI Section 9</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-9-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-9-pdf/</a></p> <p>This requirement is addressed via CB conformance to ISO 17021 or ISO 17065 which are normative requirements of the SFI 2015-2019 Forest Management and the SFI 2015-2019 Chain of Custody Standard.</p> <p>1. Scope</p> <p>This <i>SFI Audit Procedures and Qualifications</i> document is intended to support, but not replace the audit process requirements contained in ISO 17021:2011, ISO 17021-2 and ISO 17065, by providing specific requirements to <i>SFI Program Participants</i> and <i>certification bodies</i>. It is applicable to all forest management, <i>fiber sourcing</i> organizations and chain-of-custody certificate holders when conducting <i>third-party certification</i>, recertification, or surveillance audits to the <i>SFI 2015-2019 Sections 2, 3 and 4 Standards</i>.</p> <p>2. Normative Reference</p> <p><i>Certification bodies</i> and <i>auditors</i> conducting third-party audits to <i>SFI</i> Sections 2 and 3 in the <i>SFI 2015-2019 Standards and Rules</i> document must conform to the requirements of ISO 17021:2011 and ISO TS 17021-2, while those conducting third-party audits to <i>SFI</i> Section 3 – Appendix 1: Rules for Use of <i>SFI</i></p>

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No.	Question	Reference to scheme documentation
		<p><i>Certified Sourcing</i> Label and Section 4 must conform to the requirements of ISO 17065. In addition, all <i>certification bodies</i> and <i>auditors</i> conducting third-party audits to <i>SFI</i> Sections 2, 3 or 4 in the <i>SFI 2015-2019 Standards and Rules</i> document must conform to all applicable ANAB, ANSI or SCC and requirements and International Accreditation Forum (IAF) Mandatory Documents (e.g., IAF MD 1, IAF MD 5, IAF MD 11, etc.).</p> <p>5.4 Determination of Conformance</p> <p>5.4.1 The <i>certification body</i> shall assess conformance to each element of the <i>SFI</i> 2015-2019 Sections 2 and 3 Standards', <i>objectives, performance measures</i> and <i>indicators</i> within the scope of the audit. <i>SFI 2015-2019 Standards</i>' elements are <i>objectives, performance measures</i> and <i>indicators</i>. The introduction (Section 1) to the <i>SFI 2015-2019 Standards and Rules</i> document is informative, and as such, is not an auditable element.</p> <p>Evidence shall be compiled by examining operating procedures, materials relating to <i>forestry</i> practices and on-the-ground field performance, and through meetings or correspondence with employees, contractors and other third parties (e.g., government agencies, community groups, affected <i>Indigenous Peoples, conservation</i> organizations), as appropriate, to determine conformance to the <i>SFI 2015-2019 Forest Management Standard</i> and the <i>SFI 2015-2019 Fiber Sourcing Standard</i>.</p>
20.	Does the scheme documentation include additional requirements for certification procedures?	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Audit Procedures &amp; Auditor Qualifications and Accreditation - SFI Section 9</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-9-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-9-pdf/</a></p> <p>Scheme requirements additional to those in ISO 17021 or ISO 17065 are outlined in SFI Section 9, Parts 4, 5, 6 and 7.</p>
21.	Does the scheme documentation require that certification bodies carrying out forest management and/or chain of custody certification shall be accredited by a national accreditation body?	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Audit Procedures &amp; Auditor Qualifications and Accreditation - SFI Section 9</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-9-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-9-pdf/</a></p> <p>All certification, recertification and surveillance audits to Sections 2 and 3 in the <i>SFI 2015-2019 Standards and Rules</i> document shall be conducted by <i>certification bodies</i> accredited by the ANSI-ASQ National Accreditation Board (ANAB) or the Standards Council of Canada (SCC) to conduct <i>SFI certification</i>.</p> <p>All certification, recertification and surveillance audits to Section 3 – Appendix 1: Rules for Use of <i>SFI Certified Sourcing</i> Label and Section 4 in the <i>SFI 2015-2019 Standards and Rules</i> shall be conducted by <i>certification bodies</i> accredited by the American National Standards Institute (ANSI) or the Standards Council of Canada to conduct <i>SFI certifications</i>.</p>

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No.	Question	Reference to scheme documentation
		<p>Information related to the accreditation process can be found on the websites of ANSI-ASQ National Accreditation Board (<a href="http://www.anab.org">www.anab.org</a>), the American National Standards Institute (<a href="http://www.ansi.org">www.ansi.org</a>) or the Standards Council of Canada (<a href="http://www.scc.ca">www.scc.ca</a>).</p> <p>Accredited <i>certification bodies</i> that provide certification services for <i>SFI</i> Sections 2 and 3 are required to maintain audit processes and conduct audits consistent with the requirements of:</p> <ul style="list-style-type: none"> <li>• International Organization for Standardization (ISO) 17021:2011 (Conformity assessment – Requirements for bodies providing audit and certification of management systems; and</li> <li>• ISO TS 17021-2 (Part 2: Competence requirements for auditing and certification of environmental management systems).</li> </ul> <p>Accredited <i>certification bodies</i> that provide certification services for <i>SFI</i> Section 3 – Appendix 1: Rules for Use of <i>SFI Certified Sourcing</i> Label and Section 4 are required to maintain audit processes and conduct audits consistent with the requirements of ISO 17065 (Conformity assessment – Requirements for bodies certifying products, processes and services).</p>
22.	Does the scheme documentation require that an accredited certificate shall bear an accreditation symbol of the relevant accreditation body?	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>ISO 17021-2011</b> is a normative document for the SFI 2015-2019 Forest Management Standard as outlined in Section 2 – SFI 2015-2019 Forest Management Standard  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-2-pdf/</a> and SFI Section 9 – SFI 2015-2019 Audit Procedures and Auditor Qualifications and Accreditation  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-9-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-9-pdf/</a></p> <p>ISO 17021 -2011 at Section 8.2 Certification Documents requires that accredited certificates bear an accreditation symbol:</p> <p>8.2.3 The certification document(s) shall identify the following:  g) the name, address and certification mark of the certification body; other marks (e.g. accreditation symbol) may be used provided they are not misleading or ambiguous;</p>
23.	Does the scheme documentation require that the accreditation shall be issued by an accreditation body which is a part of the International Accreditation Forum (IAF) umbrella or a member of IAF's special recognition regional groups and which implement procedures described in ISO 17011 and other documents recognised by the above mentioned organisations?	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Audit Procedures &amp; Auditor Qualifications and Accreditation - SFI Section 9</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-9-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-9-pdf/</a></p> <p>All certification, recertification and surveillance audits to Sections 2 and 3 in the <i>SFI 2015-2019 Standards and Rules</i> document shall be conducted by <i>certification bodies</i> accredited by the ANSI-ASQ National Accreditation Board (ANAB) or the Standards Council of Canada (SCC) to conduct <i>SFI certification</i>.</p>

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No.	Question	Reference to scheme documentation
		<p>All certification, recertification and surveillance audits to Section 3 – Appendix 1: Rules for Use of <i>SFI Certified Sourcing</i> Label and Section 4 in the <i>SFI 2015-2019 Standards and Rules</i> shall be conducted by <i>certification bodies</i> accredited by the American National Standards Institute (ANSI) or the Standards Council of Canada to conduct <i>SFI certifications</i>.</p> <p>Information related to the accreditation process can be found on the websites of ANSI-ASQ National Accreditation Board (<a href="http://www.anab.org">www.anab.org</a>), the American National Standards Institute (<a href="http://www.ansi.org">www.ansi.org</a>) or the Standards Council of Canada (<a href="http://www.scc.ca">www.scc.ca</a>).</p> <p>Accredited <i>certification bodies</i> that provide certification services for <i>SFI</i> Sections 2 and 3 are required to maintain audit processes and conduct audits consistent with the requirements of:</p> <ul style="list-style-type: none"> <li>• International Organization for Standardization (ISO) 17021:2011 (Conformity assessment – Requirements for bodies providing audit and certification of management systems; and</li> <li>• ISO TS 17021-2 (Part 2: Competence requirements for auditing and certification of environmental management systems).</li> </ul> <p>Accredited <i>certification bodies</i> that provide certification services for <i>SFI</i> Section 3 – Appendix 1: Rules for Use of <i>SFI Certified Sourcing</i> Label and Section 4 are required to maintain audit processes and conduct audits consistent with the requirements of ISO 17065 (Conformity assessment – Requirements for bodies certifying products, processes and services).</p> <p>7. Accreditation of <i>Certification Bodies</i></p> <p>The <i>SFI program</i> requires <i>certification bodies</i> to be accredited in order to conduct <i>SFI certifications</i> and issue certificates.</p> <p><i>Certification body</i>: an independent <i>third party</i> that is accredited by:</p> <ul style="list-style-type: none"> <li>• ANSI-ASQ National Accreditation Board (ANAB) as being competent to conduct certifications to the <i>SFI 2010-2015 Standards</i> Sections 2 and 3.</li> <li>• American National Standards Institute (ANSI) as being competent to conduct certifications to the <i>SFI 2015-2019 Chain-of-Custody Standard</i> Section 4 and <i>SFI</i> Section 3 – Appendix 1: Rules for Use of <i>SFI Certified Sourcing</i> Label.</li> <li>• Standards Council of Canada (SCC) as being competent to conduct certifications to the <i>SFI 2015-2019 Standards</i> Sections 2 and 3 and the <i>SFI 2015-2019 Chain-of-Custody Standard</i> Section 4 and Section 3, Appendix 1: Rules for Use of <i>SFI Certified Sourcing</i> Label.</li> <li>•</li> </ul>
24.	Does the scheme documentation require that certification body undertake forest management or/and chain of custody certification against a scheme specific chain of custody standard as “accredited certification” based on ISO 17021 or ISO Guide 65 and the relevant forest management or chain of custody standard(s) shall be covered by the accreditation scope?	<p><b>Appendix 1 of the PEFC Endorsement Application – SFI 2015-2019 Standards and Rules</b></p> <p><b>SFI 2015-2019 Audit Procedures &amp; Auditor Qualifications and Accreditation - SFI Section 9</b>  <a href="http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-9-pdf/">http://www.sfiprogram.org/files/pdf/2015-2019-standardsandrules-section-9-pdf/</a></p>

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No.	Question	Reference to scheme documentation
		<p>All certification, recertification and surveillance audits to Sections 2 and 3 in the <i>SFI 2015-2019 Standards and Rules</i> document shall be conducted by <i>certification bodies</i> accredited by the ANSI-ASQ National Accreditation Board (ANAB) or the Standards Council of Canada (SCC) to conduct <i>SFI certification</i>.</p> <p>All certification, recertification and surveillance audits to Section 3 – Appendix 1: Rules for Use of <i>SFI Certified Sourcing</i> Label and Section 4 in the <i>SFI 2015-2019 Standards and Rules</i> shall be conducted by <i>certification bodies</i> accredited by the American National Standards Institute (ANSI) or the Standards Council of Canada to conduct <i>SFI certifications</i>.</p> <p>Information related to the accreditation process can be found on the websites of ANSI-ASQ National Accreditation Board (<a href="http://www.anab.org">www.anab.org</a>), the American National Standards Institute (<a href="http://www.ansi.org">www.ansi.org</a>) or the Standards Council of Canada (<a href="http://www.scc.ca">www.scc.ca</a>).</p> <p>Accredited <i>certification bodies</i> that provide certification services for <i>SFI</i> Sections 2 and 3 are required to maintain audit processes and conduct audits consistent with the requirements of:</p> <ul style="list-style-type: none"> <li>• International Organization for Standardization (ISO) 17021:2011 (Conformity assessment – Requirements for bodies providing audit and certification of management systems; and</li> <li>• ISO TS 17021-2 (Part 2: Competence requirements for auditing and certification of environmental management systems).</li> </ul> <p>Accredited <i>certification bodies</i> that provide certification services for <i>SFI</i> Section 3 – Appendix 1: Rules for Use of <i>SFI Certified Sourcing</i> Label and Section 4 are required to maintain audit processes and conduct audits consistent with the requirements of ISO 17065 (Conformity assessment – Requirements for bodies certifying products, processes and services).</p> <p>7. Accreditation of <i>Certification Bodies</i>  The <i>SFI program</i> requires <i>certification bodies</i> to be accredited in order to conduct <i>SFI certifications</i> and issue certificates.</p> <p><i>Certification body</i>: an independent <i>third party</i> that is accredited by:</p> <ul style="list-style-type: none"> <li>• ANSI-ASQ National Accreditation Board (ANAB) as being competent to conduct certifications to the <i>SFI 2010-2015 Standards</i> Sections 2 and 3.</li> <li>• American National Standards Institute (ANSI) as being competent to conduct certifications to the <i>SFI 2015-2019 Chain-of-Custody Standard</i> Section 4 and <i>SFI</i> Section 3 – Appendix 1: Rules for Use of <i>SFI Certified Sourcing</i> Label.</li> <li>• Standards Council of Canada (SCC) as being competent to conduct certifications to the <i>SFI 2015-2019 Standards</i> Sections 2 and 3 and the <i>SFI 2015-2019 Chain-of-Custody Standard</i> Section 4 and Section 3, Appendix 1: Rules for Use of <i>SFI Certified Sourcing</i> Label.</li> </ul>
25.	Does the scheme documentation require that certification body undertake chain of custody certification against Annex 4 as “accredited certification” based on ISO Guide 65?	<b>Not applicable – outside the scope of the endorsement.</b>

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No.	Question	Reference to scheme documentation
26.	Does the scheme documentation include a mechanism for PEFC notification of certification bodies?	SFI scheme does not have a requirement for PEFC notification of certification bodies issuing SFI Forest Management certificates. SFI Inc. fee collection process for SFI program participants does not require that CB collect fees.
27.	Are the procedures for PEFC notification of certification bodies non-discriminatory?	SFI scheme does not have a requirement for PEFC notification of certification bodies issuing SFI Forest Management certificates. SFI Inc. fee collection process for SFI program participants does not require that CB collect fees.

**Application for Assessment of the SFI 2015-2019 Standards and Rules for PEFC Endorsement**  
**PART VI: SFI's checklist for administration requirements**

**Part VI: SFI's checklist for administration requirements**

**1 Scope**

Part VI is used for the assessment of requirements for the administration of PEFC schemes outlined in PEFC 1004:2009, *Administration of PEFC scheme*.

Any inconsistencies between this text and the original referred to document will be overruled by the content and wording of the standard or the guide.

The compliance with these requirements is only evaluated in the first PEFC assessment of a scheme or on specific request by the PEFC Secretariat.

**2 Checklist**

No.	Question	Reference to PEFC GD 1004:2009	Reference to application documents
1.	Are procedures for the notification of certification bodies in place, which comply with chapter 5 of PEFC GD 1004:2009, <i>Administration of PEFC scheme</i> ?	Chapter 5	Notification of Certification Bodies is not a requirement for SFI 2015-2019 Standards and Rules. Certification Bodies that conduct independent audits of the SFI Forest Management Standard are accredited by ANAB or SCC accreditation bodies that are members of the IAF.
2.	Are procedures for the issuance of PEFC Logo usage licenses in place, which comply with chapter 6 of PEFC GD 1004:2009, <i>Administration of PEFC scheme</i> ?	Chapter 6	PEFC US has logo use contracts with each notified CB conducting PEFC CoC audits for US based PEFC CoC certificate holder. PEFC US collects the respective notification fees semi-annually from the CBs. PEFC US also has PEFC logo use contracts with each PEFC CoC certificate holder outlining the certificate holders responsibilities regarding PEFC logo use. These contracts are compliant with chapter 6 of PEFC GD 1004:2009, Administration of PEFC scheme.  <b>Appendix 24 - PEFC Endorsement Application - PEFC Chain of Custody Fee Summary One Page</b> <b>Appendix 25 - PEFC Endorsement Application - PEFC U.S. Logo Use Contract Sample</b>
3.	Are complaint and dispute procedures for the issuance of PEFC Logo usage licenses in place, which comply with chapter 6 of PEFC GD 1004:2009, <i>Administration of PEFC scheme</i> ?		PEFC US has logo use contracts with each notified CB conducting PEFC CoC audits for US based PEFC CoC certificate holder. PEFC US also has PEFC logo use contracts with each PEFC CoC certificate holder outlining the certificate holder's responsibilities regarding PEFC logo use. These contracts address provisions for complaints investigation and dispute procedures. These contracts are compliant with chapter 6 of PEFC GD 1004:2009, Administration of PEFC scheme.  <b>Appendix 25 - PEFC Endorsement Application - PEFC U.S. Logo Use Contract Sample</b>