



Conformity Assessment  
for the  
Revised CSA SFM Program and Standard  
CAN/CSA-Z809-16 Sustainable Forest  
Management  
Final Report  
February 2, 2018

Disclaimer: GreenWoodGlobal Consulting, LLC, endeavors to produce and provide accurate and complete information while executing its contacted assignment. GreenWoodGlobal Consulting, LLC, assumes no liability or responsibility resulting from the outcome of its findings.



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### **Acknowledgements**

The Assessor wishes to thank the following people for their assistance, contributions and support during this project.

Mr. Michael Berger	PEFC International, Technical Unit
Mr. Christian Kammer	PEFC International, Technical Unit
Mr. Paul Wooding	PEFC Canada, Secretary
Mr. Stefan Czamutjian	PEFC Panel of Experts
Mr. Mark Edwards	PEFC Panel of Experts
Mr. Hugh Smith	PEFC Panel of Experts

**Acronyms and Abbreviations:**

BOD	Board of Directors
CCFM	Canadian Council of Forest Ministers
CoC	Chain of Custody
CSA	Canadian Standard Association
CR	Criteria
FMU	Forest Management Unit
FMP	Forest Management Plan
FMS	Forest Management Standard
GD	Guidance Document
GWGC	GreenWoodGlobal Consulting, Ltd.
IAF	International Accreditation Forum
IGD	Internal Guidance Document
ILO	International Labor Organization
IN	Indicator
ISO/IEC	International Standards Organization/International Electrotechnical Commission
N/A	Not Applicable
PEFC	Programme for the Endorsement of Forest Certification
PEFCC	PEFC Council
PEFC ST	PEFC Standard
PEOLG	Pan European Operational Level Guidelines
POE	Panel of Experts

SDO	Standard Developing Organization
SDP	Standard Development Process
SCC	Standards Council of Canada
SFM	Sustainable Forest Management
SSC	Strategic Steering Committee
TBD	To Be Determined
TC	Technical Committee on Sustainable Forest Management
TU	Technical Unit
WHO	World Health Organization



## **1. Introduction**

### **1.1 Scope of the Assessment**

The scope of this assessment is to compare the CAN/CSA -Z809-16 Sustainable Forest Management Standard (CSA SFM Standard) and other PEFC Canada Scheme documentation against the minimum requirements of the PEFC as stated in the PEFC Technical Documents and specified in PEFC IGD 1007-03:2012. This assessment shall ultimately provide the Assessor's recommendation to the PEFC Board of Directors (BOD) as to whether the revised scheme is in conformance with PEFC Technical Documents and whether the scheme should be recommended by the BOD for re-endorsement to the PEFC General Assembly.

As specified in PEFC IGD 1007-03:2012, the following actions were taken to assess the conformity of the revised scheme to PEFC requirements.

- A general analysis of the structure of the scheme technical documentation
- Assessment of the standard setting procedures and process against PEFC ST 1001:2010, Standard Setting – Requirements
- Assessment of the forest management standard(s) against PEFC ST 1003:2010, Sustainable Forest Management - Requirements
- Assessment of the group certification model against PEFC ST 1002:2010, Group Forest Management Certification - Requirements
- Assessment of the CoC standard(s) against PEFC ST 2002:2013, Chain of Custody of Forest Based Products – Requirements
- Assessment of the procedures for notification of certification bodies against PEFC GD 1004:2009, Administration of PEFC CSA SFM Standard, Chapter 5
- Assessment of the procedures for logo licensing against PEFC GD 1004:2009, Administration of PEFC Scheme, Chapter 6 (Logo usage is only assessed with the initial scheme submission)
- Assessment of the procedures for complaints and dispute resolution against PEFC GD 1004:2009, Administration of CSA SFM Standard, Chapter 8
- Assessment of the certification and accreditation procedures, as defined in the PEFC Council Technical Document, Annex 6 and PEFC ST 2003:2012, Requirements for Bodies Operating Certification against the PEFC International Chain-of-Custody
- A stakeholder/working group survey to check the basic contents of the development report on the standard setting process
- Results of PEFC International Consultation on the PEFC Canada Scheme

- Any other aspects which can affect functions, credibility and efficiency of the submitted system

## **1.2 Assessment Process**

The assessment process is carried out in two phases, each phase comprising several significant steps.

### Phase I

Step 1: Review the scheme documentation as provided by the PEFC Canada

Step 2: PEFC Canada initiated a 60-day public consultation by way of its website to gather comments from other PEFC National Governing Bodies as well as interested international stakeholders.

Step 3: The Assessor communicated with PEFC Canada and CSA asking for additional evidentiary documents not included in the initial package of documentation.

Step 4: Develop Technical Committee stakeholder survey and submit it to Technical Committee members.

Step 5: Scheme documentation (see Chapter 1.4) was assessed for conformance against PEFC GD 1007-01:2012 by the Assessor.

Step 6: Submission for review and comment of the First Draft Report in both Microsoft Word and Adobe PDF to PEFC Canada (May 12 through July 3, 2017) which provided a detailed draft evaluation of the CSA SFM Standard based on PEFC IGD 1007-01:2012 requirements. The First Draft Report contains the following elements, structure and content.

1. Introduction
2. GWGC Recommendations
3. Summary of Findings
4. Structure of the System and revised CSA SFM Standard
5. Standard setting process
6. Forest Management Standard
7. Group Certification Model
8. Chain of Custody Standard
9. Implementation of PEFC Logo Usage Rules
10. Certification and Accreditation arrangements
11. Detailed assessment of the Complaints and Dispute Resolution Procedures against PEFC GD 1004:2009, *Administration of PEFC Scheme, Chapter 8*
12. Annexes
  - a. PEFC Standard Requirements Checklist
  - b. Results of Stakeholder Survey (Final Report)
  - c. Results of PEFC Canada International Consultation (Final Report)
  - d. Panel of Experts Comments (Final Report)

e. Any Additional Relevant Information

Phase II

- Step 7: Review of PEFC Canada responses regarding The First Draft Report
- Step 8: Review survey responses from the Technical Committee
- Step 9: Review comments from PEFC TU regarding The First Draft Report
- Step 10: Edits to report based on feedback from PEFC TU and PEFC Canada
- Step 11: Complete Draft Final Report and submit to PEFC Panel of Experts
- Step 12: Review and respond to comments from Panel of Experts
- Step 13: Present Final Report to PEFC with recommendations to BOD

**1.3 Methodology Adopted**

The following methodology was used by *GreenWoodGlobal Consulting, Ltd* to determine the level of conformity of the revised documents of the PEFC Canada Scheme as outlined in **Scope of the Assessment**.

**1.3.1 Assessment of Documents**

The assessment of the scheme and review of documents provided by PEFC Canada (see Chapter 1.4) was conducted at the office of GreenWoodGlobal Consulting, Ltd. As this was a standard revision procedure by CSA, a field visit was not required. The technical documentation provided was presented in English and in French.

The documents were assessed by Robert S. Simpson of GreenWoodGlobal Consulting, Ltd. The PEFC IGD 1007-01:2012 Minimum Requirements Checklists were used to assess conformance of the revised scheme against the minimum requirements for the re-endorsement process as defined by the PEFC. The Draft Report is formatted in accordance PEFC IGD 1007-03:2007.

The results of the assessment were fully documented in the Minimum Requirements Checklist and First Draft Report was elaborated and submitted to PEFC and PEFC Canada for review and comment.

**1.3.2 Stakeholder Comments and Public Consultation**

During the review and assessment of the documentation, the PEFC Secretariat held a 60-day open call for comments on the CSA SFM Standard. Specifically, this was directed to PEFC National Governing Bodies and interested international stakeholders as well as other interested parties. This public consultation was held via the PEFC website ([www.pefc.org](http://www.pefc.org)) and available for comment from (May 12 through July 3, 2017). By the close of the 60-day international consultation period no (0) comments had been filed with respect to the CSA SFM Standard.

Also, during the CSA SFM Standard assessment period, the Assessor developed a survey for the Technical Committee on Sustainable Forest Management (TC) responsible for the scheme revision and other stakeholders involved in the process. The nine-question survey was sent to the TC members via email and they were asked to return the

response within 14 days. Eight survey responses were received within the requested response period. (See Annex 2: Technical Committee Survey Response Summary)

#### 1.4 Timetable of Assessment

Table 1 illustrates the actions and time involved during the PEFC Canada Scheme assessment.

Table 1: Assessment Process Schedule

Timetable for CSA SFM Standard Assessment		
Date	Action	Elapsed Time
08.23.2017	Commence Phase I: Assessment of PEFC Canada Scheme	
10.11.2017	Submission of First Draft Report to PEFC Secretariat and PEFC Canada for review and comment	6 weeks
11.17.2017	First Draft Report Review and Comment Period for PEFC Canada and PEFC	4 weeks
11.27.2017	Commence Phase II of Assessment	1 week
11.27.2017	Stakeholder Survey to Technical Committee	
12.08.2017	Draft Final Report Submitted to PEFC Canada	1.5 weeks
12.12.2017	Submission by PEFC to PEFC POE for Review	5 days
01.15.2018	Receipt of POE Comments	5 weeks
02.02.2018	Submission of Final Report to PEFC Secretariat	3 weeks

#### 1.5 Reference Documents and Sources

The following is a list of scheme documentation provided by PEFC Canada to the PEFC Secretariat for conformity assessment in seeking the re-endorsement of the PEFC Canada Scheme.

##### Documentation Provided by PEFC Canada:

1. CSA SFM - PEFC IGD 1007 PEFC Standard and System Requirement Checklist
2. CAN/CSA-Z809-16 Sustainable forest management
3. CAN/CSA-Z809-F16 Aménagement forestier durable
4. SCC Accreditation Services - Accreditation Program Overview 2016-09-01
5. SCC Canadian Standards Development - Requirements & Guidance – Accreditation of Standards Development Organizations 2015-10-01
6. SCC Canadian Standards Development - Requirements & Guidance – Approval of National Standards of Canada Designation 2015-10-01

7. CSA-SDP-1-03 CSA Policy governing standardization - Code of good practice for standardization – December 2003
8. CSA-SDP-2.1-14 CSA Directives and guidelines governing standardization, Part 1: Participants and organizational structure - Sept 2014
9. CSA-SDP-2.2-14 CSA Directives and guidelines governing standardization, Part 2: Development process – September 2014
10. CSA-SDP-2.3-14 CSA Directives and guidelines governing standardization, Part 3: Drafting of standards – September 2014
11. File No.: S2025 Technical Committee on Sustainable Forest Management Terms of Reference
12. CSA Group Z809 Sustainable Forest Management: Standard Setting Procedures Document September 23, 2015
13. CSA Sustainable Forest Management Technical Committee Updated: Sept 23, 2015
14. CSA TC Members Updated January 4, 2016
15. CSA Group Current Standards Activities Z809 Sustainable Forest Management New Edition 5-5-2014
16. SCC Notice of Intent Sustainable forest management 2014-05-13
17. CSA Group Community CSA Z809 Revision: Feedback wanted Mar 24 2014
18. CSA Group LinkedIn CSA Z809 Revision: Feedback appreciated
19. Chemicals and Pesticides Use in Canada
20. PEFC Canada Notification Contract for CSA Sustainable Forest Management
21. PEFC Canada Notification Contract for PEFC Chain of Custody
22. PEFC Canada PEFC Logo Use Contract
23. PEFC Canada Complaints and Appeals Procedure

Supporting Documentation Provided by CSA and PEFC Canada (See Annex 4)

- Public announcement regarding commencement of standard revision
- Selection of Technical Committee
- Public Consultation Announcement

Supporting Documentation Found on CSA Communities Website

- Technical Committee Minutes
- Technical Committee meeting to review consultation comments
- Technical Committee consensus on Final Draft Report

The following list of technical documents was provided by PEFC and used for the conformity assessment.

Technical Documents Provided by PEFC

- PEFC GD 1001:2010 Standard Setting Requirements
- PEFC ST 1003:2010 Sustainable Forest Management Requirements
- PEFC ST 1002:2010 Group Forest Management Certification Requirements
- PEFC ST 2002:2013 Chain of Custody of Forest Based Products Requirements

- PEFC ST 2001:2008 PEFC Logo Usage Rules
- PEFC ST 2003:2012 Chain of Custody Certification Body Requirements
- PEFC GD 1004:2009 Administration of PEFC Scheme, Chapters 5, 6 and 8
- PEFC GD 1007:2012 Endorsement of National Schemes
- Annex 6 PEFC TD Accreditation and Certification Procedures
- PEFC IGD 1007-01:2012 PEFC Standard and Minimum Requirements Checklist

In addition, the websites of PEFC ([www.pefc.org](http://www.pefc.org)) and CSA ([CSA Group website](http://www.csa.com)) functioned as sources of additional information, processes and documents relevant to the conformity assessment.

## 1.6 Personnel

Robert S. Simpson is President and CEO of GreenWoodGlobal Consulting, LLC. He will be the supervising assessor. His firm specializes in working with forest products companies, natural resource agencies and natural resource NGOs, helping them meet their strategic directives involving forest sustainability, with focus on family forest owners, cooperatives and communities owning and managing forest land.

Prior to founding GreenWoodGlobal Consulting, LLC, Simpson spent 17 years with the American Forest Foundation. As AFF's Senior Vice President, Simpson was responsible for developing and implementing strategies for AFF's forestry programs such as the American Tree Farm System (ATFS) as well as developing the ATFS SFM standard and keeping it compliant with PEFC endorsement. While at AFF Simpson grew ATFS to nearly 90,000 certified properties and developed and implemented the first successful group certification program in North America. In 2009 ATFS was endorsed by the Programme for the Endorsement of Forest Certification (PEFC) as a full 3rd party certification system. His clients have included the US Endowment for Forestry and Communities, UK Department of Environment and Climate Change, the Forest Guild, Environmental Defense Fund and Maryland Department of Natural Resources.

He completed the PEFC Standard Assessor's Training in Geneva, Switzerland, November 2012 and PEFC Assessor professional development training in February 2015 and has successfully completed multiple annual assessors' trainings. He has been involved with PEFC at some level from 1999 to present. Mr. Simpson served eight years on the PEFC Board of Directors and is intimately familiar with the PEFC framework. He has reviewed dozens of scheme assessments submitted to the PEFC Board from scheme assessors.

Simpson has served on multiple Boards including the PEFC Board of Directors and is co-founder of the International Family Forestry Alliance. He has guest lectured at the University of Geneva, Yale School of Forestry and keynoted the John Gray Distinguished Lecture Series at Florida State University.

Michael A. Virga has 30 years' experience in the forest industry with a focus on sustainable forestry certification and standard development. Throughout his career he

has demonstrated leadership and innovation within the forest certification arena. Virga's nine (9) years' experience in a senior executive role at the American Forest & Paper Association provided him comprehensive knowledge of forest management and forest product certification systems. He is well versed in PEFC certification requirements, having driven the effort that lead to the Sustainable Forestry Initiative's initial assessment in 2005. Mr. Virga will be working in an associate role under the supervision and guidance of Mr. Simpson. (CV on file with PEFC)

## 2. Recommendation

GreenWoodGlobal Consulting, LLC, **RECOMMENDS that** the PEFC Board of Directors **ENDORSE** the Revised PEFC Canada Scheme as presented.

Based on the findings of GreenWoodGlobal Consulting, Ltd, and documented in the text and checklists of this report, the Assessor has identified **NO (0) NONCONFORMITIES** within the PEFC Canada Scheme. Therefore, the Assessor concludes the **Revised CSA SFM Program and Standard CAN/CSA-Z809-16 Sustainable Forest Management** to be **IN CONFORMITY** to PEFC requirements for scheme endorsement.



### **3. Summary of Findings**

#### **3.1 Structure of the System**

The CSA SFM Standard is unique to many other PEFC recognized national standards in that PEFC Canada, the national governing body, does not formally set the forest management standard. The CSA SFM Standard revision is managed by the Canadian Standards Association (CSA) under whose auspices this *National Standard* has been produced.

The Standard was developed by the CSA and is a National Standard of Canada for sustainable forest management, approved by the Standards Council of Canada (SCC). An SCC-approved standard reflects the consensus of a number of experts whose collective interests provide, to the greatest practicable extent, a balance of representation of affected stakeholders. This Standard was prepared by the CSA Technical Committee on Sustainable Forest Management, and is responsible for consensus building.

For the revision of the CSA SFM Standard, the CSA Strategic Steering Committee on Business Management and Sustainability functioned as the SDO and provided management and oversight of the CSA SFM Standard Technical Committee, formally known as the Technical Committee on Sustainable Forest Management (TC). The TC strives to have membership that provides reasonable geographic representation across Canada. TC members are assigned to one of the following categories: Academic and Professional Practitioners; Environment and General Interest; Aboriginal Peoples, Government and Regulatory Authorities; Producer.

The TC operates through consensus with a specific requirement that affirmative votes from at least 1/3 of the members in each of its Interest Categories is required for approving major decisions, including ballots for approval of a Consensus Standard Product (CSP).

Upon final consensus vote from the TC, the CSA SFM Standard is presented to the SCC for review and approval as a National Standard of Canada. Following review and approval, the CSA SFM is adopted by PEFC Canada, the national governing body.

The national governing body, PEFC Canada, is responsible for the following.

1. Managing the CSA SFM Standard to meet PEFC Council endorsement requirements.
2. Notification of qualified certification bodies for CSA Sustainable Forest Management certification that have been accredited in accordance with ISO/IEC 17021.
3. Notification of qualified certification bodies for PEFC Chain of Custody certification that have been accredited in accordance with ISO/IEC 17065.

4. Issues PEFC Logo licenses to qualified users in Canada.
5. Maintains a procedure which documents complaints and appeals avenues that are available to any stakeholder or interested party for the resolution of issues of non-conformity or non-compliance related to certification to a PEFC - endorsed standard.

PEFC Canada is incorporated under the *Canada Not for Profit Corporations Act*. PEFC Canada operates in accordance with this Act which requires a Board of Directors, an annual Directors' Report and convening an Annual General Meeting. PEFC Canada seats a 20-member Board, of which 7 are Directors and is managed by the Secretary. The Secretary's duties include the following.

1. Maintain an up-to-date register and control of all entities using the PEFC logo and ensuring its correct use.
2. Verify the rules for logo use and their conformity with PEFC Council Technical Document PEFC ST 2001:2008 v2 PEFC Logo Use Rules - Requirements and, whenever necessary, implementing corrective or preventive actions.
3. Manage the register of certification bodies.
4. Manage the PEFC requirement for the Notification of accredited Certification Bodies.

Accreditation bodies shall be a part of the IAF umbrella or a member of one of IAF's special recognition groups. Certification bodies must comply with relevant ISO standards and other additional requirements as set in the CSA SFM Standard. Notification of certification bodies is done in a non-discriminatory manner through PEFC Canada.

The Assessor finds that the **Structure of the System** to be **IN CONFORMANCE** with PEFC requirements of their sustainability benchmarks.

### **3.2 Standard Setting Procedures and Process**

Standard revision is undertaken every five years and initiated through Canadian Standards Association (CSA). CSA publicly announces the process through multiple media avenues including email, newspaper ad and personal letters notifying organizations the process has begun and to comment on the current standard.

The TC is composed of 4 constituencies (Academic and Professional Practitioners; Environment and General Interest; Aboriginal Peoples, Government and Regulatory Authorities; Producer.) comprising 25 organizations representing forestry interests in Canada excluding non-voting representatives (Associates category). The TC is designed in such a manner that no single constituency can dominate or be dominated during the standard setting process.

The TC operates through consensus and members have access to all working documents at all times. During the process, all working documents are available to TC members but not the public. A draft is prepared for public consultation and available on the CSA website, and other information such as Proposed Key Changes documents is provided on the [CSA Z809 Landing Page](#)

There were three public consultation periods during the standard setting process. Comments are summarized and presented to the TC for review and discussion.

The Standard Setting Procedures include:

- Public announcement from CSA that the standard revision is beginning
- Public comments on the current standard
- Seating of the Technical Committee on Sustainable Forest Management
- Technical Committee Meetings
- Establishment of a Group Certification (Defined Forest Area) Technical Committee to set Group Certification standard requirements
- Draft standard put out for 60-day public comment (including Z809 - Defined Forest Area Standard)
- Summary and review of comments (including Z809)
- Final edits to the standard
- Technical Committee approval of the standard
- CSA review and approval of the Standard
- Translation of the standard into French
- SCC review and approval as a National Standard of Canada
- PEFC Canada approval and adoption of the standard

Upon its final review, the TC votes to approve the Final Draft Standard. It is then available for SCC for review and approval as a National Standard of Canada. Upon SCC approval, PEFC Canada submits the CSA SFM Standard to PEFC for assessment and endorsement.

The Assessor finds that the **Standard Setting Procedures** to be **IN CONFORMANCE** with PEFC requirements with **No Nonconformity** identified.

Evidentiary supplemental documentation such as minutes, website screen shots, and media announcement demonstrate that process took place according to procedure.

The Assessor finds that the **Standard Setting Processes** to be **IN CONFORMANCE** with PEFC requirements with **No Nonconformity** identified.

### **3.3 Forest Management Standard**

The CSA SFM Standard sets requirements that thoroughly and adequately cover all six principles of sustainable forest management as required by PEFC ST 1003:2010. The CSA SFM criteria and elements are fully consistent with those of the Montréal process and the

seven thematic elements of sustainable forest management recognized by the international community at the *United Nations Forum on Forests* in 2004.

The CSA SFM Standard is built upon the previously 2011 PEFC Endorsed CSA SFM Standard. The CSA SFM Standard under assessment contains seven (7) criteria, fifteen (15) elements and thirty-five (35) core indicators.

The Assessor finds that the **CSA SFM Standard** to be **IN CONFORMITY** with PEFC requirements with **No Nonconformity** identified.

### **3.4 Group Certification Model**

The CSA SFM Standard provides a comprehensive set of requirements and guidance which defines how group entities and group participants shall meet the requirements of Group Certification as stipulated in PEFC ST 1002:2010. It requires forest owner/manager commitment to forest management and describes forest owner and group entity responsibilities. The CSA SFM Standard calls for internal monitoring programs, addresses how corrective action requests shall be handled and covers how forest owners can enter and exit the system.

The Assessor finds that the **Group Certification Standard** to be **IN CONFORMANCE** with PEFC requirements with **No Nonconformity** identified.

### **3.5 Chain of Custody Standards**

PEFC Canada has chosen to adopt PEFC International Standard PEFC ST 2002:2013 – Chain of Custody for Forest Based Products in its entirety and without modification.

The Assessor finds that the **Chain of Custody Standard** to be **IN CONFORMANCE** with PEFC requirements with **No Nonconformity** identified.

### **3.6 Logo Usage Rules**

PEFC Canada has adopted the rules and guidance set out in PEFC International Standard ST 2001:2008 v2 Logo Usage Rules – Requirements which will be implemented by all certificate holders. PEFC Canada is recognized as the appropriate 3-party licensing authority for all Canadian provinces.

The Assessor finds that the **Logo Usage Rules** to be **IN CONFORMANCE** with PEFC requirements with **No Nonconformity** identified.

### **3.7 Complaints and Dispute Resolution Procedures**

The CSA SFM Standard states that complaints and appeals pertaining to a PEFC endorsed standard will be addressed by the relevant certification body (CB). Every accredited CSA

SFM Standard CB is required by the Standard to “document and implement procedures to address appeals of CB decisions related to certification, identification of non-conformity, acceptance of corrective actions, and the award, suspension or withdrawal of certificates.”

Complaints and appeals of the certification process or of CBs will be directed to the Accreditation Body (AB). Complaints and appeals that cannot be handled by the CB or AB, or the standards development organization will be addressed by PEFC Canada.

The Assessor finds that the **Complaints and Dispute Resolution Procedures** to be **IN CONFORMANCE** with PEFC requirements with **No Nonconformity** identified.

### **3.8 Certification and Accreditation Procedures**

Certification and accreditation procedures are clearly and completely described in the CSA SFM Standard. Accreditation bodies shall be a part of the IAF umbrella or a member of one of IAF’s special recognition groups.

Accredited certification bodies carrying out certification for forest management must fulfil requirements defined in ISO/IEC 17021:2015 and accredited certification bodies carrying out CoC for forest-based products must fulfill requirements defined in ISO/IEC 17065:2012.

In addition, the CSA SFM Standard requires auditors to demonstrate experience and have appropriate knowledge of forest management and CoC standards.

The Assessor finds that the **Certification and Accreditation Procedures** to be **IN CONFORMANCE** with PEFC requirements with **No Nonconformity** identified.

### **3.9 Other Aspects of Importance**

The Assessor wishes to compliment PEFC Canada on the thoroughness and comprehensiveness of the CSA SFM Standard as presented to PEFC. The Assessor found the documents easy to navigate. This is most appreciated by the Assessors with regard to the unique Scheme development and endorsement processes found in Canada. In addition, the Assessor appreciates the professionalism, cooperation and support from Mr. Paul Wooding, Secretary, PEFC Canada and the many Technical Committee members who responded to the stakeholder survey.

### **3.10 Stakeholder Survey**

During the course of this assessment, CSA supplied the names, organizations and email addresses of the members of the Technical Committee to the Assessor in order to survey members regarding the standard setting process. The survey was developed by the Assessor

to help determine whether Technical Committee meetings were held in a manner conforming to PEFC requirements.

The survey was distributed to 32 members of the Technical Committee with a two-week response period. The Assessor finds that survey responses give an added measure of assurance that standard setting processes were in conformance to PEFC requirements.

The Assessor received eight (8) survey responses during the survey period (See Annex 2 for a summary of survey responses).

Survey responses indicated only one negative noting that the TC member responded *“I’m not sure that forestry based labour/workers were well represented.”*

Additionally, one response read as the following, *“There was no wildlife biologist actively involved in the revision process – but the wildlife aspects were well covered by provincial regulations and the strong requirements for bio-diversity conservation.”*

With this in mind, the Assessor believes the responses, in whole, indicate that the standard revision processes were open, transparent, consensus based and met PEFC standard setting procedures and process requirements and the CSA SFM Standard was approved by the Technical Committee.

#### **4. Structure of the System**

The CSA SFM Standard is unique to many other PEFC recognized national standards in that PEFC Canada, the national governing body, does not formally develop the forest management standard. The CSA SFM Standard revision is managed by the Canadian Standards Association under whose auspices this *National Standard* has been produced.

A *National Standard* of Canada is a standard prepared by the CSA Group, an accredited Standards Development Organization (SDO), and approved by the Standards Council of Canada (SCC). An SCC-approved standard reflects the consensus of a number of experts whose collective interests provide, to the greatest practicable extent, a balance of representation of affected stakeholders. The CSA Group provides the professional administration and staffing of the process as well as the repository for process documents.

For the revision of the CSA SFM Standard, the Strategic Steering Committee on Business Management and Sustainability functioned as the SDO and provided management and oversight of the CSA SFM Standard Technical Committee, formally known as the Technical Committee on Sustainable Forest Management (TC). The TC strives to have membership that provides reasonable geographic representation across Canada. TC members are assigned to one of the following Interest Categories: Academic and Professional Practitioners; Environment and General Interest; Aboriginal Peoples, Government and Regulatory Authorities; Producer.

The TC operates through consensus with a specific requirement that affirmative votes from at least 1/3 of the members in each of its Interest Categories is required for approving major decisions, including ballots for approval of a CSP

Upon final consensus vote from the TC, the CSA SFM Standard is presented to SCC for review and approval as a National Standard of Canada. Following review and approval, the CSA SFM is adopted by PEFC Canada, the national governing body.

PEFC Canada is incorporated under the *Canada Not for Profit Corporations Act*. PEFC Canada operates in accordance to the Act which requires a Board of Directors, an annual Directors' Report and convening an Annual General Meeting. PEFC Canada seats a 20-member Board, of which 7 are Directors, and is managed by the Secretary. PEFC Canada manages the certification of approximately 40 million hectares of PEFC certified forest land and represents organizations in Canada that have certified their forestry operations to the PEFC-endorsed Canadian Standards Association (CSA) Sustainable Forest Management (SFM) standards, as well as organizations and businesses that are certified to the PEFC International Chain of Custody Standard. The organization has been a member of PEFC International since 2001.

As the recognized PEFC national governing body it is responsible for the following:

1. Managing the CSA SFM Standard to meet PEFC Council endorsement requirements.
2. Notification of qualified certification bodies for CSA Sustainable Forest Management certification that have been accredited in accordance with ISO/IEC 17021.
3. Notification of qualified certification bodies for PEFC Chain of Custody certification that have been accredited in accordance with ISO/IEC 17065.
4. Issues PEFC Logo licenses to qualified users in Canada.
5. Maintains a procedure which documents complaints and appeals avenues that are available to any stakeholder or interested party for the resolution of issues of non-conformity or non-compliance related to certification to a PEFC - endorsed standard.

The National Secretary ensures the coordination and daily management activities of the organization. The Secretariat responsibilities include but are not limited to the following actions:

5. Maintain an up-to-date register and control of all entities using the PEFC logo and ensuring its correct use.
6. Verify the rules for logo use and their conformity with PEFC Council Technical Document PEFC ST 2001:2008 v2 PEFC Logo Use Rules - Requirements and, whenever necessary, implementing corrective or preventive actions.
7. Manage the register of certification bodies.
8. Manage the PEFC requirement for the Notification of accredited Certification Bodies.

### **Finding**

The Assessor finds that **Structure of the System** to be **IN CONFORMANCE** with PEFC requirements with **No Nonconformity** identified.



## **5. Standard Setting Process**

### Overview

CAN/CSA-Z809-16 Sustainable forest management is the fourth edition of the Standard and supersedes the previous editions published in 2008, 2002, and 1996. The Standard is prepared by the Technical Committee on Sustainable Forest Management, which is assembled and convened under the jurisdiction of the Strategic Steering Committee on Business Management and Sustainability, Standards Council of Canada's (SCC) accredited Standards Development Organization (SDO) and has been formally approved by the TC.

The CSA SFM Standard is developed through an open and inclusive participatory process. The Technical Committee on Sustainable Forest Management consists of a balanced array of representatives from timber producers, forest-products manufacturers, academia, provincial and federal governments, and environmental, consumer, union, and Aboriginal groups (See Table 3). In addition to member discussions, the TC's work includes a series of formal consultations open to any and all interested parties.

Canadian forests are primarily publicly owned and are reflected in the public participation requirements of this Standard. Public participation is clearly encouraged within the Standard. Provisions in the Standard allow for the public to identify forest values related to environmental, social, and economic concerns and the TC works with organizations throughout the forest management planning process.

PEFCC requires that the standard setting process be assessed on two aspects. First, a conformity assessment of the PEFCC requirements as defined in PEFC ST 1001:2010 - Standard Setting Procedures against CAN/ CSA – Z809 – 16. The following additional documents provide valuable and detailed information regarding standard setting procedural requirements.

1. SCC Canadian Standards Development – Requirements and Guidance – Accreditation of Standards Development Organizations 2015 -10 -01
2. SCC Canadian Standards Development – Requirements and Guidance – Approval of National Standards of Canada Designation 2015-10-01
3. CSA-SDP-1-03 CSA Policy governing standardization - Code of good practice for standardization – December 2003
4. CSA-SDP-2.1-14 CSA Directives and guidelines governing standardization, Part 1: Participants and organizational structure - Sept 2014
5. CSA-SDP-2.2-14 CSA Directives and guidelines governing standardization, Part 2: Development process – September 2014

6. CSA-SDP-2.3-14 CSA Directives and guidelines governing standardization, Part 3:  
Drafting of standards – September 2014

The second aspect of the standard setting conformance assessment regards conformity of the standard setting processes undertaken by the TC. Accompanying evidentiary process documentation has been provided in the form of TC minutes of meetings, public announcements of the revision, invitations to stakeholders, notice of public consultation period, etc. as defined in PEFC ST 1001:2010. (See Annex 4)

Refer to Chapter 4 of this report for a general summary of the organization and the structure and responsibilities of the involved parties in the CSA SFM Standard revision.

Pilot testing was undertaken with the initial CSA SFM Standard. There were no significant areas of change with regard to the forest management standard. In addition, experience gained in working with the CSA SFM Standard over previous years and assisted by both comments received at the initial consultation prior to the revision process starting and at subsequent consultations, pilot testing was not required.

The following provides a more detailed analysis of the standard setting procedures and processes.

#### The CSA SFM Standard Setting Process: Key Components

As part of the PEFC requirements for certification, national standards must be reviewed on a five-year basis. Beginning in March 2014, the CSA Technical Committee on Sustainable Forest Management began preliminary ground work to commence the assessment for the CSA SFM Standard. The revision and consultation process is undertaken in four specific phases:

- Phase I – Notification of the revision and seating and convening the Technical Committee
  - This is the initial notification of the revision of the CSA SFM Standard and is accomplished through a public call for comments on the current standard and reaching out to key stakeholder groups. It is intended for this consultation to identify areas needing review.
  - Notification of the revision of the CSA SFM Standard for a Defined Forest Area
- Phase II – Standard Revision Drafting
  - The TC met six times during the drafting phase to discuss potential changes and revisions to the CSA SFM Standard. During this time the draft standard was made available for public comment through the CSA website
- Phase III – Public Comment Period and Review
  - The TC put the draft standard out for 60-day public comment between August 4 and October 4, 2015
- Phase IV – Approval of the draft CSA SFM Standard

- TC meets to consider issues which may have arisen during the public consultation period. The TC makes final revisions to the draft. TC reaches consensus on the draft and submits the approved CSA SFM Standard to SCC for review and approval.

**Table 2. Milestones for the Revision of the CSA SFM Standard**

<b>CSA SFM Standard Milestones</b>	
<b>Date</b>	<b>Action Taken</b>
March 24, 2014	CSA SFM Standard Revision Announcement to Public
May 5, 2014	Announcement of Standard Revision of SFM of a Defined Forest Area
May 13, 2014	Public Announcement of Standard Revision
May 21, 2014	Technical Committee Assembled
May 21, 2014; November 26 & 27, 2014; February 11, 2015; July 15, 2015; October 21, 2015; January 26, 2016	Technical Committee Meeting Dates
August 4, 2015 – October 4, 2015	60-Day Public Comment Period
January 26, 2016	Technical Committee Approval

#### Technical Committee SFM

Standard Technical Committees (TC) are developed under the purview of the Strategic Steering Committee (SSC). It is the responsibility of the SSC to form and convene the TC. To form and convene the TC, the SSC must develop a membership matrix using the following criteria.

1. The interest categories are appropriate for the committee's scope;
2. The minimum and maximum numbers of voting members for each interest category provide for a reasonable balance of representation and will allow the committee to function efficiently; and
3. Lack of balance of representation through attrition will be immediately apparent.

CSA assigns a project manager to the TC and the manager functions in an administrative support role for the TC. The Committee establishes an Executive Committee consisting of the Chair, Vice- chair(s), the CSA Project Manager and one member from each of the matrix categories. The Chair and Vice Chair can be considered a member from a matrix interest category. It is the responsibility of the Executive Committee to appoint members from the four matrix categories. Membership is based on the individual's expertise within the matrix interest category, knowledge and familiarity with standard development, application of standards and management concepts in general, as well as specialized knowledge in the subject matter. (See Table 3)

TC size is set to ensure that necessary interests are represented; there is balance of representation and the committee is able to function efficiently.

It is the responsibility of the Chair to manage the TC through its appointed process, especially making sure that TC members have the ability to express their viewpoints, that all members have access to all documents and that the TC approve the final draft standard through a consensus process. The consensus process which is defined by CSA as “...the development and approval procedures followed to achieve consensus. This includes applying the following four principles underlying consensus processes: inclusive, not exclusive, participation; respect for diverse interests; accountability; and consensus achievement.”

**Table 3. CSA Standard SFM Technical Committee Constituencies**

<b>TC Sustainable Forest Management Membership Matrix</b>		
<b>Constituency</b>	<b>Number of Members (Min &amp; max)</b>	
<b>Producer Interest</b>	5	9
Canfor		
Algonquin Forestry Authority		
Western Forest Products Inc		
Tolko Industries		
Teal Jones		
<b>Environmental and General Interest</b>	5	9
Stillwater Local Public Advisory Group		
Roddy Resources Inc.		
Consumer Interest Alliance Inc.		
BC Wildlife Federations		
Nicola Thompson Fraser Local Public Advisory Group		
<b>Academic and Professional Practitioners</b>	5	9
Dalhousie University		
Saskatchewan Research Council		
University of Toronto		
FPInnovations		
T. Rotherham Forestry Consulting, Inc		
University of British Columbia		
<b>Aboriginal Peoples, Governments, and Regulatory Authorities Interest</b>	5	9
Saskatchewan Ministry of the Environment		
Alberta Environment and Sustainable Resource Dev.		
Forest Practices Board		
KDAA Consulting		
Westbank First Nations – Heartland Economic L.P.		

BC Timber Sales	
<b>Associate Members (Non-voting)</b>	
SFI Inc	
KPMG	
PriceWaterhouseCoopers	
Alberta Innovates Bio-Solutions	
Standards Council of Canada	
PEFC Canada	
Canada Standards Association (Project Manager)	

The TC may establish Technical Subcommittees and Task Forces. These subcommittees are established to support the TC with the drafting process and explore specific issues or technical areas.

**Finding**

The Assessor finds that the **Standard Setting Procedures** to be **IN CONFORMANCE** with PEFC requirements with **No Nonconformity** identified.

The Assessor finds the **Standard Setting Processes** to be **IN CONFORMANCE** with PEFC requirements with **No Nonconformity** identified.

## **6. Forest Management Standard**

### Forests of Canada

The forests of Canada significantly contribute to the nation's gross domestic product, local economies, quality of life and ecological integrity. From clean water, to abundant wildlife, to a myriad of forest products, Canada's diverse forests provide a sustainable flow of all to its inhabitants.

In 2017 Canada's forests cover nearly 347 million hectares covering 42% of Canada's land mass. Nearly 32% of the world's boreal forests lie within Canada's boundaries. Provincial, territorial and federal ownership nears 91% with private forest land ownership at 6.2% and Aboriginal ownership at 2%. Annual harvested area is nearly 780,000 hectares. Forestry operations in Canada contribute nearly \$23 billion CD to the country's gross domestic product and employees directly and indirectly 306,000 Canadians.

The majority of Canada's forest land, about 94%, is publicly owned and managed by federal, provincial and territorial governments. The remainder, 6%, is privately owned with the significant majority of this ownership located in the Maritimes.

Forest land in Canada is regulated by both the federal and provincial/territorial governments. The Constitution Act of 1982 places jurisdiction over forests into the hands of the provinces. Each province has its own comprehensive set of laws, regulations and policies covering all facets of forests and forest management. In addition, Aboriginal rights are a key factor in Canadian forest management. The Constitution Act, Section 35 allows for the protection of Aboriginal and treaty rights of all Aboriginal Peoples of Canada.

In 1985 the Canadian government established the Canadian Council of Forest Ministers (CCFM). The CCFM is composed of fourteen federal, provincial and territorial ministers (elected officials). The secretariat for the Council is provided by Natural Resources Canada's Canadian Forest Service. It provides an important forum for the respective provincial/territorial governments to exchange information, work cooperatively, provide leadership and generate actions on forestry related matters of interests to all Canadians above and beyond the work done by individuals governments.

### The CSA Sustainable Forest Management Standard

The CSA SFM Standard has been designed to be an independent forest certification standard, defining requirements for woodland owners, managers, and certification bodies in order to certify the management of forests of the provincial, territorial, federal and private forests of Canada.

A primary function of the CSA SFM Standard is to reflect the requirements of the CCFM national framework of criteria and indicators. The CSA SFM criteria and elements build upon this framework and are fully consistent with those of the Montréal process and the seven thematic elements of sustainable forest management recognized by the international community at the *United Nations Forum on Forests* in 2004.

Conformance with the CSA SFM Standard is voluntary. No woodland owner or manager is required by law to conform to the Standard. However, in order to achieve PEFC Canada forest certification, an independent third-party evaluation by an accredited certifier must confirm conformance, in order to obtain a forest management certificate from the certifying body.

The CSA SFM Standard has a robust set of Criteria, Elements and Core Indicators that call for the demonstration of maintenance and protection forest productivity, forest planning, forest biodiversity, soils and water while safeguarding the rights of workers and other forest users. The Assessor points out that the CSA Sustainable Forest Management Standard is heavily reliant on government legislation and regulation. This at times may lead to the CSA SFM having to be revisited if there should be significant changes to the legislation which may in turn affect PEFC requirement conformity.

Table 4. Criteria, Elements and Core Indicators of the CSA SFM Standard

<b>Requirements and Example Verifiers</b>		
<b>Criteria</b>	<b>Elements</b>	<b>Core Indicators</b>
Biological Diversity	4	9
Ecosystem Condition & Productivity	1	4
Soil & Water	2	4
Role in Global Ecological Cycles	2	3
Economics & Social Benefits	2	5
Society's Responsibility	2	5
Aboriginal Relations	2	5

The CSA SFM Standard is in full compliance with international law, including relevant international conventions which have been ratified by the government of Canada. (See Table 5)

Table 5. ILO Conventions Ratified by the Government of the Canada

<b>Ratification Status of ILO Conventions for Canada</b>		
<b>Code</b>	<b>Convention</b>	<b>Date of Ratification</b>
ILO No 29	Forced Labor, 1930	June 13, 2011
ILO No 87	Freedom of Association and Protection of the Right to Organize, 1948	March 23, 1972

ILO No 98	Right to Organize and Collective Bargaining, 1949	June 14, 2017
ILO No 100	Equal Remuneration, 1951	November 16, 1972
ILO No 105	Abolition of Forced Labor, 1957	July 14, 1959
ILO No 111	Discrimination (Employment and Occupation) 1958	November 26, 1964
ILO No 138	Minimum Age for Admission to Employment, 1973	June 8, 2016
ILO 182	Worst Forms of Child Labor Convention, 1999	June 6, 2000

The CSA SFM Standard is designed to enable verification of the forests in Canada of provincial, federal and private lands being sustainably managed in all three pillars of sustainability; i.e. environmental, social and economic. The CSA SFM Standard sets requirements that thoroughly and adequately cover all six principles of sustainable forest management as required by PEFC ST1003:2010.

**Finding**

The Assessor finds that the **Forest Management Standard** to be **IN CONFORMANCE** with PEFC requirements with **No Nonconformity** identified.



## **7. Group Certification Model**

The CSA SFM Standard offers forest owners two forms of forest certification; individual forest management certification and group forest management certification. The fundamental basis of group certification is that the costs of certification are spread across multiple forest owners, thereby reducing the cost and making forest certification a more attractive proposal. The supposition for this cost reduction is that only a sample of properties need be audited and that the costs will be shared by many. The proposition of group certification is that all members of the group have formally committed their forest management to complying with the CSA SFM Standard. By agreeing that they will manage their forest in accordance to the CSA SFM Standard requirements, be signatory to the group entity requirements, and only have their forests certified under one group entity, these forest owners and managers may apply for PEFC Certification.

The CSA SFM Standard identifies two bodies under group certification; the Group Entity and Group Member. Both have different responsibilities within the group certification system.

The Group Entity carries the responsibility of ensuring conformity of forest management within the certified area in accordance with the sustainable forest management requirements and any other requirements as specified within the CSA SFM Standard.

The Group Entity is responsible for certain matters such as the following.

- Establishes the area which is considered certified.
- Informs the group forest owners about the benefits of group forest certification.
- Contracts with the group forest owners participating in the certification process.
- Represents group certification participants to the certification body.
- Oversees an internal monitoring process.
- Informs the group forest owners about the requirements of CSA SFM Standard.
- Manages and administers the group database.
- Informs the group forest owners found to be out of conformance with the Standard
- Reports required data and information to PEFC Canada.

Group Members agree to the following:

1. provide the group entity with a written agreement, including a commitment on conformity with the sustainable forest management standard;
2. comply with the sustainable forest management standard;
3. provide full co-operation and assistance in responding effectively to all requests from the group entity or certification body for relevant data, documentation or other information;

4. allow access to their forest and other facilities, whether in connection with formal audits or reviews or otherwise;
5. implements relevant corrective and preventive actions established by the group entity.

**Finding**

The Assessor finds the **Group Certification Model** to be **IN CONFORMANCE** with PEFC requirements with **No Nonconformity** identified.

## **8. Chain of Custody Standard**

PEFC Canada has adopted in full and without modification the PEFC Council International Standard PEFC ST 2002:2013 (Second edition) - Chain of Custody of Forest Based Products: Requirements.

### **Finding**

The Assessor finds that the **Chain of Custody Standard** to be **IN CONFORMANCE** with PEFC requirements with **No Nonconformity** identified.

## **9. Implementation of PEFC Logo Usage**

PEFC Canada has adopted the rules and guidance set out in PEFC Council's International Standard ST 2001:2008 v2 Logo Usage Rules – Requirements and it will be followed by all certificate holders. PEFC Canada is recognized as the appropriate 3<sup>rd</sup> party licensing authority in the Canada.

### **Finding**

The Assessor finds the **Logo Usage Rules** to be **IN CONFORMANCE** to PEFC requirements with **No Nonconformity** identified.

## **10. Certification and Accreditation Arrangements**

PEFC Canada has adopted PEFC Council Annex 6: Certification and Accreditation Procedures and PEFC International Standard ST 2003:2012 (Second edition) Requirements for Certification Bodies operating Certification against the PEFC International Chain of Custody Standard. PEFC certifications shall be carried out by impartial, independent third parties that cannot be involved in the standard setting process as governing or decision-making bodies, or in the forest management and are independent of the certified entity.

Certification bodies carrying out certification audits in Canada must demonstrate technical competence with regard to the method of procurement and processing timber and forest based products. Compliance with these and other requirements will be verified by the national accreditation body which is a part of the IAF umbrella or a member of IAF's special recognition groups. Certification bodies wishing to carry out certification must meet criteria defined in ISO/IEC 17021:2015 for management systems and ISO/IEC 17065:2012 for Chain of custody.

Auditors must demonstrate adequate knowledge of the CSA SFM Standard and have general knowledge of forest management and its environmental impacts. They must also fulfill general criteria for quality and environmental management systems auditors as defined in ISO 19011.

**Finding**

The Assessor finds the **Certification and Accreditation Procedures** to be **IN CONFORMANCE** with PEFC requirements with **No Nonconformity** identified.

**11. Complaints and Disputes Resolution Procedures**

The CSA SFM Standard states that complaints and appeals pertaining to a PEFC endorsed standard will be addressed by the relevant certification body (CB). Every accredited CSA SFM Standard CB is required by the Standard to “document and implement procedures to address appeals of CB decisions related to certification, identification of non-conformity, acceptance of corrective actions, and the award, suspension or withdrawal of certificates.”

Complaints and appeals of the certification process or of CBs will be directed to the Accreditation Body (AB). Complaints and appeals that cannot be handled by the CB or AB, or the standards development organization will be addressed by PEFC Canada.

**Finding**

The Assessor finds the **Complaints and Dispute Resolution Procedures** to be **IN CONFORMANCE** with PEFC requirements with **No Nonconformity** identified.

## **Annex 1: PEFC Standard Requirements Checklist**

### **Purpose**

The following standard checklists are included as part of PEFC GD 1007-01:2012. They were utilized by the Assessor to aid and provide detailed analysis of conformity to the PEFC Council requirements for the PEFC Canada Scheme endorsement process.

### **Methodology**

The checklists are in tabular form and divided usually into 3 or 4 columns. The first column on the left documents the standard criteria and poses the question of conformance. For Part I: Standard and System Requirement Checklist for standard setting (PEFC ST 1001:2010) – the first column on the left documents the standard criteria and poses the question of conformity to the requirement. The second column from the left denotes either Process or Procedure. The third column denotes either YES or NO with regard to conformance to PEFC requirements and at times N/A if the criteria is not applicable to the scheme. The final column on the right is the Assessors detailed reference to the submitted standard revision documentation and where required, commentary on the requirement by the Assessor.

For all other checklists (Parts II to VI) the first column on the left references the standard criteria and poses the question of conformance. The second column from the left denotes either YES or NO with regard to conformance to PEFC requirements and at times N/A if the criteria is not applicable to the EFCS scheme. The final column on the right is the Assessors detailed reference to the provided scheme revision documentation.

Criteria that were found to be in conformance to the PEFC Council International Benchmark Standards are indicated with a black YES and **CONFORMITY**. Those criteria found to have a minor non-conformity and do not violate the integrity of the certification system are denoted with a red NO and **NONCONFORMITY**. In case of a major non-conformity, which violates the integrity of the certification system, and needs addressing immediately, the criteria were marked with a red NO and noted as a bold, red **MAJOR NONCONFORMITY**.

### **References, citations and descriptions of Scheme Documentation**

Under the References to Application Documents column the Assessor used the following procedure.

The first line of the reference starts with the attribution of the relevant document and section (e.g. CSA Z809, Section 6, CR 6.3). When supporting documentation indicate that requirements are met, citations from the standard are copied and follow the document attribution. These citations are placed in quotations and italicized (e.g., *“accredited*

*certification bodies ...*). In instances when the Assessor captures the findings in his own words the citations are not placed in quotations or italicized and in Times New Roman font.

### **Legend**

“Yes/No” Column

YES – assessment shows **CONFORMITY** with PEFC International Benchmark

Standards

**NO** – assessment shows **NONCONFORMITY** to the PEFC International Benchmark Standards

**NO Major Non-conformance-** assessment shows **MAJOR NONCONFORMITY** to PEFC International Benchmark Standards

N/A – not applicable

“Reference to Application Documents” Column

“*Black*” – quotations from the PEFC standard documents placed in italics

Black – Assessor evaluations or overarching comments

### **Use of Fonts:**

*Italicized Calibri Text* - Indicates direct quotes from PEFC Canada supplied documentation for assessment.

Times New Roman - Indicates Assessor Comments

**2014-05-06**

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## **PEFC Standard and System Requirement Checklist**



**PEFC Council**

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**Document name:** PEFC Standard and System Requirement Checklist

**Document title:** PEFC IGD 1007-01:2012

**Approved by:** PEFC Board of Directors

**Date:** 2012-11-16

**Issue date:**

**Date of entry into force:** 2012-11-16

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## **1 Purpose**

The purpose of this Informative Guide is to assist the assessment against the PEFC Council's core documents as listed in chapter 5 of PEFC GD 1007:2012.

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

## Part I: Standard and System Requirement 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*	YES /NO*	Reference to application documents
<b>Standardising Body</b>			
4.1 The standardising body shall have written procedures for standard-setting activities describing:			
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	YES	CAN/CSA-Z809-16  From the preface for the Standard CAN/CSA-Z809-16 Sustainable forest management: <i>“The Standard was developed by the Canadian Standards Association (CSA) and is a National Standard of Canada for sustainable forest management, approved by the Standards Council of Canada. This Standard was prepared by the Technical Committee on Sustainable Forest Management, and is responsible for consensus building.”</i>  <b>CONFORMITY</b>
b) the record-keeping procedures,	Procedures	YES	CSA-SDP-2.1-14 CSA Directives and guidelines governing standardization Part 1: Participants and organizational structure - Sept 2014 Available at <a href="#">CSA-SDP-2.1-14</a>  <i>“Annex C Official Records C.1 Records management C.1.1 General This annex defines criteria</i>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>intended to ensure that all necessary records are retained to document the status and authority of committees and the operation of committees while, at the same time, keeping storage needs to a minimum.</i></p> <p><i>C.1.2 Staff responsibility</i>  <i>CSA staff shall ensure that appropriate records of membership and committee activity are produced and retained in accordance with internal operating procedures.</i></p> <p><i>C.1.3 Committee secretary responsibility</i>  <i>In cases where the committee secretary is not CSA staff, he/she shall ensure that meeting notices, agendas, minutes, and membership information distributed to the committee are copied to CSA staff for the record.”</i></p> <p><i>CSA-SDP-2.2 14 CSA Directives and guidelines governing standardization, Part 2: Development process – September 2014</i>  Available at <a href="#">CSA-SDP-2.2-14</a></p> <p><i>“Clause 7.3.10 Minutes of meetings</i>  <i>7.3.10 Minutes of meetings</i>  <i>7.3.10.1 General</i>  <i>7.3.10.1.1 Formal minutes should be prepared and issued as soon as possible after a meeting. They should be concise and in plain language.”</i></p> <p><b>CONFORMITY</b></p>
c) the procedures for balanced representation of stakeholders,	Procedures	YES	<p>CSA-SDP-2.1-14</p> <p><i>“Clause 3.3 Committee composition (matrix)</i>  <i>3.3.1 Matrices and interest categories</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>The composition (matrix) of SSCs and TCs shall be set with the objective of ensuring that all points of view pertinent to the subject matter are represented in reasonable proportion, and that any lack of balance of representation is immediately apparent.</i></p> <p><i>3.3.4 Balance of representation</i></p> <p><i>3.3.4.1 The actual number of voting members in any one interest category shall not be more than the sum of the actual number of voting members in the two smallest interest categories.”</i></p> <p>File No.: S2025 Technical Committee on Sustainable Forest Management Terms of Reference</p> <p><i>“Section 3.5 Membership Categories</i>  <i>The Committee shall strive to have membership that provides reasonable geographic representation across Canada. Committee members shall be assigned to one of the following categories (which represent the elements of Sustainable Development components i.e. (Environmental, Social, and Economic Interests) based on their predominant interest in the development of sustainable forest management systems as detailed in Clause 2.1 of these terms of reference...)”</i></p> <p><b>CONFORMITY</b></p>
d) the standard-setting process,	Procedures	YES	<p>CSA-SDP-2.1-14</p> <p><i>“Section 3 Development stages</i>  <i>All CSA Standards shall be developed and published through the CSA consensus development process in accordance with</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>Clauses 4 to 11.”</i></p> <p>The assessor verifies that the standard setting process is well documented in CSA-SDP-2.1-14.</p> <p><b>CONFORMITY</b></p>
<p>e) the mechanism for reaching consensus, and</p>	<p>Procedures</p>	<p>YES</p>	<p>CSA-SDP-2.1-14</p> <p><i>“Section 2 Definitions and abbreviations</i>  <i>2.1 Definitions</i>  <i>Consensus — substantial agreement.</i>  <i>Consensus implies much more than a simple majority, but not necessarily unanimity.</i>  <i>Consensus process — the development and approval procedures followed to achieve consensus. A consensus process includes applying the following four principles underlying consensus processes: a) inclusive, not exclusive, participation; b) respect for diverse interests; c) accountability; and d) consensus achievement.”</i></p> <p><i>“Section 7 Consensus Building Stage</i>  <i>7.2 Technical content of the draft</i>  <i>7.2.5 All decisions regarding technical content shall be by consensus. Consensus of the TC on the technical content is confirmed by ballot or recorded vote.”</i></p> <p><b>CONFORMITY</b></p>
<p>f) revision of standards/normative documents.</p>	<p>Procedures</p>	<p>YES</p>	<p>CSA-SDP-2.1-14</p> <p><i>“Stage 7 Maintenance Stage</i>  <i>12.4 Systematic review of CSA Standards</i>  <i>12.4.1 General A CSA Standard shall be reviewed at least every 5 years by the responsible TC. Adopted or endorsed CSA</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>Standards shall also be reviewed as indicated in Clauses 12.4.3.2 and 12.4.4.3. The result of the review shall be a decision to a) reaffirm the Standard; b) prepare a new edition or amendment; or c) withdraw the Standard."</i></p> <p><b>CONFORMITY</b></p>
<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.</p>	Procedures	YES	<p>The CSA Group website provides publicly available information on <a href="#">How Standards Are Developed</a>. The website includes information on <a href="#">How to Get Involved</a> in participating in and commenting on standards development. In addition, the <i>CSA Directives &amp; Guidelines (SDP 2.1-14, SDP-2.2-14 &amp; SDP-2.3-14)</i> describe the standard setting procedures and are publicly available on the <a href="#">CSA Group website</a>. <i>Clause 0.2</i> in each of these documents invites proposals for changes to the Directives &amp; Guidelines through written submission to the Secretary of the CSA Standards Policy Board.</p> <p><b>CONFORMITY</b></p>
	Process	YES	<p>The CSA Group website provides publicly available information on <a href="#">How Standards Are Developed</a>. The website includes information on <a href="#">How to Get Involved</a> in participating in and commenting on standards development. In addition, the <i>CSA Directives &amp; Guidelines (SDP 2.1-14, SDP-2.2-14 &amp; SDP-2.3-14)</i> describe the standard setting procedures and are publicly available on the <a href="#">CSA Group website</a>. <i>Clause 0.2</i> in each of these documents invites proposals for changes to the Directives &amp; Guidelines through written</p>



Question	Assess. basis*	YES /NO*	Reference to application documents
			submission to the Secretary of the CSA Standards Policy Board.  <b>CONFORMITY</b>
<p>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.</p>	Procedures	YES	<p>CSA-SDP-2.1-14 CSA Directives and guidelines governing standardization Part 1: Participants and organizational structure - Sept 2014            Available at <a href="#">CSA-SDP-2.1-14</a>  <i>"Annex C Official Records</i>  <i>C.1 Records management</i>  <i>C.1.1 General This annex defines criteria intended to ensure that all necessary records are retained to document the status and authority of committees and the operation of committees while, at the same time, keeping storage needs to a minimum.</i>  <i>C.1.2 Staff responsibility</i>  <i>CSA staff shall ensure that appropriate records of membership and committee activity are produced and retained in accordance with internal operating procedures.</i>  <i>C.1.3 Committee secretary responsibility</i>  <i>In cases where the committee secretary is not CSA staff, he/she shall ensure that meeting notices, agendas, minutes, and membership information distributed to the committee are copied to CSA staff for the record."</i></p> <p>CSA-SDP-2.2 14 CSA Directives and guidelines governing standardization, Part 2: Development process – September 2014            Available at <a href="#">CSA-SDP-2.2-14</a>   <i>"Clause 7.3.10 Minutes of meetings</i>  <i>7.3.10 Minutes of meetings</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p>7.3.10.1 General</p> <p>7.3.10.1.1 Formal minutes should be prepared and issued as soon as possible after a meeting. They should be concise and in plain language.”</p> <p><b>CONFORMITY</b></p>
	Process	YES	<p>The CSA Group website provides publicly available information on <a href="#">How Standards Are Developed</a>. The website includes information on <a href="#">How to Get Involved</a> in participating in and commenting on standards development. In addition, the <i>CSA Directives &amp; Guidelines (SDP 2.1-14, SDP-2.2-14 &amp; SDP-2.3-14)</i> describe the standard setting procedures and are publicly available on the <a href="#">CSA Group website</a>. <i>Clause 0.2</i> in each of these documents invites proposals for changes to the Directives &amp; Guidelines through written submission to the Secretary of the CSA Standards Policy Board.</p> <p>In addition, the document entitled “Z809 Response to Commentators” provides detail on the comments received and how the TC addressed them.</p> <p>The minutes of the five meetings and two conference calls of the Technical Committee on Sustainable Forest Management were created and are retained as a permanent record of the process to develop the CAN/CSA-Z809-16 standard. They are available upon request from CSA.</p> <p><b>CONFORMITY</b></p>
4.4 The standardising body shall establish a permanent or temporary working group/committee	Procedures	YES	CSA Sustainable Forest Management Technical Committee

Question	Assess. basis*	YES /NO*	Reference to application documents
responsible for standard-setting activities.			<p><i>“Background</i></p> <p><i>History of the Sustainable Forest Management (SFM) Technical Committee</i></p> <p><i>In 1995 the Canadian Council of Forest Ministers (CCFM) produced a national framework of criteria and indicators, based on international agreement about sustainable management of the world’s temperate and boreal forests, to help track the nation’s progress in achieving Sustainable Forest Management (SFM) CSA was then asked to develop a voluntary SFM Standard for Canada based on the CCFM framework. As a result, the CSA TC for SFM was formed with a balanced matrix and consensus based decision making structure. The Z809 SFM Standard was first published in 1996 following over a year of extensive public participation and development by the TC. This Standard has been maintained in an open public process by the Technical Committee and has been updated and improved twice since its original publication in 1996. The 2008 version of the standard has been reaffirmed by TC ballot vote in February 2013 and remains valid for three years. “</i></p> <p><b>CONFORMITY</b></p>
	Process	YES	<p>The assessor notes that the Technical Committee Terms of Reference document is indicative of the process that CSA followed for establishing the TC. This is further reflected in the CSA Technical Committee – Executive Committee document which contains the TC members and their</p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			affiliations. <b>CONFORMITY</b>
4.4 The working group/committee shall:			
a) be accessible to materially and directly affected stakeholders,	Procedures	YES	<p>CSA-SDP-2.1-14</p> <p><i>“Clause 3 Membership categories</i></p> <p><i>The TC on SFM follows an accredited consensus-based standards development process, which features balanced representation. This TC is composed of four voting membership interest categories, as listed below:</i></p> <p><i>a) Producer Interest (PI) - this category shall include those who are predominantly involved in production (i.e. growing of trees and/or manufacture of wood products), promotion, retailing, or distribution of the subject products(s), materials(s), or service(s);</i></p> <p><i>(b) Environment &amp; General Interest (GI) - this category shall include those who predominantly represent the interests of non-government environmental organizations, consumers, labour and other stakeholders;</i></p> <p><i>(c) Academic and Professional Practitioners Interest (AC) - this category shall include those professionals involved with post-secondary educational institutions and other research organizations; and</i></p> <p><i>(d) Aboriginal Peoples, Governments and Regulatory Authorities Interest (GR) - this category shall include those who are predominantly involved in establishing government policy and regulating the use of the subject product(s), material(s), or</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p>service(s).</p> <p><i>In addition to the four membership interest categories, the TC has non-voting Associate members. Associate members may include the following:</i></p> <p><i>a) representatives of other recognized standards development organizations (SDO);</i></p> <p><i>b) individuals selected for their technical ability and experience to give advice and assistance to the TC when they cannot be designated voting members (e.g., because the matrix is full);</i></p> <p><i>c) representatives of conformity assessment organizations; and</i></p> <p><i>d) other CSA staff.</i></p> <p><i>Clause 4 Participation and responsibilities</i></p> <p><i>4.2.3 Stakeholders</i></p> <p><i>Stakeholders shall be identified at the beginning of a project. They shall be provided with the opportunity to participate... In addition to participating committee members, additional stakeholders may be identified at various stages in the process for the purpose of consultation and public review."</i></p> <p><b>CONFORMITY</b></p>
	Process	YES	<p>The assessor notes that File No.: S2025 Technical Committee on Sustainable Forest Management Terms of Reference describes the committee structure and how affected stakeholders are represented. In addition, it is noted the Technical Committee interest categories were expanded beyond the normal CSA categories as follows:</p> <ul style="list-style-type: none"> <li>• Aboriginal Peoples are specifically recognized to reflect the importance of</li> </ul>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p>forests to Canadian Aboriginal communities and the protection of Aboriginal and treaty rights enshrined in the Canadian Constitution.</p> <ul style="list-style-type: none"> <li>• Academic and professional practitioners' interest reflects the important role higher education and research institutions play in advancing and improving sustainable forest management.</li> <li>• The addition of environmental interests to general interests reflects the overall role forests play in protecting the broader environment.</li> </ul> <p>This is evident in the CSA SFM Technical Committee - Executive Committee document which shows the TC composition and affiliations.</p> <p><b>CONFORMITY</b></p>
<p>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</p>	<p>Procedures</p>	<p>YES</p>	<p>C SA-SDP-2.1-14</p> <p><i>Clause 3 Committee structure and composition (matrix)</i></p> <p><i>3.3 Committee composition (matrix)</i></p> <p><i>3.3.1 Matrices and interest categories</i></p> <p><i>The composition (matrix) of SSCs and TCs shall be set with the objective of ensuring that all points of view pertinent to the subject matter are represented in reasonable proportion, and that any lack of balance of representation is immediately apparent.</i></p> <p><i>3.3.2 Minimum and maximum</i></p> <p><i>The matrix shall stipulate the minimum and maximum numbers of voting members for each interest category and shall be established on the basis of the following principles: a) the matrix shall provide for a</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>reasonable balance of representation; and b) the chair shall be considered part of the matrix. Note: An appropriate balance of representation is determined in each individual case, depending on the subject, purpose, and application of the proposed program of work.</i></p> <p><i>3.3.3 Interest categories</i></p> <p><i>3.3.3.1 A committee matrix shall comprise interest categories appropriate for the committee's scope and shall be consistent with Clause 3.3.1.</i></p> <p><i>3.3.3.2 For many committees responsible for CSA Standards specifying requirements for products, most materials, and some services, the following interest categories are suitable: a) Producer interest — those who are predominantly involved in production (i.e., manufacture), promotion, retailing, or distribution of the subject product(s), material(s), or service(s). b) User interest — those who predominantly represent consumer interests or end users of the subject product(s), material(s), or service(s), and who are not involved in any way in production or distribution of the subject product(s), material(s), or service(s). c) Regulatory authority — those who are predominantly involved in regulating the use of the subject product(s), material(s), or service(s). d) General interest — those who are not associated with production, distribution, direct use, or regulation of the subject product(s), material(s), or service(s) but who have demonstrated relevant expertise or credentials. This category may include representatives of academic and scientific interests.</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>3.3.3.3 Different descriptions of interest categories or categories additional to the above, or both, may be required. Where required, explanatory comments and/or direction shall be provided under each interest category heading to define more clearly those who should be included in that specific interest category. This information shall be documented in the committee's terms of reference.</i></p> <p><i>3.3.4 Balance of representation</i></p> <p><i>3.3.4.1 The actual number of voting members in any one interest category shall not be more than the sum of the actual number of voting members in the two smallest interest categories.</i></p> <p><i>3.3.4.2 Whenever balance of representation is not met, the situation should be rectified promptly. representation when a ballot or recorded vote is taken. and Clause 3.3.7 Criteria for approval of a matrix describe the procedures for balancing representation and decision making in a way where a single interest cannot dominate.”</i></p> <p><b>CONFORMITY</b></p>
	Process	YES	<p>The assessor notes that File No.: S2025 Technical Committee on Sustainable Forest Management Terms of Reference describes the committee structure and how affected stakeholders are represented. In addition, it is noted the Technical Committee interest categories were expanded beyond the normal CSA categories as follows:</p> <ul style="list-style-type: none"> <li>• Aboriginal Peoples are specifically recognized to reflect the importance of forests to Canadian Aboriginal communities and the protection of Aboriginal and treaty rights enshrined</li> </ul>



Question	Assess. basis*	YES /NO*	Reference to application documents
			<p>in the Canadian Constitution.</p> <ul style="list-style-type: none"> <li>• Academic and professional practitioners' interest reflects the important role higher education and research institutions play in advancing and improving sustainable forest management.</li> <li>• The addition of environmental interests to general interests reflects the overall role forests play in protecting the broader environment.</li> </ul> <p>This is evident in the CSA SFM Technical Committee - Executive Committee document which shows the TC composition and affiliations.</p> <p><b>CONFORMITY</b></p>
<p>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.</p>	<p>Procedures</p>	<p>YES</p>	<p>CSA-SDP-2.1-14</p> <p><i>Clause 3 Committee structure and composition (matrix)</i></p> <p><i>3.3 Committee composition (matrix)</i></p> <p><i>3.3.1 Matrices and interest categories</i></p> <p><i>The composition (matrix) of SSCs and TCs shall be set with the objective of ensuring that all points of view pertinent to the subject matter are represented in reasonable proportion, and that any lack of balance of representation is immediately apparent.</i></p> <p><i>3.3.2 Minimum and maximum</i></p> <p><i>The matrix shall stipulate the minimum and maximum numbers of voting members for each interest category and shall be established on the basis of the following principles: a) the matrix shall provide for a reasonable balance of representation; and b) the chair shall be considered part of the matrix. Note: An appropriate balance of representation is determined in each individual case, depending on the subject, purpose, and application of the proposed program of work.</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>3.3.3 Interest categories</i></p> <p><i>3.3.3.1 A committee matrix shall comprise interest categories appropriate for the committee's scope and shall be consistent with Clause 3.3.1.</i></p> <p><i>3.3.3.2 For many committees responsible for CSA Standards specifying requirements for products, most materials, and some services, the following interest categories are suitable: a) Producer interest — those who are predominantly involved in production (i.e., manufacture), promotion, retailing, or distribution of the subject product(s), material(s), or service(s). b) User interest — those who predominantly represent consumer interests or end users of the subject product(s), material(s), or service(s), and who are not involved in any way in production or distribution of the subject product(s), material(s), or service(s). c) Regulatory authority — those who are predominantly involved in regulating the use of the subject product(s), material(s), or service(s). d) General interest — those who are not associated with production, distribution, direct use, or regulation of the subject product(s), material(s), or service(s) but who have demonstrated relevant expertise or credentials. This category may include representatives of academic and scientific interests.</i></p> <p><i>3.3.3.3 Different descriptions of interest categories or categories additional to the above, or both, may be required. Where required, explanatory comments and/or direction shall be provided under each interest category heading to define more clearly those who should be included in that specific interest category. This information shall be documented in the committee's terms of reference.</i></p> <p><i>3.3.4 Balance of representation</i></p> <p><i>3.3.4.1 The actual number of voting members in</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>any one interest category shall not be more than the sum of the actual number of voting members in the two smallest interest categories.</i></p> <p><i>3.3.4.2 Whenever balance of representation is not met, the situation should be rectified promptly. representation when a ballot or recorded vote is taken. and Clause 3.3.7 Criteria for approval of a matrix describe the procedures for balancing representation and decision making in a way where a single interest cannot dominate.”</i></p> <p>CSA-SDP-2.1-14</p> <p><i>“Clause 3 Membership categories</i></p> <p><i>The TC on SFM follows an accredited consensus-based standards development process, which features balanced representation. This TC is composed of four voting membership interest categories, as listed below:</i></p> <p><i>a) Producer Interest (PI) - this category shall include those who are predominantly involved in production (i.e. growing of trees and/or manufacture of wood products), promotion, retailing, or distribution of the subject products(s), materials(s), or service(s);</i></p> <p><i>(b) Environment &amp; General Interest (GI) - this category shall include those who predominantly represent the interests of non-government environmental organizations, consumers, labour and other stakeholders;</i></p> <p><i>(c) Academic and Professional Practitioners Interest (AC) - this category shall include those professionals involved with post-secondary educational institutions and other research organizations; and</i></p> <p><i>(d) Aboriginal Peoples, Governments and Regulatory Authorities Interest (GR) - this category shall include those who are predominantly involved in establishing government policy and regulating the use of the</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>subject product(s), material(s), or service(s). In addition to the four membership interest categories, the TC has non-voting Associate members. Associate members may include the following:</i></p> <p><i>a) representatives of other recognized standards development organizations (SDO);</i></p> <p><i>b) individuals selected for their technical ability and experience to give advice and assistance to the TC when they cannot be designated voting members (e.g., because the matrix is full);</i></p> <p><i>c) representatives of conformity assessment organizations; and</i></p> <p><i>d) other CSA staff.</i></p> <p><i>Clause 4 Participation and responsibilities</i></p> <p><b>4.2.3 Stakeholders</b></p> <p><i>Stakeholders shall be identified at the beginning of a project. They shall be provided with the opportunity to participate... In addition to participating committee members, additional stakeholders may be identified at various stages in the process for the purpose of consultation and public review."</i></p> <p><b>CONFORMITY</b></p>
	Process	YES	<p>The assessor notes that File No.: S2025 Technical Committee on Sustainable Forest Management Terms of Reference describes the committee structure and how affected stakeholders are represented. In addition, it is noted the Technical Committee interest categories were expanded beyond the normal CSA categories as follows:</p> <ul style="list-style-type: none"> <li>• Aboriginal Peoples are specifically recognized to reflect the importance of forests to Canadian Aboriginal communities and the protection of Aboriginal and treaty rights enshrined in the Canadian Constitution.</li> <li>• Academic and professional</li> </ul>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p>practitioners’ interest reflects the important role higher education and research institutions play in advancing and improving sustainable forest management.</p> <ul style="list-style-type: none"> <li>• The addition of environmental interests to general interests reflects the overall role forests play in protecting the broader environment.</li> </ul> <p>This is evident in the CSA SFM Technical Committee - Executive Committee document which shows the TC composition and affiliations.</p> <p><b>CONFORMITY</b></p>
<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.</p>	<p>Procedures</p>	<p>YES</p>	<p>CSA-SDP-1-03 CSA Policy governing standardization — Code of good practice for standardization</p> <p><i>“Section 4 Policies Clause 4.3 Development Process 4.3.17 Appeals It is CSA policy to accept applications for appeals. The Standards Policy Board provides the ultimate forum for standards development dispute resolution. All appeals of this nature shall be submitted in writing to the Secretary, Standards Policy Board.”</i></p> <p>The assessor notes that CSA-SDP-2.2 14 CSA Directives and guidelines governing standardization, Part 2: Development process – September 2014 Annex A Appeals and Complaints has detailed procedures for dealing with substantive and procedural complaints relating to the standardising activities. This document is publicly available.</p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p>An excerpt from Annex A:</p> <p><i>"A.2.3 Processing a procedural appeal</i>  <i>A.2.3.1</i>  <i>On receipt of an appeal, the Secretary, SPB, shall advise the appropriate SSC chair or TC chair, or both, and request copies of documents to be submitted within 21 days, showing all action taken in relation to the subject of the appeal.</i>  <i>A.2.3.2</i>  <i>The Secretary, SPB, shall review available documentation and, through discussion with the project manager, appellant, and other parties as appropriate, recommend a course of action acceptable to the parties involved."</i></p> <p><b>CONFORMITY</b></p>
	Process	NA	<p>The assessor notes that no appeals or complaints were received during the development of CAN/CSA-Z809-16.</p> <p><b>NOT APPLICABLE</b></p>
4.5 Upon receipt of the complaint, the standard-setting body shall:			
a) acknowledge receipt of the complaint to the complainant,	Procedures	YES	<p>CSA-SDP-2.2 14</p> <p><i>"Appendix A</i>  <i>A.2 Procedural appeals</i>  <i>A.2.3 Processing a procedural appeal</i>  <i>A.2.3.1 On receipt of an appeal, the Secretary, SPB, shall advise the appropriate SSC chair or TC chair, or both, and request copies of documents to be submitted within 21 days, showing all action taken in relation to the subject of the appeal.</i>  <i>A.2.3.2 The Secretary, SPB, shall review available documentation and, through discussion with the project manager, appellant, and other parties as appropriate,</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<i>recommend a course of action acceptable to the parties involved.”</i>  <b>CONFORMITY</b>
	Process	NA	The assessor notes that no appeals or complaints were received during the development of CAN/CSA-Z809-16.  <b>NOT APPLICABLE</b>
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	YES	CSA-SDP-2.2 14  <i>“Appendix A            A.2 Procedural appeals            A.2.3 Processing a procedural appeal            A.2.3.1 On receipt of an appeal, the Secretary, SPB, shall advise the appropriate SSC chair or TC chair, or both, and request copies of documents to be submitted within 21 days, showing all action taken in relation to the subject of the appeal.            A.2.3.2 The Secretary, SPB, shall review available documentation and, through discussion with the project manager, appellant, and other parties as appropriate, recommend a course of action acceptable to the parties involved.”</i>  <b>CONFORMITY</b>
	Process	NA	The assessor notes that no appeals or complaints were received during the development of CAN/CSA-Z809-16.  <b>NOT APPLICABLE</b>
c) formally communicate the decision on the complaint and of the complaint handling process to the complainant.	Procedures	YES	CSA-SDP-2.2 14  <i>“Appendix A            A.2 Procedural appeals            A.2.3.6 The Secretary, SPB, shall notify the</i>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>appellant of the decision of the SPB and shall refer the decision to the appropriate CSA staff for implementation.</i></p> <p><i>A.3 Appeals concerning a negative vote ruled nongermane</i></p> <p><i>A.3.1.2 The project manager shall notify the appellant of the SSC decision.”</i></p> <p><b>CONFORMITY</b></p>
	Process	NA	<p>The assessor notes that no appeals or complaints were received during the development of CAN/CSA-Z809-16.</p> <p><b>NOT APPLICABLE</b></p>
<p>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.</p>	Procedures	YES	<p>CSA-SDP-2.2 14</p> <p><i>“Appendix A</i></p> <p><i>A.2 Procedural appeals</i></p> <p><i>A.2.1.1 Any individual who believes that a CSA Standard is being prepared by procedures that do not conform to the Directives and guidelines may appeal to the SPB for a review of the project.</i></p> <p><i>A.3 Appeals concerning a negative vote ruled nongermane</i></p> <p><i>A.3.1.1 If a negative vote at the TC level has been ruled nongermane, the voter may appeal this decision in writing to the project manager of the SSC within 30 days of the notice required in Clause 9.6.6. The SSC shall give consideration to this appeal and shall make a recommendation(s) concerning the nongermane decision and provide suitable guidance to the TC chair.</i></p> <p><i>A.4 Appealing a CSA decision regarding participation</i></p> <p><i>A.4.1 Decisions regarding CSA’s participation in, or withdrawal from, the</i></p>



Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>development or maintenance of any CSA Standard are normally made in concert with the appropriate SSC; however, all final decisions are under the jurisdiction of CSA management. The authority to publish a CSA Standard has been delegated to the Executive Director, Standards, by the Board of Directors. Appeals of this nature are not considered part of the development process. They shall be submitted in writing to the CSA Corporate Secretary.</i></p> <p><i>A.4.2 The CSA Corporate Secretary shall discuss the matter with the Executive Director, Standards, and respond to the appellant in writing within 21 days.”</i></p> <p><b>CONFORMITY</b></p>
<b>Standard-setting process</b>			
<p>5.1 The standardising body shall identify stakeholders relevant to the objectives and scope of the standard-setting work.</p>	<p>Procedures</p>	<p>YES</p>	<p>CSA-SDP-2.1-14</p> <p><i>Section 3, Clause 3.3</i></p> <p><i>3.3.1 Matrices and interest categories. The composition (matrix) of SSCs and TCs shall be set with the objective of ensuring that all points of view pertinent to the subject matter are represented in reasonable proportion, and that any lack of balance of representation is immediately apparent.</i></p> <p><i>Section 4, Clause 4.2</i></p> <p><i>4.2.3 Stakeholders shall be identified at the beginning of a project. They shall be provided with the opportunity to participate in accordance with Clauses 3.3.4 and 3.3.5. In addition to participating committee members, additional stakeholders may be identified at various stages in the process for the purpose of consultation and public</i></p>

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			<p>review.</p> <p><i>Section 7 Technical committees (TCs)</i>  <i>Clause 7.1 Scope</i>  <i>This clause describes the procedures for establishing and maintaining technical committees (TCs), including preparation of their terms of reference and defining their structure and membership, and procedures for merging or disbanding TCs.</i></p> <p><i>Section 9 Other committees and councils</i>  <i>Clause 9.1 Scope</i>  <i>This clause describes the roles and responsibilities of task forces (TFs), peer groups, the Second Level Review committee, and advisory councils.</i></p> <p><i>9.2 Task forces (TFs)</i>  <i>9.2.1 A committee or CSA staff may establish a TF for specific assignments (e.g., to study specific problems, create draft seed material, etc.) as required. TFs may include individuals having expertise not available within the committee. The TF shall continue to exist only until that assignment is completed.”</i></p> <p>CSA-SDP-2.2-14</p> <p><i>“Stage 1 Evaluation Stage</i>  <i>Section 5 Evaluation, authorization, and public notice</i>  <i>Clause 5.5.1 requires that “Public notice of the intent to develop a CSA Standard (see Clause 5.5.2) is given to expand consultation and improve input early in the process by allowing unidentified stakeholders the opportunity to request participation, to offer their comments, or to otherwise keep abreast of the progress of the CSA Standard.”</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
	Process	YES	<p><b>CONFORMITY</b></p> <p>The assessor notes that File No.: S2025 Technical Committee on Sustainable Forest Management Terms of Reference describes the committee structure and how affected stakeholders are represented. In addition, it is noted the Technical Committee interest categories were expanded beyond the normal CSA categories as follows:</p> <ul style="list-style-type: none"> <li>• Aboriginal Peoples are specifically recognized to reflect the importance of forests to Canadian Aboriginal communities and the protection of Aboriginal and treaty rights enshrined in the Canadian Constitution.</li> <li>• Academic and professional practitioners’ interest reflects the important role higher education and research institutions play in advancing and improving sustainable forest management.</li> <li>• The addition of environmental interests to general interests reflects the overall role forests play in protecting the broader environment.</li> </ul> <p>This is evident in the CSA SFM Technical Committee - Executive Committee document which shows the TC composition and affiliations.</p> <p><b>CONFORMITY</b></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	YES	<p>CSA Group Z809 Sustainable Forest Management: Standard Setting Procedures Document September 23, 2015</p> <p>“Section 4 Enquiry Stage Clause 4.2. Providing opportunities for disadvantaged stakeholders to participate</p>

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			<p>in the review process:  <i>Disadvantaged stakeholders including those with limited access to the internet, are accommodated by ensuring their comments on the revised standard can be mailed to a representative who can manually upload their comments to the Public Review site, or made electronically available to the CSA Project Manager. In circumstances where there is no such representative, CSA accepts hand-written comments via mail. CSA has created a PDF of the document (for ease of access), and will ensure that a copy of the standard is mailed out to key stakeholders. Disadvantages stakeholders, including Technical Committee members with limited funds to attend the interactive meetings in person, are provided with funding opportunities by CSA group on a case by case basis.”</i></p> <p>SCC Canadian Standards Development Requirements &amp; Guidance – Accreditation of Standards Development Organizations 2015-10-01</p> <p><i>“Section 6 Consensus Requirements  6.3 Equal Access and Effective Canadian Participation to the Standards Development Process by Concerned Interests  The SDO shall ensure that: a) participation in standards development is accessible to affected stakeholders; and b) there is appropriate Canadian participation on technical committees. The SDO shall provide evidence of best efforts to address the challenges of finding resources for participation.  6.4 Balance of Interests</i></p>

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			<p><i>The SDO shall provide for balanced representation of interest categories in the development of standards. This representation shall reflect the Canadian interest. When consumer or public interest representation would provide the needed balance of interests, the SDO shall identify and make efforts to secure support for equal access and effective participation of such interests."</i></p> <p><b>CONFORMITY</b></p>
	Process	YES	<p>The assessor notes that File No.: S2025 Technical Committee on Sustainable Forest Management Terms of Reference describes the committee structure and how affected stakeholders are represented. In addition, it is noted the Technical Committee interest categories were expanded beyond the normal CSA categories as follows:</p> <ul style="list-style-type: none"> <li>• Aboriginal Peoples are specifically recognized to reflect the importance of forests to Canadian Aboriginal communities and the protection of Aboriginal and treaty rights enshrined in the Canadian Constitution.</li> <li>• Academic and professional practitioners' interest reflects the important role higher education and research institutions play in advancing and improving sustainable forest management.</li> <li>• The addition of environmental interests to general interests reflects the overall role forests play in protecting the broader environment.</li> </ul> <p>This is evident in the CSA SFM Technical Committee - Executive Committee document which shows the TC composition</p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			and affiliations. <b>CONFORMITY</b>
5.3 The standardising body shall make a public 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.	Procedures	YES	CSA-SDP-2.2-14 <i>“Stage 1, Section 5 Clause 5.5 Public notice of intent 5.5.1 General Public notice of the intent to develop or revise a CSA Standard (see Clause 5.5.2) is given to expand consultation and improve input early in the process by allowing unidentified stakeholders the opportunity to request participation, to offer their comments, or to otherwise keep abreast of the progress of the CSA Standard. 5.5.2 Notification Once the project has been authorized, CSA shall inform the public, by electronic means, of its intent to proceed with the development of a new CSA Standard, new edition, or amendment or its intent to reaffirm or withdraw a published CSA Standard. Interpretations do not require a public notice of intent.”</i> <b>CONFORMITY</b>
	Process	YES	The public announcement can be found at the following link on the CSA website: <a href="https://community.csagroup.org/community/sustainability/blog/2015/07/28/providing-comments-on-the-upcoming-sustainable-forestry-management-standard-z809">https://community.csagroup.org/community/sustainability/blog/2015/07/28/providing-comments-on-the-upcoming-sustainable-forestry-management-standard-z809</a> The public announcement can be found at the following link on the PEFC website: <a href="http://www.pefc.org/news-a-media/general-sfm-news/1548-csa-launches-the-revision-">http://www.pefc.org/news-a-media/general-sfm-news/1548-csa-launches-the-revision-</a>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><a href="#">of-its-pefc-endorsed-sustainable-forest-management-standard</a></p> <p>Additional examples of the public announcement can be found in the following screen shots provided by PEFC Canada:</p> <p>SCC Notice of Intent Sustainable forest management 2014-05-13 - public announcement on SCC website</p> <p>CSA Group Community CSA Z809 Revision: Feedback wanted Mar 24 2014– public announcement on CSA Group Communities website</p> <p>CSA Group LinkedIn CSA Z809 Revision: Feedback appreciated – public announcement on CSA Group LinkedIn page</p> <p><a href="https://community.csagroup.org/community/sustainability/blog/2015/07/28/providing-comments-on-the-upcoming-sustainable-forestry-management-standard-z809">https://community.csagroup.org/community/sustainability/blog/2015/07/28/providing-comments-on-the-upcoming-sustainable-forestry-management-standard-z809</a></p> <p>The assessor notes the document entitled “Public Review Email Campaign” contains the list of stakeholders and their affiliations and resulted in a broad distribution encouraging them to provide input during the public comment period.</p> <p>The following is an example from the email campaign:</p> <p><i>“From: Priya Patel [mailto:priya.patel@csagroup.org] Sent: August 4, 2015 2:21 PM Subject: Z809 is now available for Public Review</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>Hello SFM TC,</i></p> <p><i>The SFM Z809 Standard has been posted for public review and can be accessed using the following link:</i></p> <p><a href="http://publicreview.csa.ca/Home/Details/1707">http://publicreview.csa.ca/Home/Details/1707</a></p> <p><i>Please feel free to circulate this link, along with the attached Major Changes PDF to your network (attached above).</i></p> <p><i>Regards,</i></p> <p><i>Priya Patel</i></p> <p><i>Project Manager, Natural Resources, CSA Group</i></p> <p>See the Public Review Email Campaign document for detail on who was contacted and by whom.</p> <p><b>CONFORMITY</b></p>
5.3 The announcement and invitation shall include:			
a) information about the objectives, scope and the steps of the standard-setting process and its timetable,	Procedures	YES	<p>CSA-SDP-1-03</p> <p><i>“Stage 4, Section 4.3</i></p> <p><i>Clause 4.3.8 Notification of activities - CSA shall publicly announce its standards development activities, as appropriate, to afford interested persons or organizations an opportunity for meaningful contributions. This entails timely notification in suitable media of new, continuing, and completed standards development activities, and reporting on status changes.”</i></p> <p>CSA-SDP-2.2-14</p>



Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>“Stage 5, Section 5.5 Public notice of intent Clause 5.5.1 General - Public notice of the intent to develop or revise a CSA Standard (see Clause 5.5.2) is given to expand consultation and improve input early in the process by allowing unidentified stakeholders the opportunity to request participation, to offer their comments, or to otherwise keep abreast of the progress of the CSA Standard.</i></p> <p><i>Clause 5.5.2 Notification - Once the project has been authorized, CSA shall inform the public, by electronic means, of its intent to proceed with the development of a new CSA Standard, new edition, or amendment or its intent to reaffirm or withdraw a published CSA Standard. Interpretations do not require a public notice of intent.”</i></p> <p>The CSA Group website provides publicly available information on <a href="#">How Standards Are Developed</a>. The website includes information on <a href="#">How to Get Involved</a> in participating in and commenting on standards development. In addition, the <i>CSA Directives &amp; Guidelines (SDP 2.1-14, SDP-2.2-14 &amp; SDP-2.3-14)</i> describe the standard setting procedures and are publicly available on the <a href="#">CSA Group website</a>. <i>Clause 0.2</i> in each of these documents invites proposals for changes to the Directives &amp; Guidelines through written submission to the Secretary of the CSA Standards Policy Board.</p> <p><b>CONFORMITY</b></p>

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	Process	YES	<p>Screen shot from the PEFC Canada website (link below):</p> <p><i>“Canada's National Standard on Sustainable Forest Management, CAN/CSA-Z809, will undergo revision starting May 2014. The revision is led by the CSA Technical Committee on Sustainable Forest Management which develops and maintains the standard in an inclusive, balanced and consensus-based process. The Technical Committee is seeking feedback on the current CAN/CSA-Z809-08 (R2013) standard to assist with the revision process. If you are interested please complete the following survey at CAN/CSA Z809 Survey. The survey closes May 1, 2014. The revision of standards is a required element of the PEFC endorsement, which obliges national forest management standards to be revised regularly to ensure that they incorporate international requirements, latest knowledge and best practices, and new market and stakeholder requirements.”</i></p> <p><a href="http://www.pefc.org/news-a-media/general-sfm-news/1548-csa-launches-the-revision-of-its-pefc-endorsed-sustainable-forest-management-standard">http://www.pefc.org/news-a-media/general-sfm-news/1548-csa-launches-the-revision-of-its-pefc-endorsed-sustainable-forest-management-standard</a></p> <p>Additional examples of the public announcement can be found in the following screen shots provided by PEFC Canada:</p> <p>SCC Notice of Intent Sustainable forest management 2014-05-13 - public announcement on SCC website</p> <p>CSA Group Community CSA Z809 Revision: Feedback wanted Mar 24 2014– public announcement on CSA Group Communities website</p>

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			<p>CSA Group LinkedIn CSA Z809 Revision: Feedback appreciated – public announcement on CSA Group LinkedIn page</p> <p>The assessor notes the document entitled “Public Review Email Campaign” contains the list of stakeholders and their affiliations and resulted in a broad distribution encouraging them to provide input during the public comment period.</p> <p>The following is an example from the email campaign:</p> <p><i>“From: Priya Patel [mailto:priya.patel@csagroup.org] Sent: August 4, 2015 2:21 PM Subject: Z809 is now available for Public Review</i></p> <p><i>Hello SFM TC,</i></p> <p><i>The SFM Z809 Standard has been posted for public review and can be accessed using the following link: <a href="http://publicreview.csa.ca/Home/Details/1707">http://publicreview.csa.ca/Home/Details/1707</a></i></p> <p><i>Please feel free to circulate this link, along with the attached Major Changes PDF to your network (attached above).</i></p> <p><i>Regards,</i></p> <p><i>Priya Patel</i></p> <p><i>Project Manager, Natural Resources, CSA Group”</i></p> <p>See the Public Review Email Campaign document for detail on who was contacted</p>

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			and by whom. <b>CONFORMITY</b>
b) information about opportunities for stakeholders to participate in the process,	Procedures	YES	<p>CSA-SDP-1-03</p> <p><i>“Stage 4, Section 4.3 Clause 4.3.8 Notification of activities - CSA shall publicly announce its standards development activities, as appropriate, to afford interested persons or organizations an opportunity for meaningful contributions. This entails timely notification in suitable media of new, continuing, and completed standards development activities, and reporting on status changes.”</i></p> <p>CSA-SDP-2.2-14</p> <p><i>“Stage 5, Section 5.5 Public notice of intent Clause 5.5.1 General - Public notice of the intent to develop or revise a CSA Standard (see Clause 5.5.2) is given to expand consultation and improve input early in the process by allowing unidentified stakeholders the opportunity to request participation, to offer their comments, or to otherwise keep abreast of the progress of the CSA Standard. Clause 5.5.2 Notification - Once the project has been authorized, CSA shall inform the public, by electronic means, of its intent to proceed with the development of a new CSA Standard, new edition, or amendment or its intent to reaffirm or withdraw a published CSA Standard. Interpretations do not require a public notice of intent.”</i></p>

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			<p>participating in and commenting on standards development. In addition, the <i>CSA Directives &amp; Guidelines (SDP 2.1-14, SDP-2.2-14 &amp; SDP-2.3-14)</i> describe the standard setting procedures and are publicly available on the <a href="#">CSA Group website</a>. <i>Clause 0.2</i> in each of these documents invites proposals for changes to the Directives &amp; Guidelines through written submission to the Secretary of the CSA Standards Policy Board.</p> <p><b>CONFORMITY</b></p>
	Process	YES	<p>Screen shot from the PEFC Canada website (link below):</p> <p><i>“Canada's National Standard on Sustainable Forest Management, CAN/CSA-Z809, will undergo revision starting May 2014. The revision is led by the CSA Technical Committee on Sustainable Forest Management which develops and maintains the standard in an inclusive, balanced and consensus-based process. The Technical Committee is seeking feedback on the current CAN/CSA-Z809-08 (R2013) standard to assist with the revision process. If you are interested please complete the following survey at CAN/CSA Z809 Survey. The survey closes May 1, 2014. The revision of standards is a required element of the PEFC endorsement, which obliges national forest management standards to be revised regularly to ensure that they incorporate international requirements, latest knowledge and best practices, and new market and stakeholder requirements.”</i></p> <p><a href="http://www.pefc.org/news-a-media/general-sfm-news/1548-csa-launches-the-revision-of-its-pefc-endorsed-sustainable-forest-management-standard">http://www.pefc.org/news-a-media/general-sfm-news/1548-csa-launches-the-revision-of-its-pefc-endorsed-sustainable-forest-management-standard</a></p>

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			<p><a href="#">707</a></p> <p><i>Please feel free to circulate this link, along with the attached Major Changes PDF to your network (attached above).</i></p> <p><i>Regards,</i></p> <p><i>Priya Patel</i></p> <p><i>Project Manager, Natural Resources, CSA Group”</i></p> <p>See the Public Review Email Campaign document for detail on who was contacted and by whom.</p> <p><b>CONFORMITY</b></p>
<p>(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,</p>	<p>Procedures</p>	<p>YES</p>	<p>File No.: S2025 Technical Committee on Sustainable Forest Management Terms of Reference</p> <p><i>“Section 4. Committee Membership</i></p> <p><i>Clause 4.1 Appointment of TC Members</i></p> <p><i>Members may be nominated by the Committee, interested agencies, associations or other bodies. Members shall be appointed by the Executive Committee, with the concurrence of the Project Manager in accordance with the approved matrix.”</i></p> <p>CSA Group Z809 Sustainable Forest Management: Standard Setting Procedures Document September 23, 2015</p> <p><i>“Section 4 Enquiry Stage</i></p> <p><i>“Clause 4.2. Providing opportunities for disadvantaged stakeholders to participate in the review process:</i></p> <p><i>Disadvantaged stakeholders including those</i></p>



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			<p><i>with limited access to the internet, are accommodated by ensuring their comments on the revised standard can be mailed to a representative who can manually upload their comments to the Public Review site, or made electronically available to the CSA Project Manager. In circumstances where there is no such representative, CSA accepts hand-written comments via mail. CSA has created a PDF of the document (for ease of access), and will ensure that a copy of the standard is mailed out to key stakeholders. Disadvantages stakeholders, including Technical Committee members with limited funds to attend the interactive meetings in person, are provided with funding opportunities by CSA group on a case by case basis.”</i></p> <p>SCC Canadian Standards Development Requirements &amp; Guidance – Accreditation of Standards Development Organizations 2015-10-01</p> <p><i>“Section 6 Consensus Requirements 6.3 Equal Access and Effective Canadian Participation to the Standards Development Process by Concerned Interests The SDO shall ensure that: a) participation in standards development is accessible to affected stakeholders; and b) there is appropriate Canadian participation on technical committees. The SDO shall provide evidence of best efforts to address the challenges of finding resources for participation. 6.4 Balance of Interests The SDO shall provide for balanced representation of interest categories in the</i></p>

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			<p><i>development of standards. This representation shall reflect the Canadian interest. When consumer or public interest representation would provide the needed balance of interests, the SDO shall identify and make efforts to secure support for equal access and effective participation of such interests."</i></p> <p><b>CONFORMITY</b></p>
	Process	YES	<p>Screen shot from the PEFC Canada website (link below):</p> <p><i>"Canada's National Standard on Sustainable Forest Management, CAN/CSA-Z809, will undergo revision starting May 2014. The revision is led by the CSA Technical Committee on Sustainable Forest Management which develops and maintains the standard in an inclusive, balanced and consensus-based process. The Technical Committee is seeking feedback on the current CAN/CSA-Z809-08 (R2013) standard to assist with the revision process. If you are interested please complete the following survey at CAN/CSA Z809 Survey. The survey closes May 1, 2014. The revision of standards is a required element of the PEFC endorsement, which obliges national forest management standards to be revised regularly to ensure that they incorporate international requirements, latest knowledge and best practices, and new market and stakeholder requirements."</i></p> <p><a href="http://www.pefc.org/news-a-media/general-sfm-news/1548-csa-launches-the-revision-of-its-pefc-endorsed-sustainable-forest-management-standard">http://www.pefc.org/news-a-media/general-sfm-news/1548-csa-launches-the-revision-of-its-pefc-endorsed-sustainable-forest-management-standard</a></p> <p>Additional examples of the public announcement can be found in the following screen shots provided by PEFC</p>

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<p>d) an invitation to comment on the scope and the standard-setting process, and</p>	<p>Procedures</p>	<p>YES</p>	<p>CSA-SDP-1-03</p> <p><i>“Stage 4, Section 4.3 Clause 4.3.8 Notification of activities - CSA shall publicly announce its standards development activities, as appropriate, to afford interested persons or organizations an opportunity for meaningful contributions. This entails timely notification in suitable media of new, continuing, and completed standards development activities, and reporting on status changes.”</i></p> <p>CSA-SDP-2.2-14</p> <p><i>“Stage 5, Section 5.5 Public notice of intent Clause 5.5.1 General - Public notice of the intent to develop or revise a CSA Standard (see Clause 5.5.2) is given to expand consultation and improve input early in the process by allowing unidentified</i></p>

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			<p><i>stakeholders the opportunity to request participation, to offer their comments, or to otherwise keep abreast of the progress of the CSA Standard.</i></p> <p><i>Clause 5.5.2 Notification - Once the project has been authorized, CSA shall inform the public, by electronic means, of its intent to proceed with the development of a new CSA Standard, new edition, or amendment or its intent to reaffirm or withdraw a published CSA Standard. Interpretations do not require a public notice of intent.”</i></p> <p>The CSA Group website provides publicly available information on <a href="#">How Standards Are Developed</a>. The website includes information on <a href="#">How to Get Involved</a> in participating in and commenting on standards development. In addition, the <i>CSA Directives &amp; Guidelines (SDP 2.1-14, SDP-2.2-14 &amp; SDP-2.3-14)</i> describe the standard setting procedures and are publicly available on the <a href="#">CSA Group website</a>. <i>Clause 0.2</i> in each of these documents invites proposals for changes to the Directives &amp; Guidelines through written submission to the Secretary of the CSA Standards Policy Board.</p> <p><b>CONFORMITY</b></p>
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			<p><i>balanced and consensus-based process. The Technical Committee is seeking feedback on the current CAN/CSA-Z809-08 (R2013) standard to assist with the revision process. If you are interested please complete the following survey at CAN/CSA Z809 Survey. The survey closes May 1, 2014. The revision of standards is a required element of the PEFC endorsement, which obliges national forest management standards to be revised regularly to ensure that they incorporate international requirements, latest knowledge and best practices, and new market and stakeholder requirements.”</i></p> <p><a href="http://www.pefc.org/news-a-media/general-sfm-news/1548-csa-launches-the-revision-of-its-pefc-endorsed-sustainable-forest-management-standard">http://www.pefc.org/news-a-media/general-sfm-news/1548-csa-launches-the-revision-of-its-pefc-endorsed-sustainable-forest-management-standard</a></p> <p>Additional examples of the public announcement can be found in the following screen shots provided by PEFC Canada:</p> <p>SCC Notice of Intent Sustainable forest management 2014-05-13 - public announcement on SCC website</p> <p>CSA Group Community CSA Z809 Revision: Feedback wanted Mar 24 2014– public announcement on CSA Group Communities website</p> <p>CSA Group LinkedIn CSA Z809 Revision: Feedback appreciated – public announcement on CSA Group LinkedIn page</p> <p>The assessor notes the document entitled “Public Review Email Campaign” contains the list of stakeholders and their affiliations</p>

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			<p>and resulted in a broad distribution encouraging them to provide input during the public comment period.</p> <p>The following is an example from the email campaign:</p> <p><i>“From: Priya Patel [mailto:priya.patel@csagroup.org] Sent: August 4, 2015 2:21 PM Subject: Z809 is now available for Public Review</i></p> <p><i>Hello SFM TC,</i></p> <p><i>The SFM Z809 Standard has been posted for public review and can be accessed using the following link:</i> <a href="http://publicreview.csa.ca/Home/Details/1707">http://publicreview.csa.ca/Home/Details/1707</a></p> <p><i>Please feel free to circulate this link, along with the attached Major Changes PDF to your network (attached above).</i></p> <p><i>Regards,</i></p> <p><i>Priya Patel</i></p> <p><i>Project Manager, Natural Resources, CSA Group”</i></p> <p>See the Public Review Email Campaign document for detail on who was contacted and by whom.</p> <p><b>CONFORMITY</b></p>
e) reference to publicly available standard-setting procedures.	Procedures	YES	<p>CSA-SDP-1-03</p> <p><i>“Stage 4, Section 4.3 Clause 4.3.8 Notification of activities - CSA shall publicly announce its standards</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>development activities, as appropriate, to afford interested persons or organizations an opportunity for meaningful contributions. This entails timely notification in suitable media of new, continuing, and completed standards development activities, and reporting on status changes.”</i></p> <p>CSA-SDP-2.2-14</p> <p><i>“Stage 5, Section 5.5 Public notice of intent Clause 5.5.1 General - Public notice of the intent to develop or revise a CSA Standard (see Clause 5.5.2) is given to expand consultation and improve input early in the process by allowing unidentified stakeholders the opportunity to request participation, to offer their comments, or to otherwise keep abreast of the progress of the CSA Standard.</i></p> <p><i>Clause 5.5.2 Notification - Once the project has been authorized, CSA shall inform the public, by electronic means, of its intent to proceed with the development of a new CSA Standard, new edition, or amendment or its intent to reaffirm or withdraw a published CSA Standard. Interpretations do not require a public notice of intent.”</i></p> <p>The CSA Group website provides publicly available information on <a href="#">How Standards Are Developed</a>. The website includes information on <a href="#">How to Get Involved</a> in participating in and commenting on standards development. In addition, the <i>CSA Directives &amp; Guidelines (SDP 2.1-14, SDP-2.2-14 &amp; SDP-2.3-14)</i> describe the</p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p>standard setting procedures and are publicly available on the <a href="#">CSA Group website</a>. Clause 0.2 in each of these documents invites proposals for changes to the Directives &amp; Guidelines through written submission to the Secretary of the CSA Standards Policy Board.</p> <p><b>CONFORMITY</b></p>
	Process	YES	<p>Screen shot from the PEFC Canada website (link below):</p> <p><i>“Canada's National Standard on Sustainable Forest Management, CAN/CSA-Z809, will undergo revision starting May 2014. The revision is led by the CSA Technical Committee on Sustainable Forest Management which develops and maintains the standard in an inclusive, balanced and consensus-based process. The Technical Committee is seeking feedback on the current CAN/CSA-Z809-08 (R2013) standard to assist with the revision process. If you are interested please complete the following survey at CAN/CSA Z809 Survey. The survey closes May 1, 2014. The revision of standards is a required element of the PEFC endorsement, which obliges national forest management standards to be revised regularly to ensure that they incorporate international requirements, latest knowledge and best practices, and new market and stakeholder requirements.</i></p> <p><i>Further Information</i></p> <ul style="list-style-type: none"> <li>• <i>To view or download a copy of the CAN/CSA-Z809-08 standard</i></li> <li>• <i>CAN/CSA Z809 Survey”</i></li> </ul> <p><a href="http://www.pefc.org/news-a-media/general-sfm-news/1548-csa-launches-the-revision-of-its-pefc-endorsed-sustainable-forest-management-standard">http://www.pefc.org/news-a-media/general-sfm-news/1548-csa-launches-the-revision-of-its-pefc-endorsed-sustainable-forest-management-standard</a></p>



Question	Assess. basis*	YES /NO*	Reference to application documents
			<p>The CSA Group website provides publicly available information on <a href="#">How Standards Are Developed</a>. The website includes information on <a href="#">How to Get Involved</a> in participating in and commenting on standards development. In addition, the <i>CSA Directives &amp; Guidelines (SDP 2.1-14, SDP-2.2-14 &amp; SDP-2.3-14)</i> describe the standard setting procedures and are publicly available on the <a href="#">CSA Group website</a>. <i>Clause 0.2</i> in each of these documents invites proposals for changes to the Directives &amp; Guidelines through written submission to the Secretary of the CSA Standards Policy Board.</p> <p><b>CONFORMITY</b></p>
<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.</p>	<p>Procedures</p>	<p>YES</p>	<p>The assessor notes that CSA Directives &amp; Guidelines (SDP 2.1-11, SDP-2.2-11 &amp; SDP-2.3-08) describe in full the standard setting procedures. <i>Clause 0.2</i> in each of these documents invites proposals for changes to the Directives &amp; Guidelines through written submission to the Secretary of the CSA Standards Policy Board.</p> <p>CSA-SDP-2.2-14</p> <p><i>“Stage 0, Clause 0.2 Proposals for change to this Part of the CSA Directives and guidelines Proposals for change to this Part of the CSA Directives and guidelines should be submitted in writing to the Secretary of the CSA Standards Policy Board (SPB).”</i></p> <p>CSA SDP-1-03</p> <p><i>“Section 4, Clause 4.2.1</i>  <i>4.2.1 Participation - It is CSA policy that any individual who has technical expertise relevant to or an interest in a project, and is</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>able to actively participate in the activities of the relevant committee, shall be eligible for appointment. Committee membership is not restricted to Canadians.</i></p> <p><i>The composition (matrix) of each committee shall provide for representation of relevant stakeholder.”</i></p> <p>CSA-SDP-2.1-14</p> <p><i>“Section 4, Clause 4.2.3</i>  <i>4.2.3 Stakeholders - Stakeholders shall be identified at the beginning of a project. They shall be provided with the opportunity to participate in accordance with Clauses 3.3.4 and 3.3.5. In addition to participating committee members, additional stakeholders may be identified at various stages in the process for the purpose of consultation and public review.”</i></p> <p><b>CONFORMITY</b></p>
	Process	YES	<p>The CSA Group website provides publicly available information on <a href="#">How Standards Are Developed</a>. The website includes information on <a href="#">How to Get Involved</a> in participating in and commenting on standards development. In addition, the <i>CSA Directives &amp; Guidelines (SDP 2.1-14, SDP-2.2-14 &amp; SDP-2.3-14)</i> describe the standard setting procedures and are publicly available on the <a href="#">CSA Group website</a>. <i>Clause 0.2</i> in each of these documents invites proposals for changes to the Directives &amp; Guidelines through written submission to the Secretary of the CSA Standards Policy Board.</p> <p>The assessor notes that File No.: S2025</p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p>Technical Committee on Sustainable Forest Management Terms of Reference describes the committee structure and how affected stakeholders are represented. In addition, it is noted the Technical Committee interest categories were expanded beyond the normal CSA categories as follows:</p> <ul style="list-style-type: none"> <li>• Aboriginal Peoples are specifically recognized to reflect the importance of forests to Canadian Aboriginal communities and the protection of Aboriginal and treaty rights enshrined in the Canadian Constitution.</li> <li>• Academic and professional practitioners’ interest reflects the important role higher education and research institutions play in advancing and improving sustainable forest management.</li> <li>• The addition of environmental interests to general interests reflects the overall role forests play in protecting the broader environment.</li> </ul> <p>This is evident in the CSA SFM Technical Committee - Executive Committee document which shows the TC composition and affiliations.</p> <p>The assessor notes that the CSA Technical Committee (TC) on Sustainable Forest Management was established in 1995 and developed the CSA SFM standard first published in 1996. The TC has been maintained since that time, has been continually renewed with new members to maintain the “balanced matrix” approach and operates according to the CSA Group policies and procedures and its own terms of reference (File No.: S2025 Technical Committee on Sustainable Forest Management Terms of Reference) which</p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p>describes the committee structure and how affected stakeholders are represented. The Terms of Reference were reviewed and agreed to by the Technical Committee at their second meeting of this revisions cycle on May 21, 2014.</p> <p>At the start of the Z809 revision process in 2012, TC members were contacted to confirm their willingness to continue to serve on the TC. Where there were vacancies, new members were recruited by interest category to maintain the matrix balance.</p> <p><b>CONFORMITY</b></p>
5.5 The work of the working group/committee shall be organised in an open and transparent manner where:			
a) working drafts shall be available to all members of the working group/committee,	Procedures	YES	<p>CSA-SDP-2.2-14</p> <p><i>“Stage 2 Drafting stage Section 6, 6 Preparation of a working draft Clause 6.4.2 Distribution of drafts Permission is granted to committee members to access drafts strictly for the purpose of CSA Standards development activities.”</i></p> <p><b>CONFORMITY</b></p>
	Process	YES	<p>The TC meeting minutes of May 21, 2014 include an action item entitled <i>“review of committee documents”</i>.</p> <p><b>CONFORMITY</b></p>
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	Procedures	YES	<p>CSA-SDP-2.2-14</p> <p><i>“Stage 3 Consensus Building Stage, Section 7, Clause 7.3.5 Attendance at meetings 7.3.5.1 - Members are expected to attend</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
working drafts, and			<p><i>all meetings and contribute to the work of the committee. All members should review the agenda and attachments in detail and have discussions with others as needed so that they come to meetings adequately prepared to represent their constituency. This may include alternative proposals where appropriate.”</i></p> <p><b>CONFORMITY</b></p>
	Process	YES	<p>From the minutes of the TC meeting on November 26<sup>th</sup> and 27<sup>th</sup>, 2014, the TC chair, Diane Roddy states “<i>There are at least three reasons why such progress was made possible: the hard work done by each Task Force on their sections. People know their sections and the issues related to them well, which has enabled them to readily talk about them with a clear understanding; good organization of materials (e.g. the comments matrix) that has enabled us to make progress this quickly; very respectful and even enjoyable discussions being held around the table.</i>”</p> <p>The assessor notes all minutes of the TC meetings demonstrate openness and transparency among members, with meaningful opportunities for all members to contribute to the development and revision of the standard. All minutes of the TC are available upon request from CSA.</p> <p><b>CONFORMITY</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	Procedures	YES	<p>CSA-SDP-2.2-14</p> <p><i>“Stage 3, Section 7 Clause 7.3.9 Rules of procedure for conducting a meeting</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
changes shall be recorded.			<p><i>7.3.9.6 Presentations</i></p> <p><i>Anyone may present written information to a CSA committee. If, subsequent to a written submission, individual wishes to make a presentation, this may be permitted by the chair, in consultation with CSA staff, under certain circumstances such as the following:</i></p> <p><i>a) non-members of the committee whose presentation would constructively advance the work of the committee, and who wish to ensure that their views are fully appreciated by the committee (see Clause 7.3.5.2); or</i></p> <p><i>b) negative voters who consider that their viewpoints have not been adequately expressed in the minority report.”</i></p> <p><b>CONFORMITY</b></p>
	Process	YES	<p>From the TC minutes of the July 15, 2015 meeting: <i>“Task Force Chairs briefly reviewed the key changes in their respective informative sections. The conference call was focused on informative comments and proposed resolutions.”</i></p> <p>The assessor notes all minutes of the TC meetings demonstrate openness and transparency among members, with meaningful opportunities for all members to contribute to the development and revision of the standard. All minutes of the TC are available upon request from CSA.</p> <p><b>CONFORMITY</b></p>
5.6 The standardising body shall organise a public consultation on the enquiry draft and shall ensure that:			
a) the start and the end of the public	Procedures	YES	CSA-SDP-2.2-14

Question	Assess. basis*	YES /NO*	Reference to application documents
consultation is announced in a timely manner in suitable media,			<p><i>“Stage 4— Inquiry Stage Section 8 Public and internal review Clause 8.2 Public review 8.2.1 Review requirements 8.2.1.1 At an appropriate time during the development of a CSA Standard, CSA shall offer the draft for public review for a minimum of 60 calendar days by notification in CSA or other publications or by electronic means. This period may be shortened in cases where urgent needs related to safety, health, or the environment may exist. Clause 8.2 Public review &amp; Clause 8.2.1.1 At an appropriate time during the development of a CSA Standard, CSA shall offer the draft for public review for a minimum of 60 calendar days by notification in CSA or other publications or by electronic means.”</i></p> <p><b>CONFORMITY</b></p>
	Process	YES	<p>Screen shot from the PEFC Canada website (link below):</p> <p><i>“Canada's National Standard on Sustainable Forest Management, CAN/CSA-Z809, will undergo revision starting May 2014. The revision is led by the CSA Technical Committee on Sustainable Forest Management which develops and maintains the standard in an inclusive, balanced and consensus-based process. The Technical Committee is seeking feedback on the current CAN/CSA-Z809-08 (R2013) standard to assist with the revision process. If you are interested please complete the following survey at CAN/CSA Z809 Survey. The survey closes May 1, 2014. The revision of standards is a required element of the PEFC endorsement, which obliges national forest management standards to be revised</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>regularly to ensure that they incorporate international requirements, latest knowledge and best practices, and new market and stakeholder requirements.”</i></p> <p>From the PEFC Canada website, dated August 2015:</p> <p><i>“Revised CSA Z809 Standard out for Public Review</i></p> <p><i>The draft, fourth version of the CSA SFM Z809 Standard has just been posted for public review. It can be accessed and commented on using the link: <a href="http://publicreview.csa.ca/Home/Details/1712">http://publicreview.csa.ca/Home/Details/1712</a>. The public review period will run for 60 days, from August 6, 2015 to October 6, 2015.</i></p> <p><i>A copy of the standard and a summary of changes document is available on both the CSA site (link above) and at the CSA User Group Website. Please submit comments using the CSA weblink provided above.”</i></p> <p>From the PEFC International website, dated 9/25/15:</p> <p><i>“The draft, fourth version of the CSA SFM Z809 Standard is now available online for public review. It can be accessed and commented on using the link: <a href="http://publicreview.csa.ca/Home/Details/1712">http://publicreview.csa.ca/Home/Details/1712</a>.</i></p> <p><i>The public review and comment period will run for 60 days, from 6 August to 6 October 2015.”</i></p> <p>Link is here:</p> <p><a href="#"><i>PEFC International News</i></a></p> <p><b>CONFORMITY</b></p>



Question	Assess. basis*	YES /NO*	Reference to application documents
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	YES	<p><i>CSA Group Z809 Sustainable Forest Management: Standard Setting Procedures Document September 23, 2015</i></p> <p><i>“Clause 4.2. Providing opportunities for disadvantaged stakeholders to participate in the review process</i></p> <p><i>Accommodations are made for stakeholders without internet access or electronic means to provide comments. Disadvantages stakeholders with limited funds to attend meetings in person are provided with funding on a case by case basis.</i></p> <p><i>Clause 8.2.1.3 CSA staff shall distribute or arrange to provide a copy of the draft for purposes of public review to interested parties that request a copy.”</i></p>
	Process	YES	<p>Screen shot from the PEFC Canada website (link below):</p> <p><i>“Canada's National Standard on Sustainable Forest Management, CAN/CSA-Z809, will undergo revision starting May 2014. The revision is led by the CSA Technical Committee on Sustainable Forest Management which develops and maintains the standard in an inclusive, balanced and consensus-based process. The Technical Committee is seeking feedback on the current CAN/CSA-Z809-08 (R2013) standard to assist with the revision process. If you are interested please complete the following survey at CAN/CSA Z809 Survey. The survey closes May 1, 2014. The revision of standards is a required element of the PEFC endorsement, which obliges national forest management standards to be revised regularly to ensure that they incorporate international requirements, latest knowledge and best practices, and new</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>market and stakeholder requirements.”</i></p> <p><a href="http://www.pefc.org/news-a-media/general-sfm-news/1548-csa-launches-the-revision-of-its-pefc-endorsed-sustainable-forest-management-standard">http://www.pefc.org/news-a-media/general-sfm-news/1548-csa-launches-the-revision-of-its-pefc-endorsed-sustainable-forest-management-standard</a></p> <p>Additional examples of the public announcement can be found in the following screen shots provided by PEFC Canada:</p> <p>SCC Notice of Intent Sustainable forest management 2014-05-13 - public announcement on SCC website</p> <p>CSA Group Community CSA Z809 Revision: Feedback wanted Mar 24 2014– public announcement on CSA Group Communities website</p> <p>CSA Group LinkedIn CSA Z809 Revision: Feedback appreciated – public announcement on CSA Group LinkedIn page</p> <p>The CSA Group website provides publicly available information on <a href="#">How Standards Are Developed</a>. The website includes information on <a href="#">How to Get Involved</a> in participating in and commenting on standards development. In addition, the <i>CSA Directives &amp; Guidelines (SDP 2.1-14, SDP-2.2-14 &amp; SDP-2.3-14)</i> describe the standard setting procedures and are publicly available on the <a href="#">CSA Group website</a>. <i>Clause 0.2</i> in each of these documents invites proposals for changes to the Directives &amp; Guidelines through written submission to the Secretary of the CSA Standards Policy Board.</p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p>The assessor notes that the CAN/CSA-Z809 draft was accessible on the CSA public review website during the 60-day review period. In addition, the CSA TC created an email campaign to ensure that all key stakeholders were informed about the public review process. The document entitled “Public Review Email Campaign” contains the list of stakeholders and their affiliations and resulted in a broad distribution encouraging them to provide input during the public comment period.</p> <p>A <i>Z809 Major Changes Document</i> was developed and made available at the start of the public review period. This can be found on the <a href="#">CSA Z809 Landing Page</a> under <i>Proposed Key Changes</i>.</p> <p><b>CONFORMITY</b></p>
c) the enquiry draft is publicly available and accessible,	Procedures	YES	<p>CSA-SDP-2.2-14</p> <p><i>“Stage 2 — Drafting Stage Sections 6 Preparation of a working draft Clause 6.4.2 Distribution of drafts For public review, drafts may be distributed electronically to the public by CSA staff only. Clause 8.2.1.1 CSA shall offer the draft for public review for a minimum of 60 calendar days by notification in CSA or other publications or by electronic means. Clause 8.2.1.3 CSA staff shall distribute or arrange to provide a copy of the draft for purposes of public review to interested parties that request a copy.”</i></p> <p><i>Z809 Sustainable Forest Management: Standard Setting Procedures Document</i></p>

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			<p>September 23, 2015</p> <p><i>“Clause 4. Enquiry Stage The SFM draft standard is offered to the public for a 60-day review and comment period. The draft standard can be accessed and commented on here.”</i></p> <p><b>CONFORMITY</b></p>
	Process	YES	<p>The assessor notes that the CAN/CSA-Z809 draft was accessible on the CSA public review website during the 60-day review period. In addition, the CSA TC created an email campaign to ensure that all key stakeholders were informed about the public review process. A <i>Z809 Major Changes Document</i> was developed and made available at the start of the public review period. This can be found on the <a href="#">CSA Z809 Landing Page</a> under <i>Proposed Key Changes</i>.</p> <p>From the PEFC Canada website, dated August 2015:</p> <p><i>“Revised CSA Z809 Standard out for Public Review</i></p> <p><i>The draft, fourth version of the CSA SFM Z809 Standard has just been posted for public review. It can be accessed and commented on using the link: <a href="http://publicreview.csa.ca/Home/Details/1712">http://publicreview.csa.ca/Home/Details/1712</a>. The public review period will run for 60 days, from August 6, 2015 to October 6, 2015.</i></p> <p><i>A copy of the standard and a summary of changes document is available on both the CSA site (link above) and at the CSA User Group Website. Please submit comments using the CSA weblink provided above.”</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<b>CONFORMITY</b>
d) the public consultation is for at least 60 days,	Procedures	YES	<p>CSA-SDP-2.2-14</p> <p><i>“Stage 2 — Drafting Stage Sections 6 Preparation of a working draft Clause 6.4.2 Distribution of drafts For public review, drafts may be distributed electronically to the public by CSA staff only. Clause 8.2.1.1 CSA shall offer the draft for public review for a minimum of 60 calendar days by notification in CSA or other publications or by electronic means. Clause 8.2.1.3 CSA staff shall distribute or arrange to provide a copy of the draft for purposes of public review to interested parties that request a copy.”</i></p> <p><i>Z809 Sustainable Forest Management: Standard Setting Procedures Document September 23, 2015</i></p> <p><i>“Clause 4. Enquiry Stage The SFM draft standard is offered to the public for a 60-day review and comment period. The draft standard can be accessed and commented on here.”</i></p> <p><b>CONFORMITY</b></p>
	Process	YES	<p>From the PEFC International website, dated 9/25/15:</p> <p><i>“The draft, fourth version of the CSA SFM Z809 Standard is now available online for public review. It can be accessed and commented on using the link: <a href="http://publicreview.csa.ca/Home/Details/1712">http://publicreview.csa.ca/Home/Details/1712</a>. The public review and comment period will</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>run for 60 days, from 6 August to 6 October 2015.”</i></p> <p>Link is here:  <a href="#"><i>PEFC International News</i></a></p> <p><b>CONFORMITY</b></p>
<p>e) all comments received are considered by the working group/committee in an objective manner,</p>	<p>Procedures</p>	<p>YES</p>	<p>CSA-SDP-2.2-14</p> <p><i>Stage 4— Inquiry Stage</i>  <i>Section 8 Public and internal review</i>  <i>Clause 8.2.3 Consideration of comments. Comments received on drafts through the public review process shall be passed on to the appropriate committee for consideration, and for response if requested.”</i></p> <p>SCSA Group Z809 Sustainable Forest Management: Standard Setting Procedures Document September 23, 2015</p> <p><i>“Clause 4.3. Disposition of public review comments</i></p> <p><i>The comments received throughout the public review process are categorized into the following categories; editorial comments, content categories (Informative and Normative), and further narrowed by Informative and Normative sections (4.0 Sustainable Forest Management Requirements; 5.0 Public Participation Requirements; 6.0 SFM Performance Requirements; 7.0 SFM System Requirements). All comments are organized by section and provided to the respective Task Force’s to review and provide a proposed resolution in advance of the SFM</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>TC Meeting. This meeting is dedicated to reviewing the public comments, finalizing the standard and conducting a quality review. Comments received through the public review process and the decisions resulting from the Technical Committee Review are posted on the Communities of Interest (COI) web space.”</i></p> <p><b>CONFORMITY</b></p>
	Process	YES	<p>The assessor notes that all comments received were reviewed and considered by the TC in preparing the final draft of the revised Standard. A summary of responses to the public review comments is available on the <a href="#">CSA Z809 Landing Page</a> under <a href="#">Review Public Comments</a>.</p> <p>In addition, the document entitled “Z809 Response to Commentators” provides detail on the comments received and how the TC addressed them.</p> <p><b>CONFORMITY</b></p>
(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	YES	<p>CSA-SDP-2.2-14  <i>“Stage 4— Inquiry Stage  Section 8 Public and internal review  Clause 8.2.3 Consideration of comments.  Comments received on drafts through the public review process shall be passed on to the appropriate committee for consideration, and for response if requested.”</i></p> <p>SCSA Group Z809 Sustainable Forest Management: Standard Setting Procedures Document September 23, 2015</p> <p><i>“Clause 4.3. Disposition of public review</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>comments</i></p> <p><i>The comments received throughout the public review process are categorized into the following categories; editorial comments, content categories (Informative and Normative), and further narrowed by Informative and Normative sections (4.0 Sustainable Forest Management Requirements; 5.0 Public Participation Requirements; 6.0 SFM Performance Requirements; 7.0 SFM System Requirements). All comments are organized by section and provided to the respective Task Force’s to review and provide a proposed resolution in advance of the SFM TC Meeting. This meeting is dedicated to reviewing the public comments, finalizing the standard and conducting a quality review. Comments received through the public review process and the decisions resulting from the Technical Committee Review are posted on the Communities of Interest (COI) web space.”</i></p> <p><i>CSA Group Z809 Sustainable Forest Management: Standard Setting Procedures Document September 23, 2015</i></p> <p><i>“Clause 4.3 Comments received through the public review process and the decisions resulting from the Technical Committee Review are posted on the Communities of Interest (COI) web space.”</i></p> <p><b>CONFORMITY</b></p>
	Process	YES	<p>The assessor notes that all comments received were reviewed and considered by the TC in preparing the final draft of the</p>



Question	Assess. basis*	YES /NO*	Reference to application documents
			<p>revised Standard. A summary of responses to the public review comments is available on the <a href="#">CSA Z809 Landing Page</a> under <a href="#">Review Public Comments</a>.</p> <p>In addition, the document entitled “Z809 Response to Commentators” provides detail on the comments received and how the TC addressed them.</p> <p><b>CONFORMITY</b></p>
<p>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.</p>	Procedures	NA	<p>The assessor notes that the 1996 version of CAN/CSA-Z809-96 was extensively field tested across Canada prior to a final draft for public review being prepared. There were 5 field tests in different locations to test the applicability and auditability of the draft standard in a variety of forest types, sizes, ownerships and tenure arrangements, and geographic location. Each of the field tests was conducted by a different audit team with extensive meetings held post-field tests to consolidate the learnings. The results of the field tests were significant in refining the content of the CAN/CSA-Z809 standard. CAN/CSA-Z809-16 is the third revision of the 1996 version and pilot testing is not required.</p> <p><b>NOT APPLICABLE</b></p>
	Process	NA	<p>The assessor notes that the 1996 version of CAN/CSA-Z809-96 was extensively field tested across Canada prior to a final draft for public review being prepared. There were 5 field tests in different locations to test the applicability and auditability of the draft standard in a variety of forest types, sizes, ownerships and tenure arrangements, and geographic location. Each of the field tests was conducted by a different audit</p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p>team with extensive meetings held post-field tests to consolidate the learnings. The results of the field tests were significant in refining the content of the CAN/CSA-Z809 standard. CAN/CSA-Z809-16 is the third revision of the 1996 version and pilot testing is not required.</p> <p><b>NOT APPLICABLE</b></p>
<p>5.8 The decision of the working group to recommend the final draft for formal approval shall be taken on the basis of a consensus.</p>	<p>Procedures</p>	<p>YES</p>	<p>CSA-SDP-2.2-14</p> <p><i>“Clause 8.3 Advancing the draft CSA Standard to internal review. Responsibility for the technical content of a CSA Standard rests solely with the TC. When the TC has reached consensus on technical content, the draft shall be referred to the project manager for internal review followed by the approval process.”</i></p> <p>CSA Group Z809 Sustainable Forest Management: Standard Setting Procedures Document September 23, 2015</p> <p><i>“Clause 4.3 This meeting is dedicated to reviewing the public comments, finalizing the standard and conducting a quality review. Comments received through the public review process and the decisions resulting from the Technical Committee Review are posted on the Communities of Interest (COI) web space. A pre-approval edit of the draft standard is formally developed in preparation for the Approval Stage.”</i></p> <p><b>CONFORMITY</b></p>
	<p>Process</p>	<p>YES</p>	<p>The assessor notes that the final face-to-face TC meeting of October 21, 2015 and final</p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p>conference call of January 12, 2016 developed the final consensus draft for balloting. In addition, The TC reached consensus on all technical matters related to the standard revision process. All minutes of the TC meetings demonstrate openness and transparency among members, with meaningful opportunities for all members to contribute to the development and revision of the standard. All minutes of the TC are available upon request from CSA.</p> <p><b>CONFORMITY</b></p>
<p>5.8 In order to reach a consensus the working group/committee can utilise the following alternative processes to establish whether there is opposition:</p>			
<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.,</p>	<p>Procedures</p>	<p>YES</p>	<p>CSA-SDP-2.2-14</p> <p><i>“Stage 3 Consensus building stage Section 7 Development of technical content 7.3.9 Rules of procedure for conducting a meeting 7.3.9.1 General Clause 7.3.9.4 Motions and amendments to motions It is preferred that committees make progress by consensus rather than by formal motions and voting. However, if this is not possible, the following procedures are appropriate...”</i></p> <p><i>Clause 7.3.7 Quorum at meetings If there is not a quorum, decisions taken at a meeting shall not be final and shall be subject to ratification by those voting members not in attendance by one of the following means: following the meeting, the project manager shall poll (by telephone, e-mail, etc.) those voting members for their votes/opinions and document the results in the minutes as a secretary’s note; b) the item should be</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>added to the agenda for the next meeting and the decision ratified at that time; or c) the decision shall be ratified by ballot.</i></p> <p><i>File No.: S2025 Technical Committee on Sustainable Forest Management Terms of Reference</i></p> <p><i>“Clause 4.4 Specific requirement for Decision Making - The SFM Technical Committee, in addition to the requirements outlined in the CSA Directives, shall operate through consensus with a specific requirement that affirmative votes from at least 1/3 of the members in each of its Interest Categories outlined above are required for approving major decisions, including ballots for approval of a CSP (Consensus Standard Product).”</i></p> <p><b>CONFORMITY</b></p>
	Process	NA	<p>The TC reached consensus on all technical matters related to the standard revision process.</p> <p><b>NOT APPLICABLE</b></p>
b) a telephone conference meeting where there is a verbal yes/no vote,	Procedures	YES	<p>CSA-SDP-2.2-14</p> <p><i>“Stage 3 Consensus building stage</i>  <i>Section 7 Development of technical content</i>  <i>7.3.9 Rules of procedure for conducting a meeting</i>  <i>7.3.9.1 General Clause 7.3.9.4</i>  <i>Motions and amendments to motions</i>  <i>It is preferred that committees make progress by consensus rather than by formal motions and voting. However, if this is not possible, the following procedures are appropriate....”</i></p> <p><i>Clause 7.3.7 Quorum at meetings</i>  <i>If there is not a quorum, decisions taken at</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>a meeting shall not be final and shall be subject to ratification by those voting members not in attendance by one of the following means: following the meeting, the project manager shall poll (by telephone, e-mail, etc.) those voting members for their votes/opinions and document the results in the minutes as a secretary's note; b) the item should be added to the agenda for the next meeting and the decision ratified at that time; or c) the decision shall be ratified by ballot.</i></p> <p><i>File No.: S2025 Technical Committee on Sustainable Forest Management Terms of Reference</i></p> <p><i>"Clause 4.4 Specific requirement for Decision Making - The SFM Technical Committee, in addition to the requirements outlined in the CSA Directives, shall operate through consensus with a specific requirement that affirmative votes from at least 1/3 of the members in each of its Interest Categories outlined above are required for approving major decisions, including ballots for approval of a CSP (Consensus Standard Product)."</i></p> <p><b>CONFORMITY</b></p>
	Process	NA	<p>The TC reached consensus on all technical matters related to the standard revision process.</p> <p><b>NOT APPLICABLE</b></p>
c) an e-mail meeting where a request for agreement or objection is provided to members with the members providing a written response (a proxy for a vote), or	Procedures	YES	<p>CSA-SDP-2.2-14</p> <p><i>"Stage 3 Consensus building stage</i>  <i>Section 7 Development of technical content</i>  <i>7.3.9 Rules of procedure for conducting a</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>meeting 7.3.9.1 General Clause 7.3.9.4 Motions and amendments to motions It is preferred that committees make progress by consensus rather than by formal motions and voting. However, if this is not possible, the following procedures are appropriate....”</i></p> <p><i>Clause 7.3.7 Quorum at meetings If there is not a quorum, decisions taken at a meeting shall not be final and shall be subject to ratification by those voting members not in attendance by one of the following means: following the meeting, the project manager shall poll (by telephone, e-mail, etc.) those voting members for their votes/opinions and document the results in the minutes as a secretary’s note; b) the item should be added to the agenda for the next meeting and the decision ratified at that time; or c) the decision shall be ratified by ballot.</i></p> <p><i>File No.: S2025 Technical Committee on Sustainable Forest Management Terms of Reference</i></p> <p><i>“Clause 4.4 Specific requirement for Decision Making - The SFM Technical Committee, in addition to the requirements outlined in the CSA Directives, shall operate through consensus with a specific requirement that affirmative votes from at least 1/3 of the members in each of its Interest Categories outlined above are required for approving major decisions, including ballots for approval of a CSP (Consensus Standard Product).”</i></p> <p><b>CONFORMITY</b></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
	Process	NA	<p>The TC reached consensus on all technical matters related to the standard revision process.</p> <p><b>NOT APPLICABLE</b></p>
d) combinations thereof.	Procedures	YES	<p>CSA-SDP-2.2-14</p> <p><i>“Stage 3 Consensus building stage Section 7 Development of technical content 7.3.9 Rules of procedure for conducting a meeting 7.3.9.1 General Clause 7.3.9.4 Motions and amendments to motions It is preferred that committees make progress by consensus rather than by formal motions and voting. However, if this is not possible, the following procedures are appropriate....”</i></p> <p><i>Clause 7.3.7 Quorum at meetings If there is not a quorum, decisions taken at a meeting shall not be final and shall be subject to ratification by those voting members not in attendance by one of the following means: following the meeting, the project manager shall poll (by telephone, e-mail, etc.) those voting members for their votes/opinions and document the results in the minutes as a secretary’s note; b) the item should be added to the agenda for the next meeting and the decision ratified at that time; or c) the decision shall be ratified by ballot.</i></p> <p><i>File No.: S2025 Technical Committee on Sustainable Forest Management Terms of Reference “Clause 4.4 Specific requirement for Decision Making - The SFM Technical Committee, in addition to the requirements</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>outlined in the CSA Directives, shall operate through consensus with a specific requirement that affirmative votes from at least 1/3 of the members in each of its Interest Categories outlined above are required for approving major decisions, including ballots for approval of a CSP (Consensus Standard Product)."</i></p> <p><b>CONFORMITY</b></p>
	Process	NA	<p>The TC reached consensus on all technical matters related to the standard revision process.</p> <p><b>NOT APPLICABLE</b></p>
<p>5.9 In the case of a negative vote which represents sustained opposition to any important part of the concerned interests surrounding a substantive issue, the issue shall be resolved using the following mechanism(s):</p>			
<p>a) discussion and negotiation on the disputed issue within the working group/committee in order to find a compromise,</p>	Procedures	YES	<p><i>CSA-SDP-2.2-14</i></p> <p><i>"Clause 9 Approval of the technical content of a draft CSA Standard</i></p> <p><i>Note: Formal approval of a draft CSA Standard includes approval of the technical content by the TC, including the disposition of negatives and consideration of comments, and a second level review and approval (see Clause 10).</i></p> <p><i>Clause 9.1.1 The technical content of draft CSA Standards shall be approved by a TC. Approval shall be accomplished by conducting a ballot or by a recorded vote at a meeting (held in person or by video/ teleconference).</i></p> <p><i>Clause 9.3.1 To vote on the technical content of a draft CSA Standard, one of the following options shall be used:</i></p> <p><i>a) affirmative — when the technical content of the draft is acceptable as</i></p>



Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>presented;</i></p> <p><i>b) affirmative with comment — when the technical content of the draft is basically acceptable, no substantive changes are required, and editorial changes or clarifications are proposed; or</i></p> <p><i>c) negative with reason — when the technical content of the draft is deemed unacceptable, in error, or incomplete. Negative votes shall be supported with reasons. Whenever possible, the negative voter should include suggestions for alternatives that would enable the voter to reverse the negative vote.</i></p> <p><i>9.6 Consideration of comments and negative votes</i></p> <p><i>Clause 9.6.1 All negative votes shall be dispositioned and processed in accordance with Clauses 9.6.2 to 9.8.3. All comments shall be considered.”</i></p> <p><i>CSA Group Z809 Sustainable Forest Management: Standard Setting Procedures Document September 23, 2015</i></p> <p><i>“Clause 5. Approval stage: The technical committee formally votes on the draft standard and technical content as presented following the pre-approval edit. The Technical Committee completes the balloting process by letter or recorded vote. A second level review conducted by CSA verifies that the standard development procedures were followed.”</i></p> <p><i>File No.: S2025 Technical Committee on Sustainable Forest Management Terms of Reference</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>Clause 4.4 Specific requirement for Decision Making - The SFM Technical Committee, in addition to the requirements outlined in the CSA Directives, shall operate through consensus with a specific requirement that affirmative votes from at least 1/3 of the members in each of its Interest Categories outlined above are required for approving major decisions, including ballots for approval of a CSP (Consensus Standard Product)."</i></p> <p><b>CONFORMITY</b></p>
	Process	NA	<p>There were no instances of a negative vote which represents sustained opposition to any important part of the concerned interests surrounding a substantive issue.</p> <p><b>NOT APPLICABLE</b></p>
b) direct negotiation between the stakeholder(s) submitting the objection and stakeholders with different views on the disputed issue in order to find a compromise,	Procedures	YES	<p>CSA-SDP-2.2-14</p> <p><i>"Clause 9 Approval of the technical content of a draft CSA Standard</i>  <i>Note: Formal approval of a draft CSA Standard includes approval of the technical content by the TC, including the disposition of negatives and consideration of comments, and a second level review and approval (see Clause 10).</i>  <i>Clause 9.1.1 The technical content of draft CSA Standards shall be approved by a TC. Approval shall be accomplished by conducting a ballot or by a recorded vote at a meeting (held in person or by video/ teleconference).</i>  <i>Clause 9.3.1 To vote on the technical content of a draft CSA Standard, one of the</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>following options shall be used:</i></p> <p><i>a) affirmative — when the technical content of the draft is acceptable as presented;</i></p> <p><i>b) affirmative with comment — when the technical content of the draft is basically acceptable, no substantive changes are required, and editorial changes or clarifications are proposed; or</i></p> <p><i>c) negative with reason — when the technical content of the draft is deemed unacceptable, in error, or incomplete. Negative votes shall be supported with reasons. Whenever possible, the negative voter should include suggestions for alternatives that would enable the voter to reverse the negative vote.</i></p> <p><i>9.6 Consideration of comments and negative votes</i></p> <p><i>Clause 9.6.1 All negative votes shall be dispositioned and processed in accordance with Clauses 9.6.2 to 9.8.3. All comments shall be considered.”</i></p> <p><i>CSA Group Z809 Sustainable Forest Management: Standard Setting Procedures Document September 23, 2015</i></p> <p><i>“Clause 5. Approval stage: The technical committee formally votes on the draft standard and technical content as presented following the pre-approval edit. The Technical Committee completes the balloting process by letter or recorded vote. A second level review conducted by CSA verifies that the standard development procedures were followed.”</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>File No.: S2025 Technical Committee on Sustainable Forest Management Terms of Reference</i></p> <p><i>Clause 4.4 Specific requirement for Decision Making - The SFM Technical Committee, in addition to the requirements outlined in the CSA Directives, shall operate through consensus with a specific requirement that affirmative votes from at least 1/3 of the members in each of its Interest Categories outlined above are required for approving major decisions, including ballots for approval of a CSP (Consensus Standard Product)."</i></p> <p><b>CONFORMITY</b></p>
	Process	NA	<p>There were no instances of a negative vote which represents sustained opposition to any important part of the concerned interests surrounding a substantive issue.</p> <p><b>NOT APPLICABLE</b></p>
c) dispute resolution process.	Procedures	YES	<p><i>CSA-SDP-2.2-14</i></p> <p><i>Annex A (normative) Appeals and complaints</i></p> <p><i>A.3 Appeals concerning a negative vote ruled nongermane</i></p> <p><i>A.3.1.1 - If a negative vote at the TC level has been ruled nongermane, the voter may appeal this decision in writing to the project manager of the SSC within 30 days of the notice required in Clause 9.6.6.</i></p> <p><i>The SSC shall give consideration to this appeal and shall make a recommendation(s) concerning the nongermane decision and provide suitable</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>guidance to the TC chair.”</i></p> <p><i>Clause 9.6.1 All negative votes shall be dispositioned and processed in accordance with Clauses 9.6.2 to 9.8.3. All comments shall be considered.”</i></p> <p><b>CONFORMITY</b></p>
	Process	YES	<p>There were no instances of a negative vote which represents sustained opposition to any important part of the concerned interests surrounding a substantive issue.</p> <p><b>NOT APPLICABLE</b></p>
5.10 Documentation on the implementation of the standard-setting process shall be made publicly available.	Procedures	YES	<p>The CSA Group website provides publicly available information on <a href="#">How Standards Are Developed</a>. The website includes information on <a href="#">How to Get Involved</a> in participating in and commenting on standards development. In addition, the <i>CSA Directives &amp; Guidelines (SDP 2.1-14, SDP-2.2-14 &amp; SDP-2.3-14)</i> describe the standard setting procedures and are publicly available on the <a href="#">CSA Group website</a>. <i>Clause 0.2</i> in each of these documents invites proposals for changes to the Directives &amp; Guidelines through written submission to the Secretary of the CSA Standards Policy Board. <i>CSA Directives &amp; Guidelines (SDP 2.1-14, SDP-2.2-14 &amp; SDP-2.3-14)</i> describe how the standard setting process is implemented and are publicly available on the CSA Group website at <a href="#">How Standards are Developed</a></p> <p><b>CONFORMITY</b></p>
	Process	YES	The assessor notes that the CAN/CSA-Z809

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p>draft was accessible on the CSA public review website during the 60-day review period. In addition, the CSA TC created an email campaign to ensure that all key stakeholders were informed about the public review process. The document entitled “Public Review Email Campaign” contains the list of stakeholders and their affiliations and resulted in a broad distribution encouraging them to provide input during the public comment period.</p> <p><i>A Z809 Major Changes Document</i> was developed and made available at the start of the public review period. This can be found on the <a href="#">CSA Z809 Landing Page</a> under <i>Proposed Key Changes</i>.</p> <p>The CSA Group website provides publicly available information on <a href="#">How Standards Are Developed</a>. The website includes information on <a href="#">How to Get Involved</a> in participating in and commenting on standards development. In addition, the <i>CSA Directives &amp; Guidelines (SDP 2.1-14, SDP-2.2-14 &amp; SDP-2.3-14)</i> describe the standard setting procedures and are publicly available on the <a href="#">CSA Group website</a>. <i>Clause 0.2</i> in each of these documents invites proposals for changes to the Directives &amp; Guidelines through written submission to the Secretary of the CSA Standards Policy Board. <i>CSA Directives &amp; Guidelines (SDP 2.1-14, SDP-2.2-14 &amp; SDP-2.3-14)</i> describe how the standard setting process is implemented and are publicly available on the CSA Group website at <a href="#">How Standards are Developed</a></p> <p><b>CONFORMITY</b></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
<p>5.11 The standardising body shall formally approve the standards/normative documents based on evidence of consensus reached by the working group/committee.</p>	<p>Procedures</p>	<p>YES</p>	<p><i>CSA-SDP-2.2-14</i></p> <p><i>“Stage 5 — Approval Stage</i>  <i>Section 9 Approval of the technical content of a draft CSA Standard</i>  <i>Clause 9.1.1 The technical content of draft CSA Standards shall be approved by a TC. Approval shall be accomplished by conducting a ballot or by a recorded vote at a meeting (held in person or by video/ teleconference).</i>  <i>Clause 9.1.2 The technical content of a draft CSA Standard, including any informative text, e.g., informative annexes or a preamble, shall be considered approved when a) the numerical requirements in Clause 9.4 have been met; b) any negative votes have been dispositioned in accordance with Clause 9.6, and comments have been considered; and c) any due process ballots (see Clause 9.8) on unresolved negative votes have been completed.</i></p> <p><i>Section 10 Second level review (SLR)</i>  <i>Clause 10.1 General - The SLR is conducted all items noted in Clause 9.4.2 of Directives and guidelines, Part 1. Following approval of the technical content by the TC, completion of any SSC due process ballots on unresolved negative votes, and SSC authorization regarding changes affecting the scope, the draft shall be submitted for second level review and approval.</i>  <i>Clause 10.2 Conducting the SLR – It is the responsibility of the SLR Chair to ensure that applicable process requirements were completed before acceptance. If necessary, the responsible TC or SSC may be consulted.</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>Stage 6 — Publication Stage</i></p> <p><i>Section 11 Publication of a CSA Standard</i></p> <p><i>Clause 11.1.2 - A draft CSA Standard shall be considered formally approved for publication when it has been processed in accordance with the requirements of Clauses 9 and 10.</i></p> <p><i>Clause 11.2 Publishing a CSA Standard as a National Standard of Canada</i></p> <p><i>11.2.1 General CSA is accredited as an SDO by the Standards Council of Canada. As such, CSA is authorized to prepare National Standards of Canada. Approval to publish a CSA Standard as a National Standard of Canada is granted by the Standards Council of Canada. Such approval is requested by CSA staff.”</i></p> <p>Z809 Sustainable Forestry Management: Standard setting procedures document September 23, 2015</p> <p><i>“5. Approval Stage:</i>  <i>The technical committee formally votes on the draft standard and technical content as presented following the pre-approval edit. The Technical Committee completes the balloting process by letter or recorded vote. A second level review conducted by CSA verifies that the standard development procedures were followed.”</i></p> <p><b>CONFORMITY</b></p>
	Process	YES	<p>The assessor notes that the final face-to-face TC meeting of October 21, 2015 and final conference call of January 12, 2016 developed the final consensus draft for balloting. In addition, The TC reached</p>



Question	Assess. basis*	YES /NO*	Reference to application documents
			<p>consensus on all technical matters related to the standard revision process. All minutes of the TC meetings demonstrate openness and transparency among members, with meaningful opportunities for all members to contribute to the development and revision of the standard. All minutes of the TC are available upon request from CSA.</p> <p><b>CONFORMITY</b></p>
<p>5.12 The formally approved standards/normative documents shall be published in a timely manner and made publicly available.</p>	Procedures	YES	<p>CSA-SDP-2.2-14</p> <p><i>“Section 11 Publication of a CSA Standard Clause 11.1.2 A draft CSA Standard shall be considered formally approved for publication when it has been processed in accordance with the requirements of Clauses 9 and 10.</i></p> <p><i>11.1.3 Public notification of the publication of a CSA Standard shall be given by electronic means.</i></p> <p><i>Clause 11.2 Publishing a CSA Standard as a National Standard of Canada</i></p> <p><i>11.2.1 General CSA is accredited as an SDO by the Standards Council of Canada. As such, CSA is authorized to prepare National Standards of Canada. Approval to publish a CSA Standard as a National Standard of Canada is granted by the Standards Council of Canada. Such approval is requested by CSA staff.</i></p> <p><b>CONFORMITY</b></p>
	Process	YES	<p>The final approved standard was made publicly available in March 2016. See the <a href="#">CSA Z809 Landing Page</a></p> <p>From the Landing Page:  <i>“CSA Z809: Uniquely Canadian,</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>International Best Practices</i>  <i>The 2016 Edition is now available for FREE.</i>  <i>The first standard of its kind in the world and first published in 1996, CAN/CSA Z809 helps address the unique needs of Canada’s forestry sector, its unique public ownership structure, and its various stakeholder communities: consumers, environmental groups, government, industry, First Nations and academia. A national standard of Canada, CAN/CSA Z809 incorporates Canada’s own national SFM criteria, developed by the Canadian Council of Forest Ministers, as well as locally-adapted indicators developed through public consultation. It links adaptive forest management to forest certification through performance, public participation and system requirements.”</i></p> <p><b>CONFORMITY</b></p>
<b>Revisions of standards/normative documents</b>			
<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.</p>	Process	YES	<p>CSA-SDP-2.2-14</p> <p><i>Stage 7 — Maintenance Stage</i>  <i>Section 12 Maintenance</i>  <i>Clause 12.4 Systemic review of CSA Standards addresses review and revision.</i>  <i>12.4.1 “A CSA Standard shall be reviewed at least every five years by the responsible TC.”</i></p> <p>The assessor notes that a CSA standard is effective the date of publication and immediately supersedes previous editions as stated in the Preface of CAN/CSA-Z809-16: <i>“This is the fourth edition of CSAZ809,</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>Sustainable forest management. It supersedes the previous editions, published in 2008, 2002, and 1996.”</i></p> <p>The revision process concluded with publication of CSA-Z809-16 in March 2016. The Standard was subsequently approved as CAN/CSA-Z809-16, a National Standard of Canada by the Standards Council of Canada in September 2016.</p> <p>The assessor also notes that PEFC Canada sent letters on November 24, 2015 and June 21, 2017, requesting extensions on the validity of the CSA SFM Standard. The letters provided an update on the progress of revision and the reasons for the required extension. PEFC Council accepted the reasons and granted the extension in their letter of May 26, 2016. A subsequent extension of six months was granted on June 21, 2017 to cover the period of the re-endorsement assessment. These letters are available upon request from PEFC Canada.</p> <p><b>CONFORMITY</b></p>
<p>6.2 The revision shall define the application date and transition date of the revised standards/normative documents.</p>	<p>Process</p>	<p>YES</p>	<p>The assessor notes that the Standards Council of Canada, working with CSA has implemented a transition plan for the revised standard as communicated to Certification Bodies in an <a href="#">SCC Accreditation Bulletin</a>. The transition period is two years following publication of CAN/CSA-Z809-16.</p> <p>From the SCC Accreditation bulletin:</p> <p style="text-align: center;"><i>“Action required</i>  <i>The CSA has published CAN/CSA Z809-16 on September 16th, 2016. The transition timeframe from CAN/CSA Z809-08 to</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>CAN/CSA Z809-16 is 2 years.”</i></p> <p><b>CONFORMITY</b></p>
<p>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.</p>	<p>Process</p>	<p>YES</p>	<p>The assessor notes that the Standards Council of Canada, working with CSA, has implemented a transition plan for the revised standard as communicated to Certification Bodies in an <a href="#">SCC Accreditation Bulletin</a>. The transition period is two years following publication of CAN/CSA-Z809-16.</p> <p>From the SCC Accreditation bulletin:</p> <p style="text-align: center;"><i>“Action required</i>  <i>The CSA has published CAN/CSA Z809-16 on September 16th, 2016. The transition timeframe from CAN/CSA Z809-08 to CAN/CSA Z809-16 is 2 years.”</i></p> <p>The assessor also notes that PEFC Canada has made the case, and it has been accepted in past endorsements, that transition under the CSA program takes longer than one year because of exceptional circumstances, namely the extensive public participation requirements CSA. Transition from Z809-96 to Z809-02 (the first PEFC-endorsed version) was 3 years, as was the transition from Z809-02 to Z809-08. The transition to Z809-16 is 2 years because of experience gained with past transitions and the fact that this standard revision is not as extensive as past revisions. Acknowledgement by PEFC can be found on pages 20 and 59 in the CSA SFM Standard Final Assessment Report of April 29, 2011. PEFC Canada provided additional clarification on transition in the May 20, 2011 letter to PEFC.</p> <p>The complexity of and time required to</p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p>complete the public participation process provides the justified exceptional circumstances where the implementation of the revised standards requires a period longer than one year.</p> <p><b>CONFORMITY</b></p>
<p>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.</p>	<p>Process</p>	<p>YES</p>	<p>The assessor notes that PEFC Canada has made the case, and it has been accepted in past endorsements, that transition under the CSA program takes longer than one year because of exceptional circumstances, namely the extensive public participation requirements CSA. Transition from Z809-96 to Z809-02 (the first PEFC-endorsed version) was 3 years, as was the transition from Z809-02 to Z809-08. The transition to Z809-16 is 2 years because of experience gained with past transitions and the fact that this standard revision is not as extensive as past revisions. Acknowledgement by PEFC can be found on pages 20 and 59 in the CSA SFM Standard Final Assessment Report of April 29, 2011. PEFC Canada provided additional clarification on transition in the May 20, 2011 letter to PEFC.</p> <p>The complexity of and time required to complete the public participation process provides the justified exceptional circumstances where the implementation of the revised standards requires a period longer than one year.</p> <p><b>CONFORMITY</b></p>

### 3 Application documentation

The application for the endorsement and mutual recognition as defined in Chapter 5 of Annex 7 (*Endorsement and Mutual Recognition of National Systems and their Revision*) shall include information which enables the assessment of the applicant system's compliance with the PEFC Council requirements.

The application documentation should identify and make reference to other detailed documentation such as minutes, internal procedures and rules, reports, etc. which do not need to create a part of the application documentation.

**Asses. basis\*** The standard setting is assessed against the PEFC Council requirements in two stages: (i) compliance of written standard setting procedures ("Procedures") and (ii) compliance of the standard setting process itself ("Process").

For "Procedures" the applicant should refer to the part(s) of its standard setting procedures related to the respective PEFC requirement. For "Process" the applicant should either refer to the report/records of the standard setting process forming a part of the submitted application documents, or describe how the PEFC requirement was fulfilled during the standard setting process.

**YES/NO\*** If the answer to any question is no, the application documentation shall indicate for each element why and what alternative measures have been taken to address the element in question.

## PART II: Standard and System Requirement Checklist for Group FOREST MANAGEMENT CERTIFICATION (PEFC ST 1002:2010)

### 1 Scope

Part II covers requirements for group forest management certification as defined in PEFC ST 1002:2010, *Group Forest Management Certification – 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	YES / NO*	Reference to system documentation
<b>General</b>		
4.1 Does the forest certification scheme provide clear definitions for the following terms in conformity with the definitions of those terms presented in chapter 3 of PEFC ST 1002:2010:		
a) the group organisation,	YES	CAN/CSA-Z809-16  <i>“Section 3 Definitions and abbreviations Clause 3.1 Definitions: Group organization – a group of participants represented by the group entity for the purpose of adoption and implementation of this Standard.”</i>  <b>CONFORMITY</b>
b) the group entity,	YES	CAN/CSA-Z809-16  <i>“Section 3, Clause 3.1: Group entity – an entity identified to represents the participants of a group organization. One or more group participants can be selected as the group entity.”</i>  <b>CONFORMITY</b>
c) the participant,	YES	CAN/CSA-Z809-16  <i>“Section 3, Clause 3.1: Group participant – a forest manager and/or owner and member of the group organization who has the legal right to manage a defined forest area and the ability to implement the requirements of this Standard.”</i>

Question	YES / NO*	Reference to system documentation
		<b>CONFORMITY</b>
d) the certified area,	YES	CAN/CSA-Z809-16 <i>“Section 3, Clause 3.1:            Defined forest area (DFA) — a specified area of forest, including land and water (regardless of ownership or tenure), to which the requirements of this Standard apply.”</i> <b>CONFORMITY</b>
e) the group forest certificate, and	YES	CAN/CSA-Z809-16 <i>“Section 3, Clause 3.1:            Certification certificate — the official document issued by a certification body to an organization upon successful completion of the certification process (including the certification audit).”</i> <b>CONFORMITY</b>
f) the document confirming participation in group forest certification.	YES	CAN/CSA-Z809-16 <i>“Section 7, Clause 7.7.2 Group entity responsibilities:            The group entity shall a) represent the group organization in the certification process, including i) communication with the certification body; ii) submission of an application for certification; and iii) maintenance of a contractual arrangement with the certification body; e) establish a written agreement with all group participants which includes confirmation of participation in the group organization, a commitment to meet the requirements of this Standard and measures to exclude any group participant from the scope of certification in the event of nonconformities with this Standard where corrective actions have not been taken;”</i> <b>CONFORMITY</b>
4.1.2 In cases where a forest certification scheme allows an individual forest owner to be covered by additional group or individual forest	NA	PEFC Canada does not allow a forest owner to be covered by additional group or individual forest management certification. <b>NOT APPLICABLE</b>



Question	YES / NO*	Reference to system documentation
<p>management certifications, the scheme shall ensure that non-conformity by the forest owner identified under one forest management certification is addressed in any other forest management certification that covers the forest owner.</p>		
<p>4.1.3 The forest certification scheme shall define requirements for group forest certification which ensure that participants' conformity with the sustainable forest management standard is centrally administered and is subject to central review and that all participants shall be subject to the internal monitoring programme.</p>	<p>YES</p>	<p>CAN/CSA-Z809-16</p> <p><i>“Section 7 SFM system requirements Clause 7.7.1 Basic Requirements: When a group organization adopts and implements this standard the group organization shall: a) Identify all participants in the group organization and; b) identify a group entity to represent the group organization.”</i></p> <p><i>Clause 7.7.2 Group entity responsibilities: The group entity shall: g) monitor annually the conformance of the group participants with the requirements of this Standard; h) review conformity with this Standard including the results of the monitoring and certification body audit results, and effectiveness of corrective actions;</i></p> <p><i>Clause 7.5.1 Monitoring and measurement: The organization shall a) establish and maintain procedures to monitor on a regular basis progress towards conformance with the SFM requirements in the DFA; b) record performance levels and monitor indicators for comparison against targets/forecasts; and c) periodically assess the quality and meaningfulness of the, targets, forecasts and non-core indicators where applicable.”</i></p> <p><b>CONFORMITY</b></p>
<p>4.1.4 The forest certification scheme shall define requirements for an annual internal</p>	<p>YES</p>	<p>CAN/CSA-Z809-16</p> <p><i>“Section 7, Claus 7.7.2 Group entity responsibilities: The group entity shall:</i></p>

Question	YES / NO*	Reference to system documentation
<p>monitoring programme that provides sufficient confidence in the conformity of the whole group organisation with the sustainable forest management standard.</p>		<p><i>g) monitor annually the conformance of the group participants with the requirements of this Standard;</i>  <i>h) review conformity with this Standard including the results of the monitoring and certification body audit results, and effectiveness of corrective actions;</i>  <i>Clause 7.5.1 Monitoring and measurement:</i>  <i>The organization shall</i>  <i>d) establish and maintain procedures to monitor on a regular basis progress towards conformance with the SFM requirements in the DFA;</i>  <i>e) record performance levels and monitor indicators for comparison against targets/forecasts; and</i>  <i>f) periodically assess the quality and meaningfulness of the, targets, forecasts and non-core indicators where applicable."</i></p> <p><b>CONFORMITY</b></p>
<b>Functions and responsibilities of the group entity</b>		
4.2.1 The forest certification scheme shall define the following requirements for the function and responsibility of the group entity:		
<p>a) To represent the group organisation in the certification process, including in communications and relationships with the certification body, submission of an application for certification, and contractual relationship with the certification body;</p>	YES	<p>CAN/CSA-Z809-16</p> <p><i>"Section 7, Clause 7.7.2 Group entity responsibilities:</i>  <i>The group entity shall a) represent the group organization in the certification process, including i) communication with the certification body; ii) submission of an application for certification; and iii) maintenance of a contractual arrangement with the certification body;"</i></p> <p><b>CONFORMITY</b></p>
<p>b) To provide a commitment on behalf of the whole group organisation to comply with the sustainable forest management standard and other applicable requirements of the forest certification scheme;</p>	YES	<p>CAN/CSA-Z809-16</p> <p><i>"Section 7, Clause 7.7.2 Group entity responsibilities:</i>  <i>The group entity shall:</i>  <i>b) provide a commitment on behalf of the group organization to meet the requirements of this Standard;"</i></p> <p><b>CONFORMITY</b></p>

Question	YES / NO*	Reference to system documentation
<p>c) To establish written procedures for the management of the group organisation;</p>	<p>YES</p>	<p>CAN/CSA-Z809-16</p> <p><i>“Section 7, Clause 7.7.2 Group entity responsibilities: The group entity shall: a) establish documented procedures for management of the group organization as specified in Clause 7.4.1;”</i></p> <p><b>CONFORMITY</b></p>
<p>d) To keep records of:</p> <ul style="list-style-type: none"> <li>- the group entity and participants’ conformity with the requirements of the sustainable forest management standard, and other applicable requirements of the forest certification scheme,</li> <li>- all participants, including their contact details, identification of their forest property and its/their size(s),</li> <li>- the certified area,</li> <li>- the implementation of an internal monitoring programme, its review and any preventive and/or corrective actions taken;</li> </ul>	<p>YES</p>	<p>CAN/CSA-Z809-16</p> <p><i>“Section 7, Clause 7.5.17.5.1 Monitoring and measurement</i></p> <p><i>The organization shall</i></p> <ul style="list-style-type: none"> <li><i>a) establish and maintain procedures to monitor on a regular basis progress towards conformance with the SFM requirements in the DFA;</i></li> <li><i>b) record performance levels and monitor indicators for comparison against targets/forecasts; and</i></li> <li><i>c) periodically assess the quality and meaningfulness of the targets, forecasts and non-core indicators where applicable</i></li> </ul> <p><i>Clause 7.7.2 Group entity responsibilities: The group entity shall:</i></p> <ul style="list-style-type: none"> <li><i>a) keep records of:</i> <ul style="list-style-type: none"> <li><i>i) contact information for all participants of the group organization;</i></li> <li><i>ii) the DFA;</i></li> <li><i>iii) the results of audits of the group organization; and</i></li> </ul> </li> </ul> <p><i>the results of monitoring programs;”</i></p> <p><b>CONFORMITY</b></p>
<p>e) To establish connections with all participants based on a written agreement which shall include the participants’ commitment to comply with the sustainable forest management standard. The group entity shall have a</p>	<p>YES</p>	<p>CAN/CSA-Z809-16</p> <p><i>“Section 7, Clause 7.7.2 Group entity responsibilities: The group entity shall:</i></p> <ul style="list-style-type: none"> <li><i>e) establish a written agreement with all group participants which includes confirmation of participation in the group organization, a commitment to meet the requirements of this Standard and measures to exclude any group participant from the scope of certification in the event of nonconformities with this Standard</i></li> </ul>

Question	YES / NO*	Reference to system documentation
written contract or other written agreement with all participants covering the right of the group entity to implement and enforce any corrective or preventive measures, and to initiate the exclusion of any participant from the scope of certification in the event of non-conformity with the sustainable forest management standard;		<p><i>where corrective actions have not been taken;”</i></p> <p><b>CONFORMITY</b></p>
f) To provide participants with a document confirming participation in the group forest certification;	YES	<p>CAN/CSA-Z809-16</p> <p><i>“Section 7, Clause 7.7.2 Group entity responsibilities: The group entity shall: ...i) ensure the group participants are provided with a document confirming the scope of the group certification to this Standard.”</i></p> <p><b>CONFORMITY</b></p>
g) To provide all participants with information and guidance required for the effective implementation of the sustainable forest management standard and other applicable requirements of the forest certification scheme;	YES	<p>CAN/CSA-Z809-16</p> <p><i>“Section 7, Clause 7.7.2 Group entity responsibilities: The group entity shall: ...f) provide group participants with information and guidance as specified in Clauses 7.4.2 and 7.4.4;”</i></p> <p><i>Clause 7.4.2 Competence, training awareness, and knowledge: The organization shall identify training needs. It shall also ensure that personnel receive training in accordance with the impact of their work on the DFA and their ability to ensure that SFM requirements are met. The organization shall establish and maintain procedures to ensure that personnel, at each relevant function and level, have knowledge of their roles and responsibilities in achieving conformance with the SFM policy and SFM requirements. The organization shall ensure that its personnel are qualified on the basis of appropriate training and/or work experience and have opportunities to gain new knowledge.</i></p>

Question	YES / NO*	Reference to system documentation
		<p><i>The organization shall also require contractors working on its behalf to demonstrate that their personnel have the requisite training and awareness levels. The organization shall continually improve its knowledge of the DFA and SFM and shall monitor advances in SFM science and technology, and incorporate them where and when applicable.</i></p> <p><i>Clause 7.4.4 SFM documentation:</i></p> <p><i>The organization shall establish and maintain documentation, in paper or electronic form, that</i></p> <p><i>a) describes the SFM requirements and their interaction; and</i></p> <p><i>b) provides direction to related documentation.</i></p> <p><i>Organizations shall ensure that DFA-related workers and contractors have access to the documentation relevant to their responsibilities and tasks.”</i></p> <p><b>CONFORMITY</b></p>
<p>h) To operate an annual internal monitoring programme that provides for the evaluation of the participants' conformity with the certification requirements, and;</p>	<p>YES</p>	<p>CAN/CSA-Z809-16</p> <p><i>“Section 7, Clause 7.7.2 Group entity responsibilities:</i></p> <p><i>The group entity shall:</i></p> <p><i>...g) monitor annually the conformance of the group participants with the requirements of this Standard;”</i></p> <p><b>CONFORMITY</b></p>
<p>i) To operate a review of conformity with the sustainable forest management standard, that includes reviewing the results of the internal monitoring programme and the certification body's evaluations and surveillance; corrective and preventive measures if required; and the evaluation of the effectiveness of corrective actions taken.</p>	<p>YES</p>	<p>CAN/CSA-Z809-16</p> <p><i>“Section 7, Clause 7.7.2 Group entity responsibilities:</i></p> <p><i>The group entity shall:</i></p> <p><i>...h) review conformity with this Standard including the results of the monitoring program and certification body audit results, and the effectiveness of corrective actions,”</i></p> <p><b>CONFORMITY</b></p>
<p><b>Function and responsibilities of participants</b></p>		
<p>4.3.1 The forest certification scheme shall define the following requirements for the participants:</p>		

Question	YES / NO*	Reference to system documentation
a) To provide the group entity with a written agreement, including a commitment on conformity with the sustainable forest management standard and other applicable requirements of the forest certification scheme;	YES	CAN/CSA-Z809-16  <i>"Section 7, Clause 7.7.3 Group participant responsibilities:            a) provide the group entity with a written agreement as specified in 7.7.2 e)            Clause 7.7.2 Group entity responsibilities:            The group entity shall:            e) establish a written agreement with all group participants which includes confirmation of participation in the group organization, a commitment to meet the requirements of this Standard and measures to exclude any group participant from the scope of certification in the event of nonconformities with this Standard where corrective actions have not been taken;"</i>  <b>CONFORMITY</b>
b) To comply with the sustainable forest management standard and other applicable requirements of the forest certification scheme;	YES	CAN/CSA-Z809-16  <i>"Section 7, Clause 7.7.3 Group participant responsibilities:            ...b) provide a commitment to meet the requirements of this Standard;"</i>  <b>CONFORMITY</b>
c) To provide full co-operation and assistance in responding effectively to all requests from the group entity or certification body for relevant data, documentation or other information; allowing access to the forest and other facilities, whether in connection with formal audits or reviews or otherwise;	YES	CAN/CSA-Z809-16  <i>"Section 7, Clause 7.7.3 Group participant responsibilities:            c) respond effectively to requests from the group entity for access to information and access to the DFA in relation to audits and reviews of conformity with this Standard;"</i>  <b>CONFORMITY</b>
d) To implement relevant corrective and preventive actions established by the group entity.	YES	CAN/CSA-Z809-16  <i>"Section 7, Clause 7.7.3 Group participant responsibilities:            ...c) implement corrective actions established by the group entity."</i>

Question	YES / NO*	Reference to system documentation
		<b>CONFORMITY</b>

**PART III: Standard and System Requirement Checklist for SUSTAINABLE FOREST MANAGEMENT (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	YES / NO*	Reference to scheme documentation
<b>General requirements for SFM standards</b>		
4.1 The requirements for sustainable forest management defined by regional, national or sub-national forest management standards shall		
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.	YES	CAN/CSA-Z809-16  <i>“Section 4 Sustainable Forest Management Requirements            Clause 4.2 Required Activities            The organization shall meet the sustainable forest management (SFM) requirements of this Standard, which include            a) compliance with legislation applicable to the defined forest area (DFA);            b) values, objectives, indicators, and targets that clearly address the SFM criteria and elements in this Standard;            c) ongoing and meaningful public participation;            d) implementation of adaptive management;            e) progress towards or achievement of performance targets; and            f) continual improvement in performance.”</i>  <b>CONFORMITY</b>
b) be clear, objective-based and auditable.	YES	CAN/CSA-Z809-16  <i>“Section 0 Introduction            Clause 0.8 Third party independent audits            To become certified to this Standard, the organization goes through a third-party independent audit to the</i>



Question	YES / NO*	Reference to scheme documentation
		<p><i>SFM requirements in the Standard (these requirements are found in Clauses 4 to 7). The audit is conducted by a certification body accredited by a full IAF member accreditation body such as the Standards Council of Canada. The certification body employs, or has access to, a sufficient number of auditors, including audit team leaders, and technical experts to cover all of the audit work performed. Individual auditors employed or contracted by the certification body have the requisite forestry expertise and appropriate knowledge and skills relevant to the geographic areas in which it operates. In addition to the initial certification audit, there are mandatory annual surveillance audits which include both a document review and on-site checks of the forest and management system to ensure that progress is being made towards the achievement of targets and that the SFM requirements are being met. The certification body should implement a risk-based audit sampling approach and, as such, some criteria in this Standard may be assessed more frequently than others. A full recertification audit is required periodically following the initial certification, in accordance with the requirements of ISO/IEC 17021.”</i></p> <p><b>CONFORMITY</b></p>
<p>c) apply to activities of all operators in the defined forest area who have a measurable impact on achieving compliance with the requirements.</p>	<p>YES</p>	<p>CAN/CSA-Z809-16</p> <p><i>“Section 7 SFM system requirements Clause 7.3.2 Defined responsibilities The organization shall identify the parties present in the DFA, and clearly describe their respective roles and responsibilities. Where there are parties operating within the DFA that are not interested in participating or are not necessary for the achievement of the SFM elements, the organization may proceed without their involvement provided that the overall objectives and targets can still be achieved.”</i></p> <p><b>CONFORMITY</b></p>
<p>d) require record-keeping that provides</p>	<p>YES</p>	<p>CAN/CSA-Z809-16</p>

Question	YES / NO*	Reference to scheme documentation
evidence of compliance with the requirements of the forest management standards.		<p><i>“Section 7 SFM, Clause 7.5.3 Records The organization shall establish and maintain procedures for the identification, maintenance, and disposal of SFM requirement records. These records shall include training records and the results of audits and reviews.”</i></p> <p><b>CONFORMITY</b></p>
<b>Specific requirements for SFM standards</b>		
<b>Criterion 1: Maintenance and appropriate enhancement of forest resources and their contribution to the global carbon cycle</b>		
<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 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>	YES	<p>CAN/CSA-Z809-16</p> <p><i>“Section 6 SFM performance requirements Clause 6.3.2 – Criterion 2 Ecosystem condition and productivity 6.3.2.1 General Conserve forest ecosystem condition and productivity by maintaining the health, vitality, and rates of biological production. 6.3.2.3 Element 2.1 – Forest ecosystem condition and productivity Conserve forest ecosystem productivity and productive capacity by maintaining ecosystem conditions that are capable of supporting naturally occurring species. Reforest promptly and use tree species ecologically suited to the site. Clause 6.3.3 Criterion 3 – Soil and water 6.3.3.1 General Conserve soil and water resources by maintaining their quantity and quality in forest ecosystems. 6.3.3.3 Element 3.1 – Soil quality and quantity Conserve soil resources by maintaining soil quality and quantity. 6.3.3.4 Element 3.2 – Water quality and quantity Conserve water resources by maintaining water quality and quantity Clause 6.3.4 Criterion 4 – Role in global ecological cycles</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>6.3.4.1 General</i>  <i>Maintain forest conditions and management activities that contribute to the health of global ecological cycles.</i></p> <p><i>6.3.4.4 Element 4.2 — Forest land conversion</i>  <i>Protect forest lands from deforestation. Encourage afforestation where ecologically appropriate.</i></p> <p><i>Clause 6.3.5 Criterion 5 — Economic and social benefits</i></p> <p><i>6.3.5.1 General</i>  <i>Sustain flows of forest benefits for current and future generations by providing multiple goods and services.</i></p> <p><i>6.3.5.3 Element 5.1 — Timber and non-timber benefits</i>  <i>Manage the forest sustainably to produce a mix of timber and non-timber benefits. Support a diversity of timber and non-timber forest products and forest-based services.</i></p> <p><i>6.3.5.4 Element 5.2 — Communities and sustainability</i>  <i>Contribute to the sustainability of communities by providing diverse opportunities to derive benefits from forests and by supporting local community economies.”</i></p> <p><b>CONFORMITY</b></p>
<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>YES</p>	<p>CAN/CSA-Z809-16</p> <p><i>“Section 1, Clause 0.7 Continual improvement</i>  <i>The concept of continual improvement in SFM is central to this Standard. The Standard uses adaptive management procedures that recognize SFM as a dynamic process that incorporates new knowledge acquired through time, experience, and research, and that also evolves with society’s changing environmental, social, and economic values. This Standard also requires the organization to undertake an annual review of all its requirements, including performance requirements, to identify areas for continual improvement.</i></p> <p><i>Clause 1 Scope 1.1 This Standard specifies requirements for sustainable forest management</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>(SFM) of a defined forest area (DFA), including requirements for</i></p> <ul style="list-style-type: none"> <li><i>a) the management framework;</i></li> <li><i>b) commitment;</i></li> <li><i>c) public participation;</i></li> <li><i>d) performance measures and targets;</i></li> <li><i>e) the systematic review of actions;</i></li> <li><i>f) the monitoring of effectiveness; and</i></li> <li><i>g) continual improvement.</i></li> </ul> <p><i>Section 4 Sustainable Forest Management requirements</i></p> <p><i>Clause 4.2 Required activities</i></p> <p><i>The organization shall meet the sustainable forest management (SFM) requirements of this Standard, which include</i></p> <ul style="list-style-type: none"> <li><i>a) compliance with legislation applicable to the defined forest area (DFA);</i></li> <li><i>b) values, objectives, indicators, and targets that clearly address the SFM criteria and elements in this Standard;</i></li> <li><i>c) ongoing and meaningful public participation;</i></li> <li><i>d) implementation of adaptive management;</i></li> <li><i>e) progress towards or achievement of performance targets; and continual improvement in performance</i></li> </ul> <p><i>Section 7, Clause 7.3.5 SFM Plan</i></p> <p><i>The organization shall document, maintain, and make publicly available an SFM plan for the DFA. The SFM plan for each DFA shall include</i></p> <ul style="list-style-type: none"> <li><i>a) a comprehensive description and map of the DFA including analysis units (if applicable);</i></li> <li><i>b) a summary of the most recent forest management plan and the management outcomes;</i></li> <li><i>c) a statement of values, objectives, indicators, and targets;</i></li> <li><i>d) the current status and forecasts for each indicator, including a description of the assumptions and analytical methods used for forecasting where relied upon;</i></li> <li><i>e) a description of the chosen strategy for each target, including all significant actions to be undertaken and the associated implementation schedule;</i></li> <li><i>f) a description of the monitoring program; and</i></li> </ul>

Question	YES / NO*	Reference to scheme documentation
		<p><i>g) an analysis of actual and expected outcomes.”</i></p> <p><b>CONFORMITY</b></p>
<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>YES</p>	<p>CAN/CSA-Z809-16</p> <p><i>“Section 7, Clause 7.3.1 Defined forest area (DFA) The organization shall designate a clearly defined forest area to which this Standard applies. The organization shall define the geographic extent and the respective ownership and management responsibilities for the DFA and utilize applicable inventories and maps to support the SFM Plan. Clause 7.3.5 SFM plan The organization shall document, maintain, and make publicly available an SFM plan for the DFA. The SFM plan for each DFA shall include a) a comprehensive description and map of the DFA including analysis units (if applicable);”</i></p> <p><b>CONFORMITY</b></p>
<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>YES</p>	<p>CAN/CSA-Z809-16</p> <p><i>“Section 7, Clause 7.3.3 Rights and regulations The organization shall a) respect the legal rights and responsibilities of other parties in the DFA; b) demonstrate that relevant legislation and regulatory requirements relating to ownership, tenure, rights, and responsibilities in the DFA have been identified and complied with; c) demonstrate that the legal and constitutional rights relevant to SFM (including those specified in the International Labour Organization [ILO] Conventions and Recommendations to which Canada is a signatory [such as “Freedom of Association” and “Protection of the Right to Organize”]) and the health and safety of DFA-related workers are respected, and their contributions to SFM are encouraged; d) demonstrate that the acquired and legal rights of private woodlot owners to set the values, objectives, indicators, and targets relating to their properties are respected; and</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p>e) <i>establish and maintain procedures to identify and have access to all legal and other requirements to which the organization subscribes that are applicable to the DFA. This includes requirements related to ownership tenure, rights, and responsibilities in the DFA.</i></p> <p><i>Clause 7.3.5 SFM Plan</i></p> <p><i>The organization shall document, maintain, and make publicly available an SFM plan for the DFA. The SFM plan for each DFA shall include</i></p> <p>a) <i>a comprehensive description and map of the DFA including analysis units (if applicable);</i></p> <p>b) <i>a summary of the most recent forest management plan and the management outcomes;</i></p> <p>c) <i>a statement of values, objectives, indicators, and targets;</i></p> <p>d) <i>the current status and forecasts for each indicator, including a description of the assumptions and analytical methods used for forecasting where relied upon;</i></p> <p>e) <i>a description of the chosen strategy for each target, including all significant actions to be undertaken and the associated implementation schedule;</i></p> <p>f) <i>a description of the monitoring program; and</i></p> <p>g) <i>an analysis of actual and expected outcomes.”</i></p> <p><b>CONFORMITY</b></p>
<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>YES</p>	<p>CAN/CSA-Z809-16</p> <p><i>“Section 7, Clause 7.3.5 SFM Plan</i></p> <p><i>The organization shall document, maintain, and make publicly available an SFM plan for the DFA. The SFM plan for each DFA shall include</i></p> <p>h) <i>a comprehensive description and map of the DFA including analysis units (if applicable);</i></p> <p>i) <i>a summary of the most recent forest management plan and the management outcomes;</i></p> <p>j) <i>a statement of values, objectives, indicators, and targets;</i></p> <p>k) <i>the current status and forecasts for each indicator, including a description of the assumptions and analytical methods used for forecasting where relied upon;</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>l) a description of the chosen strategy for each target, including all significant actions to be undertaken and the associated implementation schedule;</i></p> <p><i>m) a description of the monitoring program; and</i></p> <p><i>n) an analysis of actual and expected outcomes.</i></p> <p><i>Section 6, Clause 6.3.5 Criterion 5 Economic and social benefits</i></p> <p><i>6.3.5.1 General</i></p> <p><i>Sustain flows of forest benefits for current and future generations by providing multiple goods and services.</i></p> <p><i>6.3.5.3 Element 5.1 – Timber and non-timber benefits</i></p> <p><i>Manage the forest sustainably to produce a mix of timber and non-timber benefits. Support a diversity of timber and non-timber forest products and forest-based services.</i></p> <p><i>Core indicators</i></p> <p><i>5.1.1 – Documentation of the diversity of timber and non-timber resources, including products and services produced in the DFA.</i></p> <p><i>5.1.2 – Evidence of open and respectful communications with forest dependent businesses, forest users and local communities to integrate non-timber resources into forest management planning. When significant disagreement occurs, efforts towards conflict resolution are documented.</i></p> <p><i>Clause A.6.3.2.3 Element 2.1 - Forest ecosystem condition and productivity</i></p> <p><i>For many people, sustainability involves limiting actual timber harvest to levels within the long-term capability of the forest to grow wood. To track this, managers need data on both harvest levels and long-term production capability to make proportional calculations. In practice, only the actual harvest level can be physically measured. The amount of wood that can be produced in perpetuity from a forest is a theoretical calculation that depends not only on the inherent wood-growing capacity of the forest ecosystem but also on the kinds and intensities of</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>management inputs (e.g., silvicultural treatments). Because the latter inputs are under human control, a forest can have a wide range of potential long-term sustainable wood harvest levels. The organization and interested parties should develop a mutual understanding of how long-term sustainable harvest levels are to be calculated. The actual annual allowable harvest levels are determined or approved by each province using a range of analytical tools and consideration of socio-economic factors. These determinations are used by forest managers to ensure that harvest levels are sustainable over the long term.</i></p> <p><i>Section 4 Sustainable Forest Management Requirements</i></p> <p><i>Clause 4.2 Required Activities</i></p> <p><i>The organization shall meet the sustainable forest management (SFM) requirements of this Standard, which include</i></p> <p style="padding-left: 40px;"><i>o) compliance with legislation applicable to the defined forest area (DFA);”</i></p> <p>The assessor notes that in Canada, the Allowable Annual Cut is set by provincial governments with the intent of maintaining a long-term balance between forest growth and timber harvest.</p> <p><b>CONFORMITY</b></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>YES</p>	<p>CAN/CSA-Z809-16</p> <p><i>“Section 7, Clause 7.3.5 SFM Plan</i></p> <p><i>The organization shall document, maintain, and make publicly available an SFM plan for the DFA.”</i></p> <p><b>CONFORMITY</b></p>
<p>5.1.7 Monitoring of forest resources and evaluation of their management shall be periodically performed, and results fed</p>	<p>YES</p>	<p>CAN/CSA-Z809-16</p> <p><i>“Section 7, Clause 7.3.5 SFM Plan</i></p>



Question	YES / NO*	Reference to scheme documentation
back into the planning process.		<p><i>The organization shall document, maintain, and make publicly available an SFM plan for the DFA. The SFM plan for each DFA shall include</i></p> <p><i>f) description of the monitoring program;</i></p> <p><i>Clause 7.5.1 Monitoring and measurement</i></p> <p><i>The organization shall</i></p> <p><i>a) establish and maintain procedures to monitor on a regular basis progress towards conformance with the SFM requirements in the DFA;</i></p> <p><i>b) record performance levels and monitor indicators for comparison against targets/forecasts; and</i></p> <p><i>c) periodically assess the quality and meaningfulness of the targets, forecasts and non-core indicators where applicable.</i></p> <p><i>Clause 7.5.2 Corrective action</i></p> <p><i>The organization shall establish and maintain procedures for</i></p> <p><i>(a) defining responsibility and authority for identifying and investigating nonconformity;</i></p> <p><i>(b) taking action to mitigate impacts; and</i></p> <p><i>(c) initiating and completing corrective action.</i></p> <p><i>Any corrective action taken to eliminate the causes of actual and potential nonconformities shall be appropriate to the magnitude of problem and commensurate with the impact encountered.</i></p> <p><i>Clause 7.6 Management review</i></p> <p><i>The organization's top management shall periodically review the SFM requirements to ensure that progress towards SFM continues to be suitable, adequate, and effective. The information necessary to allow top management to carry out this evaluation shall be collected. This review shall be documented.</i></p> <p><i>In order to be adaptive, the management review shall address the possible need for changes to policy, targets, and other SFM requirements, in light of audit results, changing circumstances, and the commitment to continual improvement."</i></p> <p><b>CONFORMITY</b></p>
5.1.8 Responsibilities for sustainable forest management shall be clearly	YES	<p>CAN/CSA-Z809-16</p> <p>"Clause 7.4.1 Structure, responsibility and resources</p>

Question	YES / NO*	Reference to scheme documentation
defined and assigned.		<p><i>Roles, responsibilities, and authority required to implement and maintain conformance with SFM requirements shall be defined, documented, and communicated within the organization.</i></p> <p><i>The organization shall provide resources essential to the implementation and control of the SFM requirements, including human resources and specialized skills, technology, and financial resources.”</i></p> <p><b>CONFORMITY</b></p>
<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>YES</p>	<p>CAN/CSA-Z809-16</p> <p><i>“Section 6, Clause 6.3.2 Criterion 2 — Ecosystem condition and productivity</i></p> <p><i>6.3.2.1 General</i></p> <p><i>Conserve forest ecosystem condition and productivity by maintaining the health, vitality, and rates of biological production.</i></p> <p><i>6.3.2.3 Element 2.1 — Forest ecosystem condition and productivity</i></p> <p><i>Conserve forest ecosystem productivity and productive capacity by maintaining ecosystem conditions that are capable of supporting naturally occurring species.</i></p> <p><i>Reforest promptly and use tree species ecologically suited to the site.</i></p> <p><i>Core indicators</i></p> <p><i>2.1.1 — Reforestation success.</i></p> <p><i>2.1.2 — Proportion of regeneration comprised of native species.</i></p> <p><i>2.1.3 — Additions and deletions to the forest area</i></p> <p><i>2.1.4 — Proportion of the calculated long-term sustainable harvest level that is actually harvested.</i></p> <p><i>Clause 6.3.3 Criterion 3 — Soil and water</i></p> <p><i>6.3.3.1 General</i></p> <p><i>Conserve soil and water resources by maintaining their quantity and quality in forest ecosystems.</i></p> <p><i>6.3.3.3 Element 3.1 — Soil quality and quantity</i></p> <p><i>Conserve soil resources by maintaining soil quality and quantity.</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>6.3.3.4 Element 3.2 — Water quality and quantity Conserve water resources by maintaining water quality and quantity.</i></p> <p><i>6.3.5.1 General Sustain flows of forest benefits for current and future generations by providing multiple goods and services.”</i></p> <p>The assessor notes that in Canada, Allowable Annual Cut is set by provincial governments with the intent of maintaining a long-term balance between forest growth and timber harvest.</p> <p><b>CONFORMITY</b></p>
<p>5.1.10 Appropriate silvicultural measures shall be taken to maintain or reach a level of the growing stock that is economically, ecologically and socially desirable.</p>	<p>YES</p>	<p>CAN/CSA-Z809-16</p> <p><i>“Section 6, Clause 6.3.2 Criterion 2 — Ecosystem condition and productivity</i></p> <p><i>6.3.2.1 General Conserve forest ecosystem condition and productivity by maintaining the health, vitality, and rates of biological production.</i></p> <p><i>6.3.2.3 Element 2.1 — Forest ecosystem condition and productivity Conserve forest ecosystem productivity and productive capacity by maintaining ecosystem conditions that are capable of supporting naturally occurring species. Reforest promptly and use tree species ecologically suited to the site.</i></p> <p><i>Core indicators</i></p> <p><i>2.1.1 — Reforestation success.</i></p> <p><i>2.1.2 — Proportion of regeneration comprised of native species.</i></p> <p><i>2.1.3 — Additions and deletions to the forest area</i></p> <p><i>2.1.4 — Proportion of the calculated long-term sustainable harvest level that is actually harvested.”</i></p> <p>The assessor notes that in Canada, Allowable Annual Cut is set by provincial governments with the intent of maintaining a long-term balance between forest growth</p>

Question	YES / NO*	Reference to scheme documentation
		and timber harvest. <b>CONFORMITY</b>
<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>d) makes a contribution to long-term conservation, economic, and social benefits.</p>	YES	<p>CAN/CSA-Z809-16</p> <p><i>“Section 6, Clause 6.3.1 Criterion 1 — Biological diversity</i></p> <p><i>6.3.1.3 Element 1.1 — Ecosystem diversity</i></p> <p><i>Conserve ecosystem diversity at the stand and landscape levels by maintaining the variety of communities and ecosystems that naturally occur in the DFA. Establish forest plantations only in afforestation projects.</i></p> <p><i>Clause 6.3.4 Criterion 4 — Role in global ecological cycles</i></p> <p><i>6.3.4.4 Element 4.2 — Forest land conversion</i></p> <p><i>Protect forest lands from deforestation. Encourage afforestation where ecologically appropriate.</i></p> <p><i>3.1 Definitions</i></p> <p><i>Afforestation — the conversion of land that has not been forested for a period of at least 50 years to forest through planting, seeding or natural regeneration.”</i></p> <p><b>CONFORMITY</b></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>	YES	<p>CAN/CSA-Z809-16</p> <p><i>“Section 6, Clause 6.3.1 Criterion 1 — Biological diversity</i></p> <p><i>6.3.1.3 Element 1.1 — Ecosystem diversity</i></p> <p><i>Conserve ecosystem diversity at the stand and landscape levels by maintaining the variety of communities and ecosystems that naturally occur in the DFA. Establish forest plantations only in afforestation projects.</i></p> <p><i>Clause 6.3.4 Criterion 4 — Role in global ecological cycles</i></p> <p><i>6.3.4.4 Element 4.2 — Forest land conversion</i></p> <p><i>Protect forest lands from deforestation. Encourage afforestation where ecologically appropriate.</i></p> <p><i>Section 3 Definitions and abbreviations</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>3.1 Definitions</i>  <i>Afforestation — the conversion of land that has not been forested for a period of at least 50 years to forest through planting, seeding or natural regeneration.”</i></p> <p><b>CONFORMITY</b></p>
<b>Criterion 2: Maintenance of forest ecosystem health and vitality</b>		
<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>YES</p>	<p>CAN/CSA-Z809-16</p> <p><i>“Section 6, Clause 6.3.2 Criterion 2 — Ecosystem condition and productivity</i>  <i>6.3.2.1 General</i>  <i>Conserve forest ecosystem condition and productivity by maintaining the health, vitality, and rates of biological production.</i>  <i>6.3.2.3 Element 2.1 — Forest ecosystem condition and productivity</i>  <i>Conserve forest ecosystem productivity and productive capacity by maintaining ecosystem conditions that are capable of supporting naturally occurring species. Reforest promptly and use tree species ecologically suited to the site.”</i></p> <p><i>Section 7, Clause 7.3.5 SFM Plan</i>  <i>The organization shall document, maintain, and make publicly available an SFM plan for the DFA. The SFM plan for each DFA shall include</i></p> <ul style="list-style-type: none"> <li><i>d) a comprehensive description and map of the DFA including analysis units (if applicable);</i></li> <li><i>e) a summary of the most recent forest management plan and the management outcomes;</i></li> <li><i>f) a statement of values, objectives, indicators, and targets;</i></li> <li><i>g) the current status and forecasts for each indicator, including a description of the assumptions and analytical methods used for forecasting where relied upon;</i></li> <li><i>h) a description of the chosen strategy for each target, including all significant actions to be undertaken and the associated implementation</i></li> </ul>

Question	YES / NO*	Reference to scheme documentation
		<p><i>schedule;</i></p> <p><i>i) a description of the monitoring program; and</i></p> <p><i>j) an analysis of actual and expected outcomes.”</i></p> <p><b>CONFORMITY</b></p>
<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>YES</p>	<p>CAN/CSA-Z809-16</p> <p><i>“Section 4, Clause 4.2 Required Activities</i>  <i>The organization shall meet the sustainable forest management (SFM) requirements of this Standard, which include</i></p> <p><i>k) compliance with legislation applicable to the defined forest area (DFA);</i></p> <p><i>“Section 6, Clause 6.3.2 Criterion 2 — Ecosystem condition and productivity</i></p> <p><i>6.3.2.1 General</i>  <i>Conserve forest ecosystem condition and productivity by maintaining the health, vitality, and rates of biological production.</i></p> <p><i>Section 7, Clause 7.3.5 SFM plan</i>  <i>The organization shall document, maintain, and make publicly available an SFM plan for the DFA. The SFM plan for each DFA shall include</i></p> <p><i>f) a description of the monitoring program;</i></p> <p><i>Clause 7.5.1 Monitoring and measurement</i>  <i>The organization shall</i></p> <p><i>a) establish and maintain procedures to monitor on a regular basis progress towards conformance with the SFM requirements in the DFA;</i></p> <p><i>b) record performance levels and monitor indicators for comparison against targets/forecasts; and</i></p> <p><i>c) periodically assess the quality and meaningfulness of the targets, forecasts and non-core indicators where applicable.”</i></p> <p>The assessor notes that monitoring of pest populations and disease is carried out by the Canadian Forest Service and provincial forest authorities. Fire prevention, detection and suppression are extremely important aspects of forest management in Canada and are the legal responsibility of provincial governments</p>

Question	YES / NO*	Reference to scheme documentation
		<p>with regulations requiring the full support of private forest managers. Air pollution affecting forest health in Canada is rare and occurs only in isolated local areas. The Natural Resources Canada website provides information on the Canadian Forest Service role in monitoring the health and vitality of forests regarding <a href="#">insects and diseases</a>, <a href="#">wildfire</a> and <a href="#">climate change</a>. The <a href="#">National Forest Information System</a> website provides additional information on wildfire and other forest conditions impacting sustainable forest management.</p> <p><b>CONFORMITY</b></p>
<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>YES</p>	<p>CAN/CSA-Z809-16</p> <p><i>“Section 6, Clause 6.3.2 Criterion 2 — Ecosystem condition and productivity</i></p> <p><i>6.3.2.3 Element 2.1 — Forest ecosystem condition and productivity</i></p> <p><i>Conserve forest ecosystem productivity and productive capacity by maintaining ecosystem conditions that are capable of supporting naturally occurring species. Reforest promptly and use tree species ecologically suited to the site.</i></p> <p><i>Section 7, Clause 7.3.5 SFM plan</i></p> <p><i>The organization shall document, maintain, and make publicly available an SFM plan for the DFA. The SFM plan for each DFA shall include</i></p> <p><i>f) a description of the monitoring program;</i></p> <p><i>Clause 7.5.1 Monitoring and measurement</i></p> <p><i>The organization shall</i></p> <p><i>d) establish and maintain procedures to monitor on a regular basis progress towards conformance with the SFM requirements in the DFA;</i></p> <p><i>e) record performance levels and monitor indicators for comparison against targets/forecasts; and</i></p> <p><i>f) periodically assess the quality and meaningfulness of the targets, forecasts and non-core indicators where applicable.”</i></p> <p><b>CONFORMITY</b></p>
<p>5.2.4 Forest management plans or their equivalents shall specify ways and means</p>	<p>YES</p>	<p>CAN/CSA-Z809-16</p>

Question	YES / NO*	Reference to scheme documentation
<p>to minimise the risk of degradation of and damages to forest ecosystems. Forest management planning shall make use of those policy instruments set up to support these activities.</p>		<p><i>“Section 7, Clause 7.3.5 SFM plan</i>  <i>The organization shall document, maintain, and make publicly available an SFM plan for the DFA. The SFM plan for each DFA shall include</i></p> <ul style="list-style-type: none"> <li><i>a) a comprehensive description and map of the DFA including analysis units (if applicable);</i></li> <li><i>b) a summary of the most recent forest management plan and the management outcomes;</i></li> <li><i>c) a statement of values, objectives, indicators, and targets;</i></li> <li><i>d) the current status and forecasts for each indicator, including a description of the assumptions and analytical methods used for forecasting where relied upon;</i></li> <li><i>e) a description of the chosen strategy for each target, including all significant actions to be undertaken and the associated implementation schedule;</i></li> <li><i>f) a description of the monitoring program; and</i></li> <li><i>g) an analysis of actual and expected outcomes.</i> <p><i>Section 6, Clause 6.3.2 Criterion 2 — Ecosystem condition and productivity</i></p> <p><i>6.3.2.1 General</i>  <i>Conserve forest ecosystem condition and productivity by maintaining the health, vitality, and rates of biological production.</i></p> <p><i>6.3.2.3 Element 2.1 — Forest ecosystem condition and productivity</i>  <i>Conserve forest ecosystem productivity and productive capacity by maintaining ecosystem conditions that are capable of supporting naturally occurring species. Reforest promptly and use tree species ecologically suited to the site.</i></p> <p><i>Annex A, Clause A.6.3.2 Criterion 2 — Ecosystem condition and productivity</i>  <i>...while disturbances are a key driver of forest change, managers cannot usually predict where and when they will occur. Managers therefore need to engage in risk management. This includes actions such as</i></p> <ul style="list-style-type: none"> <li><i>• reducing the vulnerability of forests to catastrophic disturbances;</i></li> <li><i>• maintaining preparedness for appropriate</i></li> </ul> </li></ul>



Question	YES / NO*	Reference to scheme documentation
		<p><i>responses when disturbances occur;</i></p> <ul style="list-style-type: none"> <li><i>managing human disturbances in such a way that they do not compromise ecosystem condition and productivity; and using fire only when necessary to achieve management goals, e.g. fuel reduction in high hazard areas.”</i></li> </ul> <p><b>CONFORMITY</b></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>YES</p>	<p>CAN/CSA-Z809-16</p> <p><i>“Section 4, Clause 4.2 Required Activities The organization shall meet the sustainable forest management (SFM) requirements of this Standard, which include</i></p> <p><i>h) compliance with legislation applicable to the defined forest area (DFA);</i></p> <p><i>Section 6, Clause 6.3.1 Criterion 1 — Biological diversity</i></p> <p><i>6.3.1.3 Element 1.1 — Ecosystem diversity Conserve ecosystem diversity at the stand and landscape levels by maintaining the variety of communities and ecosystems that naturally occur in the DFA. Establish forest plantations only in afforestation projects.</i></p> <p><i>6.3.1.4 Element 1.2—Species diversity Conserve species diversity by ensuring that habitats and forest conditions for the native species found in the DFA are maintained through time, including habitats for known occurrences of species at risk.</i></p> <p><i>6.3.1.5 Element 1.3 — Genetic diversity Conserve genetic diversity by maintaining the variation of genes within species and ensuring that reforestation programs are free of genetically modified organisms.</i></p> <p><i>Clause 6.3.2 Criterion 2 — Ecosystem condition and productivity</i></p> <p><i>6.3.2.1 General Conserve forest ecosystem condition and productivity by maintaining the health, vitality, and rates of biological production.</i></p> <p><i>6.3.2.3 Element 2.1 — Forest ecosystem condition and</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>productivity</i>  <i>Conserve forest ecosystem productivity and productive capacity by maintaining ecosystem conditions that are capable of supporting naturally occurring species. Reforest promptly and use tree species ecologically suited to the site.”</i></p> <p>The assessor notes that the use of pesticides is carefully controlled and restricted in Canada. Only pesticides that have been registered by government authorities for use in forest management/silvicultural applications can be used. Application of chemicals requires public notification, a permit and can be applied only by trained and licensed technicians. There are strict requirements to prevent contamination of watercourses lakes, and drift into adjacent areas. Integrated pest management strategies are preferred; use of harvesting and silvicultural practices to maintain the forest in a vigorous, healthy condition and use of pesticides only to control serious outbreaks. The use of pesticides for the purpose of forest management is strictly regulated in Canada through federal and provincial legislation and regulation. Links to the legislation and regulations are included in the document entitled <i>Chemicals and Pesticides Use in Canada</i> included in the Supporting Documents.</p> <p><b>CONFORMITY</b></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>YES</p>	<p>CAN/CSA-Z809-16</p> <p><i>“Annex A, Clause A.6.3.2 Criterion 2 — Ecosystem condition and productivity</i>  <i>...while disturbances are a key driver of forest change, managers cannot usually predict where and when they will occur. Managers therefore need to engage in risk management. This includes actions such as</i></p> <ul style="list-style-type: none"> <li><i>• reducing the vulnerability of forests to catastrophic disturbances;</i></li> <li><i>• maintaining preparedness for appropriate responses when disturbances occur;</i></li> <li><i>• managing human disturbances in such a way that</i></li> </ul>

Question	YES / NO*	Reference to scheme documentation
		<p><i>they do not compromise ecosystem condition and productivity; and using fire only when necessary to achieve management goals, e.g. fuel reduction in high hazard areas.”</i></p> <p><b>CONFORMITY</b></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>YES</p>	<p>CAN/CSA-Z809-16</p> <p><i>“Section 4, Clause 4.2 Required Activities The organization shall meet the sustainable forest management (SFM) requirements of this Standard, which include</i></p> <p><i>    i) compliance with legislation applicable to the defined forest area (DFA);</i></p> <p><i>Section 6, Clause 6.3.1 Criterion 1 — Biological diversity</i></p> <p><i>6.3.1.3 Element 1.1 — Ecosystem diversity</i></p> <p><i>Conserve ecosystem diversity at the stand and landscape levels by maintaining the variety of communities and ecosystems that naturally occur in the DFA. Establish forest plantations only in afforestation projects.</i></p> <p><i>Clause 6.3.4 Criterion 4 — Role in global ecological cycles</i></p> <p><i>6.3.4.4 Element 4.2 — Forest land conversion</i></p> <p><i>Protect forest lands from deforestation. Encourage afforestation where ecologically appropriate.</i></p> <p><i>3.1 Definitions</i></p> <p><i>Afforestation — the conversion of land that has not been forested for a period of at least 50 years to forest through planting, seeding or natural regeneration.</i></p> <p><i>Clause 6.3.2 Criterion 2 — Ecosystem condition and productivity</i></p> <p><i>6.3.2.1 General</i></p> <p><i>Conserve forest ecosystem condition and productivity by maintaining the health, vitality, and rates of biological production.</i></p> <p><i>6.3.2.3 Element 2.1 — Forest ecosystem condition and productivity</i></p> <p><i>Conserve forest ecosystem productivity and productive capacity by maintaining ecosystem conditions that are capable of supporting naturally occurring species. Reforest promptly and use tree species ecologically suited to the site.</i></p> <p><i>Clause 6.3.3 Criterion 3 — Soil and water</i></p> <p><i>6.3.3.1 General</i></p> <p><i>Conserve soil and water resources by maintaining their</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>quantity and quality in forest ecosystems.</i></p> <p><i>6.3.3.3 Element 3.1 — Soil quality and quantity</i>  <i>Conserve soil resources by maintaining soil quality and quantity.</i></p> <p><i>6.3.3.4 Element 3.2 — Water quality and quantity</i>  <i>Conserve water resources by maintaining water quality and quantity.</i></p> <p><i>Annex A, A.7.4.7 Emergency preparedness and response</i>  <i>Emergency plans and procedures are established to ensure that there will be an appropriate response to unexpected environmental emergencies or accidents. The organization should define the types of emergencies that could occur in the DFA and maintain appropriate response procedures. Emergencies may include fire and spills of hazardous material on to land or in to water. Contingency plans should be developed for forest disturbances such as insect and disease outbreaks and blowdown. Emergency procedures should take into account incidents arising, or likely to arise, as a consequence of both normal operating conditions and abnormal or unique operating conditions. Emergency plans may include: a list of types of emergencies; identification of emergency organizations and responsibilities; a list of key personnel and their contact information; details of emergency services(e.g. fire control and spill management services); internal and external communication plans; actions taken in the event of different types of emergencies; information on hazardous materials, including each material's potential impact on the environment and measures to be taken in the event of accidental release; provisions for clean-up and remediation as necessary; and emergency response training plans and testing exercises.”</i></p> <p>The assessor noted that the disposal of waste and spill prevention and response is regulated by provincial legislation and by the federal <a href="#">Canadian Environmental Protection Act</a>. Also, the Fish Habitat Protection and Pollution Protection provisions of federal <a href="#">Fisheries Act</a> regulate spills which could degrade water quality.</p> <p><b>CONFORMITY</b></p>
5.2.8 The use of pesticides shall be minimised and appropriate silvicultural alternatives and other biological measures	YES	CAN/CSA-Z809-16

Question	YES / NO*	Reference to scheme documentation
preferred.		<p><i>“Section 4, Clause 4.2 Required Activities</i>  <i>The organization shall meet the sustainable forest management (SFM) requirements of this Standard, which include</i></p> <p style="padding-left: 40px;"><i>j) compliance with legislation applicable to the defined forest area (DFA);</i></p> <p><i>Section 6, Clause 6.3.1 Criterion 1 — Biological diversity</i>  <i>6.3.1.1 General</i>  <i>Conserve biological diversity by maintaining integrity, function, and diversity of living organisms and the complexes of which they are part, including ecological elements that contribute to cultural values.</i>  <i>6.3.1.2 Discussion items for Criterion 1</i>  <i>The public participation process shall include discussion of the following topics:</i>  <i>silvicultural regimes and practices such as integrated pest management and pesticide use, structural retention, and timber harvest practices (including clear-cutting)”</i></p> <p>The assessor notes that the use of pesticides is carefully controlled and restricted in Canada. Only pesticides that have been registered by government authorities for use in forest management/silvicultural applications can be used. Application of chemicals requires public notification, a permit and can be applied only by trained and licensed technicians. There are strict requirements to prevent contamination of watercourses lakes, and drift into adjacent areas. Integrated pest management strategies are preferred; use of harvesting and silvicultural practices to maintain the forest in a vigorous, healthy condition and use of pesticides only to control serious outbreaks. The use of pesticides for the purpose of forest management is strictly regulated in Canada through federal and provincial legislation and regulation. Links to the legislation and regulations are included in the document entitled <i>Chemicals and Pesticides Use in Canada</i> included in the Supporting Documents.</p>

Question	YES / NO*	Reference to scheme documentation
		<b>CONFORMITY</b>
<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>	YES	<p>CAN/CSA-Z809-16</p> <p><i>“Section 4, Clause 4.2 Required Activities The organization shall meet the sustainable forest management (SFM) requirements of this Standard, which include</i></p> <p style="padding-left: 40px;"><i>k) compliance with legislation applicable to the defined forest area (DFA);</i></p> <p>The assessor notes that the use of pesticides is carefully controlled and restricted in Canada. Only pesticides that have been registered by government authorities for use in forest management/silvicultural applications can be used. Application of chemicals requires public notification, a permit and can be applied only by trained and licensed technicians. There are strict requirements to prevent contamination of watercourses lakes, and drift into adjacent areas. Integrated pest management strategies are preferred; use of harvesting and silvicultural practices to maintain the forest in a vigorous, healthy condition and use of pesticides only to control serious outbreaks. The use of pesticides for the purpose of forest management is strictly regulated in Canada through federal and provincial legislation and regulation. Links to the legislation and regulations are included in the document entitled <i>Chemicals and Pesticides Use in Canada</i> included in the Supporting Documents.</p> <p>The assessor notes that Canada signed and ratified the <a href="#"><u>Stockholm Convention on Persistent Organic Pollutants</u></a> on May 23, 2001.</p> <p>The Convention, specifically Annex A and Annex B, which lists those chemicals prohibited, adequately meets this requirement.</p> <p><b>CONFORMITY</b></p>
<p>5.2.10 Pesticides, such as chlorinated hydrocarbons whose derivatives remain</p>	YES	<p>CAN/CSA-Z809-16</p>

Question	YES / NO*	Reference to scheme documentation
<p>biologically active and accumulate in the food chain beyond their intended use, and any pesticides banned by international agreement, shall be prohibited.</p>		<p><i>“Section 4, Clause 4.2 Required Activities The organization shall meet the sustainable forest management (SFM) requirements of this Standard, which include</i></p> <p style="padding-left: 40px;"><i>l) compliance with legislation applicable to the defined forest area (DFA);</i></p> <p>The assessor notes that Canada signed and ratified the <a href="#">Stockholm Convention on Persistent Organic Pollutants</a> on May 23, 2001.</p> <p>The Convention, specifically Annex A and Annex B, which lists those chemicals prohibited, adequately meets this requirement.</p> <p><b>CONFORMITY</b></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>YES</p>	<p>CAN/CSA-Z809-16</p> <p><i>“Section 4, Clause 4.2 Required Activities The organization shall meet the sustainable forest management (SFM) requirements of this Standard, which include</i></p> <p style="padding-left: 40px;"><i>m) compliance with legislation applicable to the defined forest area (DFA);</i></p> <p>The assessor notes that the Regulatory Directive <a href="#">Pesticides for Use in Forest and Woodlands Management</a> and the <a href="#">Pest Control Products Act, S.C. 2002, c. 28</a> Section 6(5) prohibits the use of a pesticide in a way that is inconsistent with the directions on the label. Directions for use on the label are a part of the registration of the product under the <i>Act</i>. Links to the legislation and regulations are included in the document entitled <i>Chemicals and Pesticides Use in Canada</i> included in the Supporting Documents.</p> <p><b>CONFORMITY</b></p>
<p>5.2.12 Where fertilisers are used, they shall be applied in a controlled manner and with due consideration for the</p>	<p>YES</p>	<p>CAN/CSA-Z809-16</p> <p><i>“Section 4, Clause 4.2 Required Activities The organization shall meet the sustainable forest</i></p>

Question	YES / NO*	Reference to scheme documentation
environment.		<p><i>management (SFM) requirements of this Standard, which include</i></p> <p style="padding-left: 40px;"><i>n) compliance with legislation applicable to the defined forest area (DFA);</i></p> <p>The assessor notes the use of fertilizers in the forestry context is regulated by the <a href="#">Canadian Environmental Protection Act</a> and the <a href="#">Fisheries Act</a> for pollution prevention and protection of the environment.</p> <p>In addition, the Regulatory Directive <a href="#">Pesticides for Use in Forest and Woodlands Management</a> and the <a href="#">Pest Control Products Act, S.C. 2002, c. 28</a> Section 6(5) prohibits the use of a pesticide in a way that is inconsistent with the directions on the label. Directions for use on the label are a part of the registration of the product under the <i>Act</i>. Links to the legislation and regulations are included in the document entitled <i>Chemicals and Pesticides Use in Canada</i> included in the Supporting Documents.</p> <p><b>CONFORMITY</b></p>
<b>Criterion 3: Maintenance and encouragement of productive functions of forests (wood and non-wood)</b>		
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.	YES	<p>CAN/CSA-Z809-16</p> <p><i>“Section 6, Clause 6.3.5 Criterion 5 — Economic and social benefits</i></p> <p><i>6.3.5.1 General</i></p> <p><i>Sustain flows of forest benefits for current and future generations by providing multiple goods and services.</i></p> <p><i>6.3.5.3 Element 5.1 — Timber and non-timber benefits</i></p> <p><i>Manage the forest sustainably to produce a mix of timber and non-timber benefits. Support a diversity of timber and non-timber forest products and forest-based services.”</i></p> <p><b>CONFORMITY</b></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	YES	<p>CAN/CSA-Z809-16</p> <p><i>“Section 6, Clause 6.3.5 Criterion 5 — Economic and social benefits</i></p>



Question	YES / NO*	Reference to scheme documentation
in connection with all relevant goods and services of forests.		<p><i>6.3.5.1 General</i>  <i>Sustain flows of forest benefits for current and future generations by providing multiple goods and services.</i></p> <p><i>6.3.5.3 Element 5.1 — Timber and non-timber benefits</i>  <i>Manage the forest sustainably to produce a mix of timber and non-timber benefits. Support a diversity of timber and non-timber forest products and forest-based services.</i></p> <p><i>6.3.5.4 Element 5.2 — Communities and sustainability</i>  <i>Contribute to the sustainability of communities by providing diverse opportunities to derive benefits from forests and by supporting local community economies.”</i></p> <p><b>CONFORMITY</b></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.	YES	<p>CAN/CSA-Z809-16</p> <p><i>“Section 6, Clause 6.3.2 Criterion 2 — Ecosystem condition and productivity</i></p> <p><i>6.3.2.1 General</i>  <i>Conserve forest ecosystem condition and productivity by maintaining the health, vitality, and rates of biological production.</i></p> <p><i>6.3.2.3 Element 2.1 — Forest ecosystem condition and productivity</i>  <i>Conserve forest ecosystem productivity and productive capacity by maintaining ecosystem conditions that are capable of supporting naturally occurring species.</i>  <i>Reforest promptly and use tree species ecologically suited to the site.</i></p> <p><i>Section 7, Clause 7.3.5 SFM Plan</i>  <i>The organization shall document, maintain, and make publicly available an SFM plan for the DFA. The SFM plan for each DFA shall include</i></p> <ul style="list-style-type: none"> <li><i>l) a comprehensive description and map of the DFA including analysis units (if applicable);</i></li> <li><i>m) a summary of the most recent forest management plan and the management outcomes;</i></li> <li><i>n) a statement of values, objectives, indicators,</i></li> </ul>

Question	YES / NO*	Reference to scheme documentation
		<p><i>and targets;</i></p> <p><i>o) the current status and forecasts for each indicator, including a description of the assumptions and analytical methods used for forecasting where relied upon;</i></p> <p><i>p) a description of the chosen strategy for each target, including all significant actions to be undertaken and the associated implementation schedule;</i></p> <p><i>q) a description of the monitoring program;</i></p> <p><i>r) an analysis of actual and expected outcomes.”</i></p> <p><b>CONFORMITY</b></p>
<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 long term.</p>	<p>YES</p>	<p>CAN/CSA-Z809-16</p> <p><i>“Section 6, Clause 6.3.2 Criterion 2 — Ecosystem condition and productivity</i></p> <p><i>6.3.2.1 General</i></p> <p><i>Conserve forest ecosystem condition and productivity by maintaining the health, vitality, and rates of biological production.</i></p> <p><i>6.3.2.3 Element 2.1 — Forest ecosystem condition and productivity</i></p> <p><i>Conserve forest ecosystem productivity and productive capacity by maintaining ecosystem conditions that are capable of supporting naturally occurring species. Reforest promptly and use tree species ecologically suited to the site.”</i></p> <p><i>“Clause 6.3.5 Criterion 5 — Economic and social benefits</i></p> <p><i>6.3.5.1 General</i></p> <p><i>Sustain flows of forest benefits for current and future generations by providing multiple goods and services.</i></p> <p><i>6.3.5.3 Element 5.1 — Timber and non-timber benefits</i></p> <p><i>Manage the forest sustainably to produce a mix of timber and non-timber benefits. Support a diversity of timber and non-timber forest products and forest-based services.</i></p> <p><i>6.3.5.4 Element 5.2 — Communities and sustainability</i></p> <p><i>Contribute to the sustainability of communities by providing diverse opportunities to derive benefits from</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>forests and by supporting local community economies.</i></p> <p><b>CONFORMITY</b></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>YES</p>	<p>CAN/CSA-Z809-16</p> <p><i>“Section 6, Clause 6.3.2 Criterion 2 — Ecosystem condition and productivity</i></p> <p><i>6.3.2.1 General</i></p> <p><i>Conserve forest ecosystem condition and productivity by maintaining the health, vitality, and rates of biological production.</i></p> <p><i>6.3.2.3 Element 2.1 — Forest ecosystem condition and productivity</i></p> <p><i>Conserve forest ecosystem productivity and productive capacity by maintaining ecosystem conditions that are capable of supporting naturally occurring species. Reforest promptly and use tree species ecologically suited to the site.</i></p> <p><i>Clause 6.3.3 Criterion 3 — Soil and water</i></p> <p><i>6.3.3.1 General</i></p> <p><i>Conserve soil and water resources by maintaining their quantity and quality in forest ecosystems.</i></p> <p><i>6.3.3.3 Element 3.1 — Soil quality and quantity</i></p> <p><i>Conserve soil resources by maintaining soil quality and quantity.</i></p> <p><i>Core indicators</i></p> <p><i>3.1.1—Level of soil disturbance.</i></p> <p><i>3.1.2—Level of downed woody material.</i></p> <p><i>6.3.3.4 Element 3.2 — Water quality and quantity</i></p> <p><i>Conserve water resources by maintaining water quality and quantity.</i></p> <p><i>Core indicators</i></p> <p><i>3.2.1—Proportion of watershed or water management with recent stand-replacing disturbance.</i></p> <p><i>3.2.2—Proportion of forest management activities, consistent with prescriptions to protect identified water features.</i></p> <p><i>Appendix A, A.6.3.3 Criterion 3—...It is therefore vital to keep soil in place and to disturb as little as possible. A common approach is the implementation of best</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>management practices(BMPs), established on the basis of substantial field experience and targeted research. Soil-related BMPs address topics such as appropriate kinds of machine traffic on sensitive sites, appropriate seasons for field operations, and guidelines for the sustainable removal of biomass. Even with careful use of BMPs, some sites can suffer severe soil disturbance (e.g., due to machine operations). In such cases, managers might need to take actions to rehabilitate sites...Forest management activities, including infrastructure development (e.g., skid trails, roads, bridges), can have a profound influence on both soil and water quantity/quality. Forest managers should minimize any adverse impacts of these activities.”</i></p> <p><b>CONFORMITY</b></p>
<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>YES</p>	<p>CAN/CSA-Z809-16</p> <p><i>“Clause 6.3.5 Criterion 5 — Economic and social benefits</i></p> <p><i>6.3.5.1 General</i></p> <p><i>Sustain flows of forest benefits for current and future generations by providing multiple goods and services.</i></p> <p><i>6.3.5.3 Element 5.1 — Timber and non-timber benefits</i></p> <p><i>Manage the forest sustainably to produce a mix of timber and non-timber benefits. Support a diversity of timber and non-timber forest products and forest-based services.</i></p> <p><i>Appendix A, A.6.3.3.3</i></p> <p><i>Element 3.1—Soil quality and quantity</i> Maintaining soil quality and quantity involves implementing management strategies to minimize and mitigate soil disturbance. Measuring soil conditions, particularly chemical and physical properties, might be feasible at a specific site, but impractical across entire working forests. Established research maybe used to identify the links between certain kinds of soil-related forest practices and soil conditions, and forest managers can control their practices accordingly. When monitoring</p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>operations such as harvesting and infrastructure construction (roads, bridges, landings, etc.) reveal that soil disturbances (e.g., erosion, rutting, displacement, slumping) exceed locally defined threshold levels, appropriate mitigation efforts should be implemented.”</i></p> <p><b>CONFORMITY</b></p>
<p>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 hunting and fishing, shall be regulated, monitored and controlled.</p>	<p>YES</p>	<p>CAN/CSA-Z809-16</p> <p><i>“Section 4, Clause 4.2 Required Activities The organization shall meet the sustainable forest management (SFM) requirements of this Standard, which include</i></p> <p style="padding-left: 40px;"><i>s) compliance with legislation applicable to the defined forest area (DFA);</i></p> <p><i>Section 6, Clause 6.3.5 Criterion 5 — Economic and social benefits</i></p> <p><i>6.3.5.3 Element 5.1 — Timber and non-timber benefits Manage the forest sustainably to produce a mix of timber and non-timber benefits. Support a diversity of timber and non-timber forest products and forest-based services.”</i></p> <p>The assessor notes that hunting and fishing is the responsibility of provincial and Federal governments in the Canadian context. Therefor all PEFC Canada forest land is subject to government regulation, monitoring and control of hunting and fishery resources.</p> <p><b>CONFORMITY</b></p>
<p>5.3.8 Adequate infrastructure such as roads, skid tracks or bridges shall be planned, established and maintained to ensure efficient delivery of goods and services while minimising negative impacts on the environment.</p>	<p>YES</p>	<p>CAN/CSA-Z809-16</p> <p><i>“Section 6, Clause 6.3.3 Criterion 3 — Soil and water</i></p> <p><i>6.3.3.1 General Conserve soil and water resources by maintaining their quantity and quality in forest ecosystems.</i></p> <p><i>6.3.3.3 Element 3.1 — Soil quality and quantity Conserve soil resources by maintaining soil quality and</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p>quantity.</p> <p><i>Core indicators</i></p> <p><i>3.1.1—Level of soil disturbance.</i></p> <p><i>Appendix A, A.6.3.3 Criterion 3—...It is therefore vital to keep soil in place and to disturb as little as possible. A common approach is the implementation of best management practices(BMPs), established on the basis of substantial field experience and targeted research. Soil-related BMPs address topics such as appropriate kinds of machine traffic on sensitive sites, appropriate seasons for field operations, and guidelines for the sustainable removal of biomass. Even with careful use of BMPs, some sites can suffer severe soil disturbance (e.g., due to machine operations). In such cases, managers might need to take actions to rehabilitate sites...Forest management activities, including infrastructure development (e.g., skid trails, roads, bridges), can have a profound influence on both soil and water quantity/quality. Forest managers should minimize any adverse impacts of these activities...When monitoring operations such as harvesting and infrastructure construction (roads, bridges, landings, etc.) reveal that soil disturbances (e.g., erosion, rutting, displacement, slumping) that exceed locally defined threshold levels, appropriate mitigation efforts should be implemented.</i></p> <p><i>6.3.3.4 Element 3.2 — Water quality and quantity</i></p> <p><i>Conserve water resources by maintaining water quality and quantity.</i></p> <p><i>3.2.1—Proportion of watershed or water management with recent stand-replacing disturbance.</i></p> <p><i>3.2.2—Proportion of forest management activities, consistent with prescriptions to protect identified water features.</i></p> <p><i>Core indicator</i></p> <p><i>3.2.2 — Proportion of forest management activities, with implemented strategies to protect identified water features.</i></p> <p><i>Appendix A, A.6.3.3.3</i></p> <p><i>Element 3.1—Soil quality and quantity</i> <i>Maintaining</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>soil quality and quantity involves implementing management strategies to minimize and mitigate soil disturbance. Measuring soil conditions, particularly chemical and physical properties, might be feasible at a specific site, but impractical across entire working forests. Established research maybe used to identify the links between certain kinds of soil-related forest practices and soil conditions, and forest managers can control their practices accordingly. When monitoring operations such as harvesting and infrastructure construction (roads, bridges, landings, etc.) reveal that soil disturbances (e.g., erosion, rutting, displacement, slumping) exceed locally defined threshold levels, appropriate mitigation efforts should be implemented.”</i></p> <p><b>CONFORMITY</b></p>
<p><b>Criterion 4: Maintenance, conservation and appropriate enhancement of biological diversity in forest ecosystems</b></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>YES</p>	<p>CAN/CSA-Z809-16</p> <p><i>“Section 6, Clause 6.3.1 Criterion 1 — Biological diversity</i>  <i>6.3.1.1 General</i>  <i>Conserve biological diversity by maintaining integrity, function, and diversity of living organisms and the complexes of which they are part, including ecological elements that contribute to cultural values.</i>  <i>6.3.1.3 Element 1.1 — Ecosystem diversity</i>  <i>Conserve ecosystem diversity at the stand and landscape levels by maintaining the variety of communities and ecosystems that naturally occur in the DFA. Establish forest plantations only in afforestation projects.</i>  <i>6.3.1.4 Element 1.2—Species diversity</i> <i>Conserve species diversity by ensuring that habitats and forest conditions for the native species found in the DFA are maintained through time, including habitats for known occurrences of species at risk.</i>  <i>6.3.1.5 Element 1.3 — Genetic diversity</i>  <i>Conserve genetic diversity by maintaining the variation of genes within species and ensuring that reforestation programs are free of genetically modified organisms.</i>  <i>6.3.1.6 Element 1.4 — Protected areas and sites of special</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>biological, geological, heritage, or cultural significance</i>  <i>Respect protected areas identified through government processes. Co-operate in broader landscape management related to protected areas and sites of special biological or cultural significance. Identify sites of special geological, biological, or heritage features with cultural significance within the DFA, and implement management strategies appropriate to their long-term maintenance.</i>  <i>Clause 6.3.2 Criterion 2 — Ecosystem condition and productivity</i>  <i>6.3.2.1 General</i>  <i>Conserve forest ecosystem condition and productivity by maintaining the health, vitality, and rates of biological production.</i>  <i>6.3.2.3 Element 2.1 — Forest ecosystem condition and productivity</i>  <i>Conserve forest ecosystem productivity and productive capacity by maintaining ecosystem conditions that are capable of supporting naturally occurring species. Reforest promptly and use tree species ecologically suited to the site.”</i></p> <p><b>CONFORMITY</b></p>
<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> <ol style="list-style-type: none"> <li>1. protected, rare, sensitive or representative forest ecosystems such as riparian areas and wetland biotopes;</li> <li>2. areas containing endemic species and habitats of threatened species, as defined in recognised reference lists;</li> <li>3. endangered or protected genetic <i>in situ</i> resources;</li> </ol> <p>and taking into account</p> <ol style="list-style-type: none"> <li>4. globally, regionally and nationally significant large landscape areas with natural distribution and abundance of naturally occurring</li> </ol>	<p>YES</p>	<p>CAN/CSA-Z809-16</p> <p><i>“Section 4, Clause 4.2 Required Activities</i>  <i>The organization shall meet the sustainable forest management (SFM) requirements of this Standard, which include</i></p> <p style="padding-left: 40px;"><i>t) compliance with legislation applicable to the defined forest area (DFA);</i></p> <p><i>Section 6, Clause 6.3.1 Criterion 1 — Biological diversity</i>  <i>6.3.1.1 General</i>  <i>Conserve biological diversity by maintaining integrity, function, and diversity of living organisms and the complexes of which they are part, including ecological elements that contribute to cultural values.</i>  <i>6.3.1.3 Element 1.1 — Ecosystem diversity</i>  <i>Conserve ecosystem diversity at the stand and landscape levels by maintaining the variety of communities and ecosystems that naturally occur in the DFA. Establish forest plantations only in afforestation projects.</i>  <i>6.3.1.4 Element 1.2—Species diversity Conserve species</i></p>



Question	YES / NO*	Reference to scheme documentation
species.		<p><i>diversity by ensuring that habitats and forest conditions for the native species found in the DFA are maintained through time, including habitats for known occurrences of species at risk.</i></p> <p><i>6.3.1.5 Element 1.3 — Genetic diversity</i>  <i>Conserve genetic diversity by maintaining the variation of genes within species and ensuring that reforestation programs are free of genetically modified organisms.</i></p> <p><i>6.3.1.6 Element 1.4 — Protected areas and sites of special biological, geological, heritage, or cultural significance</i>  <i>Respect protected areas identified through government processes. Co-operate in broader landscape management related to protected areas and sites of special biological or cultural significance. Identify sites of special geological, biological, or heritage features with cultural significance within the DFA, and implement management strategies appropriate to their long-term maintenance.</i></p> <p><i>Clause 6.3.2 Criterion 2 — Ecosystem condition and productivity</i></p> <p><i>6.3.2.1 General</i>  <i>Conserve forest ecosystem condition and productivity by maintaining the health, vitality, and rates of biological production.</i></p> <p><i>6.3.2.3 Element 2.1 — Forest ecosystem condition and productivity</i>  <i>Conserve forest ecosystem productivity and productive capacity by maintaining ecosystem conditions that are capable of supporting naturally occurring species. Reforest promptly and use tree species ecologically suited to the site.”</i></p> <p>The assessor notes that the federal <a href="#">Species at Risk Act S.C. 2002, c. 29</a> provides protection with the stated purposes in Section 6 “to prevent wildlife species from being extirpated or becoming extinct, to provide for the recovery of wildlife species that are extirpated, endangered or threatened as a result of human activity and to manage species of special concern to prevent them from becoming endangered or threatened.</p> <p><b>CONFORMITY</b></p>
5.4.3 Protected and endangered plant and animal species shall not be exploited for	YES	CAN/CSA-Z809-16

Question	YES / NO*	Reference to scheme documentation
<p>commercial purposes. Where necessary, measures shall be taken for their protection and, where relevant, to increase their population.</p>		<p><i>“Section 4, Clause 4.2 Required Activities The organization shall meet the sustainable forest management (SFM) requirements of this Standard, which include</i></p> <p style="padding-left: 40px;"><i>u) compliance with legislation applicable to the defined forest area (DFA);</i></p> <p><i>Section 6, Clause 6.3.1 Criterion 1 — Biological diversity</i></p> <p><i>6.3.1.1 General</i></p> <p><i>Conserve biological diversity by maintaining integrity, function, and diversity of living organisms and the complexes of which they are part, including ecological elements that contribute to cultural values.</i></p> <p><i>6.3.1.4 Element 1.2—Species diversity</i></p> <p><i>Conserve species diversity by ensuring that habitats and forest conditions for the native species found in the DFA are maintained through time, including habitats for known occurrences of species at risk.”</i></p> <p>The assessor notes that the federal <a href="#">Species at Risk Act S.C. 2002, c. 29</a> provides protection with the stated purposes in Section 6 “to prevent wildlife species from being extirpated or becoming extinct, to provide for the recovery of wildlife species that are extirpated, endangered or threatened as a result of human activity and to manage species of special concern to prevent them from becoming endangered or threatened.</p> <p><b>CONFORMITY</b></p>

Question	YES / NO*	Reference to scheme documentation
<p>5.4.4 Forest management shall ensure successful regeneration through natural regeneration or, where not appropriate, planting that is adequate to ensure the quantity and quality of the forest resources.</p>	<p>YES</p>	<p>CAN/CSA-Z809-16</p> <p><i>“Section 6, Clause 6.3.2 – Criterion 2 Ecosystem condition and productivity</i></p> <p><i>6.3.2.1 General</i></p> <p><i>Conserve forest ecosystem condition and productivity by maintaining the health, vitality, and rates of biological production.</i></p> <p><i>6.3.2.3 Element 2.1 – Forest ecosystem condition and productivity</i></p> <p><i>Conserve forest ecosystem productivity and productive capacity by maintaining ecosystem conditions that are capable of supporting naturally occurring species. Reforest promptly and use tree species ecologically suited to the site.”</i></p> <p><b>CONFORMITY</b></p>
<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>YES</p>	<p>CAN/CSA-Z809-16</p> <p><i>“Section 6, Clause 6.3.1 Criterion 1 – Biological diversity</i></p> <p><i>6.3.1.3 Element 1.1 – Ecosystem diversity</i></p> <p><i>Conserve ecosystem diversity at the stand and landscape levels by maintaining the variety of communities and ecosystems that naturally occur in the DFA. Establish forest plantations only in afforestation projects.</i></p> <p><i>Clause 6.3.2 – Criterion 2 Ecosystem condition and productivity</i></p> <p><i>6.3.2.1 General</i></p> <p><i>Conserve forest ecosystem condition and productivity by maintaining the health, vitality, and rates of biological production.</i></p> <p><i>6.3.2.3 Element 2.1 – Forest ecosystem condition and productivity</i></p> <p><i>Conserve forest ecosystem productivity and productive capacity by maintaining ecosystem conditions that are capable of supporting naturally occurring species. Reforest promptly and use tree species ecologically suited to the site.</i></p> <p><i>Core indicators</i></p> <p><i>2.1.1 – Reforestation success.</i></p> <p><i>2.1.2 – Proportion of regeneration comprised of native species.</i></p> <p><i>2.1.3 – Additions and deletions to the forest area</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p>2.1.4 — <i>Proportion of the calculated long-term sustainable harvest level that is actually harvested.</i></p> <p>Appendix A.6 SFM Performance Requirements  A.6.3.4.4 Element 4.2 — <i>Forest land conversion</i>  Note: <i>This commentary is related to Clause 6.3.4.4. Notwithstanding the special circumstances in which forests might not be naturally occurring ecosystems (see Clause A.6.3.2.3), it is good for the global carbon cycle to have land in forest cover across its natural range. Forests can be turned into other types of ecosystems through a variety of activities, including those that relate directly to SFM (e.g., building roads and landings) and those outside the influence of forest managers (e.g., urban and industrial developments, utility corridors). Forest managers should reduce, as much as possible, the amount of area they convert to non-forest ecosystems and should discourage unwarranted forest land conversions that are beyond their control. In Canada ’ s natural forest, post-harvest regeneration is often accomplished by the planting of site-adapted species of native trees and results in a stand with ecological characteristics consistent with those of the surrounding forest. Planted stands are managed for multiple values and almost always include a considerable component of naturally regenerated trees of a variety of species. Forest plantations in the Canadian context are rare, and are often established through afforestation of unused marginal agricultural land.</i></p> <p><b>CONFORMITY</b></p>
<p>5.4.6 Afforestation and reforestation activities that contribute to the improvement and restoration of ecological connectivity shall be promoted.</p>	<p>YES</p>	<p>CAN/CSA-Z809-16</p> <p><i>“Section 6, Clause 6.3.2 – Criterion 2 Ecosystem condition and productivity</i>  6.3.2.1 <i>General</i>  <i>Conserve forest ecosystem condition and productivity by maintaining the health, vitality, and rates of biological production.</i>  6.3.2.3 <i>Element 2.1 — Forest ecosystem condition and productivity</i>  <i>Conserve forest ecosystem productivity and productive capacity by maintaining ecosystem conditions that are capable of supporting naturally occurring species.</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>Reforest promptly and use tree species ecologically suited to the site.</i></p> <p><i>Core indicators</i></p> <p><i>2.1.1 — Reforestation success.</i></p> <p><i>2.1.2 — Proportion of regeneration comprised of native species.</i></p> <p><i>2.1.3 — Additions and deletions to the forest area</i></p> <p><i>2.1.4 — Proportion of the calculated long-term sustainable harvest level that is actually harvested.”</i></p> <p><i>Clause 6.3.4 Criterion 4 — Role in global ecological cycles</i></p> <p><i>6.3.4.4 Element 4.2 — Forest land conversion</i></p> <p><i>Protect forest lands from deforestation. Encourage afforestation where ecologically appropriate.</i></p> <p><i>3.1 Definitions</i></p> <p><i>Afforestation — the conversion of land that has not been forested for a period of at least 50 years to forest through planting, seeding or natural regeneration.”</i></p> <p><b>CONFORMITY</b></p>
5.4.7 Genetically-modified trees shall not be used.	YES	<p>CAN/CSA-Z809-16</p> <p><i>“Section 6, Clause 6.3.1 Criterion 1 — Biological diversity</i></p> <p><i>6.3.1.5 Element 1.3 — Genetic diversity</i></p> <p><i>Conserve genetic diversity by maintaining the variation of genes within species and ensuring that reforestation programs are free of genetically modified organisms.”</i></p> <p><b>CONFORMITY</b></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.	YES	<p>CAN/CSA-Z809-16</p> <p><i>“Section 6, Clause 6.3.1 Criterion 1 — Biological diversity</i></p> <p><i>6.3.1.1 General</i></p> <p><i>Conserve biological diversity by maintaining integrity, function, and diversity of living organisms and the complexes of which they are part, including ecological elements that contribute to cultural values.</i></p> <p><i>6.3.1.2 Discussion items for Criterion 1</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>The public participation process shall include discussion of the following topics: silvicultural regimes and practices such as integrated pest management and pesticide use, structural retention, and timber harvest practices (including clear-cutting)”</i></p> <p><i>6.3.1.3 Element 1.1 — Ecosystem diversity Conserve ecosystem diversity at the stand and landscape levels by maintaining the variety of communities and ecosystems that naturally occur in the DFA. Establish forest plantations only in afforestation projects.</i></p> <p><i>Core indicators</i></p> <p><i>1.1.1 — Ecosystem area by type</i></p> <p><i>1.1.2 — Forest area by type or species composition</i></p> <p><i>1.1.3 — Forest area by seral stage or age class</i></p> <p><i>1.1.4 — Degree of within-stand structural retention”</i></p> <p><b>CONFORMITY</b></p>
<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>YES</p>	<p>CAN/CSA-Z809-16</p> <p><i>“Section 6, Clause 6.3.2 – Criterion 2 Ecosystem condition and productivity</i></p> <p><i>6.3.2.1 General</i></p> <p><i>Conserve forest ecosystem condition and productivity by maintaining the health, vitality, and rates of biological production.</i></p> <p><i>6.3.2.3 Element 2.1 — Forest ecosystem condition and productivity</i></p> <p><i>Conserve forest ecosystem productivity and productive capacity by maintaining ecosystem conditions that are capable of supporting naturally occurring species. Reforest promptly and use tree species ecologically suited to the site.</i></p> <p><i>Appendix A, A.6.3.3.3 Element 3.1 — Soil quality and quantity</i></p> <p><i>Dead wood is an important component of a healthy forest ecosystem. While live trees can be blown down and die, often trees die standing. These standing dead</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>trees, or snags, serve as important habitats for a wide range of decomposing organisms, as well as cavity-nesting species such as woodpeckers. Coarse woody material includes both downed woody material and standing trees that have been left to allow the woody material to decompose, resulting in organic matter that eventually becomes part of the soil. Downed woody material can be managed by leaving both dead and live trees, as well as downed logs, whenever timber is harvested.”</i></p> <p>The assessor, based on discussions with PEFC Canada, that coppice and like systems are rare in the Canadian context.</p> <p><b>CONFORMITY</b></p>
<p>5.4.10 Tending and harvesting operations 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>	<p>YES</p>	<p>CAN/CSA-Z809-16</p> <p><i>“Section 6, Clause 6.3.1 Criterion 1 — Biological diversity</i></p> <p><i>6.3.1.1 General</i></p> <p><i>Conserve biological diversity by maintaining integrity, function, and diversity of living organisms and the complexes of which they are part, including ecological elements that contribute to cultural values.</i></p> <p><i>Clause 6.3.2 – Criterion 2 Ecosystem condition and productivity</i></p> <p><i>6.3.2.1 General</i></p> <p><i>Conserve forest ecosystem condition and productivity by maintaining the health, vitality, and rates of biological production.</i></p> <p><i>6.3.2.3 Element 2.1 — Forest ecosystem condition and productivity</i></p> <p><i>Conserve forest ecosystem productivity and productive capacity by maintaining ecosystem conditions that are capable of supporting naturally occurring species. Reforest promptly and use tree species ecologically suited to the site.</i></p> <p><i>A.6.3 SFM criteria, elements, and core indicators</i></p> <p><i>A.6.3.1 Criterion 1—Biological diversity</i></p> <p><i>Silvicultural practices, including timber harvesting, can</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>either degrade or enhance biodiversity values. For example, uninformed timber harvesting can destroy forest habitats for some species, whereas sensitive timber harvesting can actually be used to improve habitat conditions. Key attributes of silvicultural practices that influence biodiversity include type of treatment, spatial extent and layout, timing (seasonal and long term), and intensity.”</i></p> <p><b>CONFORMITY</b></p>
<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>YES</p>	<p>CAN/CSA-Z809-16</p> <p><i>“Section 4, Clause 4.2 Required Activities The organization shall meet the sustainable forest management (SFM) requirements of this Standard, which include</i></p> <p style="padding-left: 40px;"><i>v) compliance with legislation applicable to the defined forest area (DFA);</i></p> <p><i>Section 6, Clause 6.3.1 Criterion 1 — Biological diversity</i></p> <p><i>6.3.1.1 General</i></p> <p><i>Conserve biological diversity by maintaining integrity, function, and diversity of living organisms and the complexes of which they are part, including ecological elements that contribute to cultural values.</i></p> <p><i>Clause 6.3.2 – Criterion 2 Ecosystem condition and productivity</i></p> <p><i>6.3.2.1 General</i></p> <p><i>Conserve forest ecosystem condition and productivity by maintaining the health, vitality, and rates of biological production.</i></p> <p><i>6.3.2.3 Element 2.1 — Forest ecosystem condition and productivity</i></p> <p><i>Conserve forest ecosystem productivity and productive capacity by maintaining ecosystem conditions that are capable of supporting naturally occurring species.</i></p> <p><i>Reforest promptly and use tree species ecologically suited to the site</i></p> <p><i>Appendix A, A.6.3 SFM criteria, elements, and core indicators</i></p>



Question	YES / NO*	Reference to scheme documentation
		<p><i>A.6.3.1 Criterion 1—Biological diversity Silvicultural practices, including timber harvesting, can either degrade or enhance biodiversity values. For example, uninformed timber harvesting can destroy forest habitats for some species, whereas sensitive timber harvesting can actually be used to improve habitat conditions. Key attributes of silvicultural practices that influence biodiversity include type of treatment, spatial extent and layout, timing (seasonal and long term), and intensity.</i></p> <p><i>A.6.3.3 Criterion 3—...It is therefore vital to keep soil in place and to disturb as little as possible. A common approach is the implementation of best management practices(BMPs), established on the basis of substantial field experience and targeted research. Soil-related BMPs address topics such as appropriate kinds of machine traffic on sensitive sites, appropriate seasons for field operations, and guidelines for the sustainable removal of biomass. Even with careful use of BMPs, some sites can suffer severe soil disturbance (e.g., due to machine operations). In such cases, managers might need to take actions to rehabilitate sites...Forest management activities, including infrastructure development (e.g., skid trails, roads, bridges), can have a profound influence on both soil and water quantity/quality. Forest managers should minimize any adverse impacts of these activities.”</i></p> <p>The assessor notes that the federal <a href="#">Species at Risk Act S.C. 2002, c. 29</a> provides protection with the stated purposes in Section 6 “to prevent wildlife species from being extirpated or becoming extinct, to provide for the recovery of wildlife species that are extirpated, endangered or threatened as a result of human activity and to manage species of special concern to prevent them from becoming endangered or threatened.</p> <p><b>CONFORMITY</b></p>
5.4.12 With due regard to management objectives, measures shall be taken to balance the pressure of animal	YES	CAN/CSA-Z809-16  “Section 4, Clause 4.2 Required Activities

Question	YES / NO*	Reference to scheme documentation
<p>populations and grazing on forest regeneration and growth as well as on biodiversity.</p>		<p><i>The organization shall meet the sustainable forest management (SFM) requirements of this Standard, which include</i></p> <p style="padding-left: 40px;"><i>w) compliance with legislation applicable to the defined forest area (DFA);</i></p> <p><i>Section 6, Clause 6.3.1 Criterion 1 — Biological diversity</i></p> <p><i>6.3.1.1 General</i></p> <p><i>Conserve biological diversity by maintaining integrity, function, and diversity of living organisms and the complexes of which they are part, including ecological elements that contribute to cultural values.</i></p> <p><i>Clause 6.3.2 – Criterion 2 Ecosystem condition and productivity</i></p> <p><i>6.3.2.1 General</i></p> <p><i>Conserve forest ecosystem condition and productivity by maintaining the health, vitality, and rates of biological production.</i></p> <p><i>6.3.2.3 Element 2.1 — Forest ecosystem condition and productivity</i></p> <p><i>Conserve forest ecosystem productivity and productive capacity by maintaining ecosystem conditions that are capable of supporting naturally occurring species. Reforest promptly and use tree species ecologically suited to the site.</i></p> <p><i>Core indicators</i></p> <p><i>2.1.1 — Reforestation success.</i></p> <p><i>2.1.2 — Proportion of regeneration comprised of native species.”</i></p> <p>The assessor notes that while there are localized and temporal problems of damaging animal browsing it is not a significant issue in achieving successful forest regeneration in Canada. Domestic animal grazing is regulated by provincial legislation and regulation and is not controlled by the forest manager. Grazing is regulated by provincial legislation such as the BC <a href="#">Range Act</a>. Further regulation is provided by the range planning provisions of the <a href="#">Forest and Range Practices Act</a>.</p>

Question	YES / NO*	Reference to scheme documentation
		<p>From the Act:</p> <p><i>“(2) The holder of an agreement under the <a href="#">Range Act</a> that authorizes grazing of livestock must ensure that all livestock authorized to graze on Crown range under the agreement are</i></p> <p><i>(a) marked with the holder's registered brand or marked in another manner approved by the minister, and</i></p> <p><i>(b) identified by a mark or tag designating them as animals pastured under the agreement, if the minister requires it.</i></p> <p><i>Part 5 — Protection of Resources</i></p> <p><i>Division 1 — General</i></p> <p><i>Protection of the environment</i></p> <p><i>46 (1) A person must not carry out a forest practice, a range practice or another activity that results in damage to the environment...”</i></p> <p><b>CONFORMITY</b></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>YES</p>	<p>CAN/CSA-Z809-16</p> <p><i>“Section 6, Clause 6.3.1 Criterion 1 — Biological diversity</i></p> <p><i>6.3.1.1 General</i></p> <p><i>Conserve biological diversity by maintaining integrity, function, and diversity of living organisms and the complexes of which they are part, including ecological elements that contribute to cultural values.</i></p> <p><i>6.3.1.2 Discussion items for Criterion 1</i></p> <p><i>The public participation process shall include discussion of the following topics:</i></p> <ul style="list-style-type: none"> <li><i>• management in the context of natural disturbance regimes and patterns and the range of natural variation.</i></li> <li><i>• conservation of old-growth forest attributes.</i></li> </ul> <p><i>6.3.1.3 Element 1.1 — Ecosystem diversity</i></p> <p><i>Conserve ecosystem diversity at the stand and landscape levels by maintaining the variety of communities and ecosystems that naturally occur in the DFA. Establish forest plantations only in afforestation projects.</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>Core indicators</i></p> <p><i>1.1.4 — Degree of within-stand structural retention.</i></p> <p><i>6.3.1.6 Element 1.4 — Protected areas and sites of special biological, heritage or cultural significance</i></p> <p><i>Respect protected areas identified through government processes. Co-operate in broader landscape management related to protected areas and sites of special biological or cultural significance. Identify sites of special geological, biological, or heritage features with cultural significance within the DFA, and implement management strategies appropriate to their long-term maintenance.</i></p> <p><i>Clause 6.3.3 Criterion 3 — Soil and water</i></p> <p><i>6.3.3.1 General</i></p> <p><i>Conserve soil and water resources by maintaining their quantity and quality in forest ecosystems.</i></p> <p><i>6.3.3.3 Element 3.1 — Soil quality and quantity</i></p> <p><i>Conserve soil resources by maintaining soil quality and quantity.</i></p> <p><i>Core indicators</i></p> <p><i>3.1.2 — Level of downed woody material.</i></p> <p><i>Appendix A, A.6.3.3.3 Element 3.1 — Soil quality and quantity</i></p> <p><i>Dead wood is an important component of a healthy forest ecosystem. While live trees can be blown down and die, often trees die standing. These standing dead trees, or snags, serve as important habitats for a wide range of decomposing organisms, as well as cavity-nesting species such as woodpeckers. Coarse woody material includes both downed woody material and standing trees that have been left to allow the woody material to decompose, resulting in organic matter that eventually becomes part of the soil. Downed woody material can be managed by leaving both dead and live trees, as well as downed logs, whenever timber is harvested.”</i></p> <p><b>CONFORMITY</b></p>
<b>Criterion 5: Maintenance and appropriate enhancement of protective functions in forest management</b>		

Question	YES / NO*	Reference to scheme documentation
<b>(notably soil and water)</b>		
<p>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 water such as floods or avalanches.</p>	<p>YES</p>	<p>CAN/CSA-Z809-16</p> <p><i>“Section 6, Clause 6.3.2 – Criterion 2 Ecosystem condition and productivity</i></p> <p><i>6.3.2.1 General</i></p> <p><i>Conserve forest ecosystem condition and productivity by maintaining the health, vitality, and rates of biological production.</i></p> <p><i>6.3.2.3 Element 2.1 – Forest ecosystem condition and productivity</i></p> <p><i>Conserve forest ecosystem productivity and productive capacity by maintaining ecosystem conditions that are capable of supporting naturally occurring species. Reforest promptly and use tree species ecologically suited to the site.</i></p> <p><i>Clause 6.3.3 Criterion 3 – Soil and water</i></p> <p><i>6.3.3.1 General</i></p> <p><i>Conserve soil and water resources by maintaining their quantity and quality in forest ecosystems.</i></p> <p><i>6.3.3.2 Discussion items for Criterion 3</i></p> <p><i>The public participation process shall include, but not be limited to, discussion of the following topics:</i></p> <ul style="list-style-type: none"> <li>• <i>soil productivity,</i></li> <li>• <i>sensitive sites;</i></li> <li>• <i>soil disturbance prevention and mitigation measures;</i></li> <li>• <i>site rehabilitation in areas of severe soil disturbance;</i></li> <li>• <i>water quality in watersheds supplying domestic water</i></li> <li>• <i>management practices and regulatory requirements that conserve water and soil; and</i></li> <li>• <i>role and importance of wetlands.</i></li> </ul> <p><i>6.3.3.3 Element 3.1 – Soil quality and quantity</i></p> <p><i>Conserve soil resources by maintaining soil quality and quantity.</i></p> <p><i>Core indicators</i></p> <p><i>3.1.1 – Level of soil disturbance</i></p> <p><i>3.1.2 --- Level of downed woody material</i></p> <p><i>6.3.3.4 Element 3.2 – Water quality and quantity</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>Conserve water resources by maintaining water quality and quantity</i></p> <p><i>Core indicators</i></p> <p><i>3.2.1 — Proportion of watershed or water management areas with recent stand-replacing disturbance.</i></p> <p><i>3.2.2 — Proportion of forest management activities, consistent with prescriptions to protect identified water features.”</i></p> <p><i>“A.6.3.3 Criterion 3—...It is therefore vital to keep soil in place and to disturb as little as possible. A common approach is the implementation of best management practices(BMPs), established on the basis of substantial field experience and targeted research. Soil-related BMPs address topics such as appropriate kinds of machine traffic on sensitive sites, appropriate seasons for field operations, and guidelines for the sustainable removal of biomass. Even with careful use of BMPs, some sites can suffer severe soil disturbance (e.g., due to machine operations). In such cases, managers might need to take actions to rehabilitate sites...Forest management activities, including infrastructure development (e.g., skid trails, roads, bridges), can have a profound influence on both soil and water quantity/quality. Forest managers should minimize any adverse impacts of these activities.”</i></p> <p><b>CONFORMITY</b></p>
<p>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 shall take these areas into account.</p>	<p>YES</p>	<p><i>CAN/CSA-Z809-16</i></p> <p><i>“Section 6, Clause 6.3.1 Criterion 1 — Biological diversity</i></p> <p><i>6.3.1.1 General</i></p> <p><i>Conserve biological diversity by maintaining integrity, function, and diversity of living organisms and the complexes of which they are part, including ecological elements that contribute to cultural values.</i></p> <p><i>Element 1.4 — Protected areas and sites of special biological, heritage or cultural significance</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>Respect protected areas identified through government processes. Co-operate in broader landscape management related to protected areas and sites of special biological or cultural significance. Identify sites of special geological, biological, or heritage features with cultural significance within the DFA, and implement management strategies appropriate to their long-term maintenance.</i></p> <p><i>Core indicators</i></p> <p><i>1.4.1 — Protection of sites of special significance.</i></p> <p><i>1.4.2 — Proportion of identified sites with implemented management strategies.</i></p> <p><i>Section 7, Clause 7.3.1 Defined forest area (DFA)</i>  <i>The organization shall designate a clearly defined forest area to which this Standard applies.</i></p> <p><i>The organization shall define the geographic extent and the respective ownership and management responsibilities for the DFA and utilize applicable inventories and maps to support the SFM Plan.</i></p> <p><i>Clause 7.3.5 SFM plan</i>  <i>The organization shall document, maintain, and make publicly available an SFM plan for the DFA. The SFM plan for each DFA shall include</i></p> <p style="padding-left: 40px;"><i>x) a comprehensive description and map of the DFA including analysis units (if applicable);”</i></p> <p><b>CONFORMITY</b></p>
<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>YES</p>	<p>CAN/CSA-Z809-16</p> <p><i>“Section 6, Clause 6.3.3 Criterion 3 — Soil and water</i>  <i>Note: See Clause A.6.3.3 for a commentary on this Clause.</i></p> <p><i>6.3.3.1 General</i>  <i>Conserve soil and water resources by maintaining their quantity and quality in forest ecosystems.</i></p> <p><i>6.3.3.2 Discussion items for Criterion 3</i>  <i>The public participation process shall include, but not be limited to, discussion of the following topics:</i></p> <ul style="list-style-type: none"> <li>• <i>soil productivity,</i></li> <li>• <i>sensitive sites;</i></li> <li>• <i>soil disturbance prevention and mitigation</i></li> </ul>

Question	YES / NO*	Reference to scheme documentation
		<p><i>measures;</i></p> <ul style="list-style-type: none"> <li>• <i>site rehabilitation in areas of severe soil disturbance;</i></li> <li>• <i>water quality in watersheds supplying domestic water</i></li> <li>• <i>management practices and regulatory requirements that conserve water and soil; and</i></li> <li>• <i>role and importance of wetlands.</i></li> </ul> <p><i>6.3.3.3 Element 3.1 — Soil quality and quantity</i>  <i>Conserve soil resources by maintaining soil quality and quantity.</i></p> <p><i>Core indicators</i></p> <p><i>3.1.1 — Level of soil disturbance.</i></p> <p><i>3.1.2 --- Level of downed woody debris.</i></p> <p><i>Appendix A, A.6.3.3 Criterion 3—...It is therefore vital to keep soil in place and to disturb as little as possible. A common approach is the implementation of best management practices(BMPs), established on the basis of substantial field experience and targeted research. Soil-related BMPs address topics such as appropriate kinds of machine traffic on sensitive sites, appropriate seasons for field operations, and guidelines for the sustainable removal of biomass. Even with careful use of BMPs, some sites can suffer severe soil disturbance (e.g., due to machine operations). In such cases, managers might need to take actions to rehabilitate sites...Forest management activities, including infrastructure development (e.g., skid trails, roads, bridges), can have a profound influence on both soil and water quantity/quality. Forest managers should minimize any adverse impacts of these activities.”</i></p> <p><b>CONFORMITY</b></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. Inappropriate use of chemicals or other harmful substances or inappropriate silvicultural practices influencing water quality in a harmful way</p>	<p>YES</p>	<p>CAN/CSA-Z809-16</p> <p><i>“Section 4, Clause 4.2 Required Activities</i>  <i>The organization shall meet the sustainable forest management (SFM) requirements of this Standard, which include</i></p> <p><i>y) compliance with legislation applicable to the</i></p>



Question	YES / NO*	Reference to scheme documentation
shall be avoided.		<p><i>defined forest area (DFA);</i>  <i>Section 6, Clause 6.3.3 Criterion 3 — Soil and water</i>  <i>6.3.3.1 General</i>  <i>Conserve soil and water resources by maintaining their quantity and quality in forest ecosystems.</i>  <i>6.3.3.3 Element 3.1 — Soil quality and quantity</i>  <i>Conserve soil resources by maintaining soil quality and quantity.</i>  <i>6.3.3.4 Element 3.2 — Water quality and quantity</i>  <i>Conserve water resources by maintaining water quality and quantity</i>  <i>Appendix A, A.6.3.3 Criterion 3—...It is therefore vital to keep soil in place and to disturb as little as possible. A common approach is the implementation of best management practices(BMPs), established on the basis of substantial field experience and targeted research. Soil-related BMPs address topics such as appropriate kinds of machine traffic on sensitive sites, appropriate seasons for field operations, and guidelines for the sustainable removal of biomass. Even with careful use of BMPs, some sites can suffer severe soil disturbance (e.g., due to machine operations). In such cases, managers might need to take actions to rehabilitate sites...Forest management activities, including infrastructure development (e.g., skid trails, roads, bridges), can have a profound influence on both soil and water quantity/quality. Forest managers should minimize any adverse impacts of these activities.”</i></p> <p>The assessor notes that the use of pesticides is carefully controlled and restricted in Canada. Only pesticides that have been registered by government authorities for use in forest management/silvicultural applications can be used. Application of chemicals requires public notification, a permit and can be applied only by trained and licensed technicians. There are strict requirements to prevent contamination of watercourses lakes, and drift into adjacent areas. Integrated pest management strategies are preferred; use of harvesting</p>

Question	YES / NO*	Reference to scheme documentation
		<p>and silvicultural practices to maintain the forest in a vigorous, healthy condition and use of pesticides only to control serious outbreaks. The use of pesticides for the purpose of forest management is strictly regulated in Canada through federal and provincial legislation and regulation. Links to the legislation and regulations are included in the document entitled <i>Chemicals and Pesticides Use in Canada</i> included in the Supporting Documents.</p> <p><b>CONFORMITY</b></p>
<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>YES</p>	<p>CAN/CSA-Z809-16  <i>Clause 6.3.3 Criterion 3 — Soil and water</i>  <i>6.3.3.1 General</i>  <i>Conserve soil and water resources by maintaining their quantity and quality in forest ecosystems.</i>  <i>6.3.3.3 Element 3.1 — Soil quality and quantity</i>  <i>Conserve soil resources by maintaining soil quality and quantity.</i>  <i>6.3.3.4 Element 3.2 — Water quality and quantity</i>  <i>Conserve water resources by maintaining water quality and quantity</i>  <i>Appendix A, A.6.3.3.3</i>  <i>Element 3.1—Soil quality and quantity Maintaining soil quality and quantity involves implementing management strategies to minimize and mitigate soil disturbance. Measuring soil conditions, particularly chemical and physical properties, might be feasible at a specific site, but impractical across entire working forests. Established research maybe used to identify the links between certain kinds of soil-related forest practices and soil conditions, and forest managers can control their practices accordingly. When monitoring operations such as harvesting and infrastructure construction (roads, bridges, landings, etc.) reveal that soil disturbances (e.g., erosion, rutting, displacement, slumping) exceed locally defined threshold levels, appropriate mitigation efforts should be implemented. Appendix A, A.6.3.3 Criterion 3—...It is therefore vital to keep soil in place and to disturb as little as possible.</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>A common approach is the implementation of best management practices(BMPs), established on the basis of substantial field experience and targeted research. Soil-related BMPs address topics such as appropriate kinds of machine traffic on sensitive sites, appropriate seasons for field operations, and guidelines for the sustainable removal of biomass. Even with careful use of BMPs, some sites can suffer severe soil disturbance (e.g., due to machine operations). In such cases, managers might need to take actions to rehabilitate sites...Forest management activities, including infrastructure development (e.g., skid trails, roads, bridges), can have a profound influence on both soil and water quantity/quality. Forest managers should minimize any adverse impacts of these activities.”</i></p> <p><b>CONFORMITY</b></p>
<b>Criterion 6: Maintenance of other socio-economic functions and conditions</b>		
<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>YES</p>	<p>CAN/CSA-Z809-16</p> <p><i>“Section 6, Clause 6.3.5 Criterion 5 — Economic and social benefits</i></p> <p><i>6.3.5.1 General</i></p> <p><i>Sustain flows of forest benefits for current and future generations by providing multiple goods and services.</i></p> <p><i>6.3.5.3 Element 5.1 — Timber and non-timber benefits</i></p> <p><i>Manage the forest sustainably to produce a mix of timber and non-timber benefits. Support a diversity of timber and non-timber forest products and forest-based services.</i></p> <p><i>6.3.5.4 Element 5.2 — Communities and sustainability</i></p> <p><i>Contribute to the sustainability of communities by providing diverse opportunities to derive benefits from forests and by supporting local community economies</i></p> <p><i>Clause 6.3.7 Criterion 7 — Aboriginal Relations</i></p> <p><i>6.3.7.1 General</i></p> <p><i>Recognize and respect the unique rights and values of</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>Aboriginal Peoples.</i></p> <p><i>6.3.7.3 Element 7.2 — Respect for Aboriginal forest values, knowledge, and uses</i></p> <p><i>Respect traditional Aboriginal forest values, knowledge, and uses as identified through an Aboriginal input process.</i></p> <p><i>Core indicators</i></p> <p><i>7.2.1 — Evidence of efforts to promote capacity development and meaningful participation for Aboriginal individuals, communities and forest-based companies.</i></p> <p><i>7.2.2 — Evidence of understanding and use of Aboriginal knowledge through the engagement of willing Aboriginal communities, using a process that identifies and manages culturally important resources and values.</i></p> <p><i>7.2.3 — Level of management and/or protection of areas where culturally important practices and activities occur.”</i></p> <p><b>CONFORMITY</b></p>
<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>YES</p>	<p>CAN/CSA-Z809-16</p> <p><i>“Section 6, Clause 6.3.5 Criterion 5 — Economic and social benefits</i></p> <p><i>6.3.5.1 General</i></p> <p><i>Sustain flows of forest benefits for current and future generations by providing multiple goods and services.</i></p> <p><i>6.3.5.3 Element 5.1 — Timber and non-timber benefits</i></p> <p><i>Manage the forest sustainably to produce a mix of timber and non-timber benefits. Support a diversity of timber and non-timber forest products and forest-based services.</i></p> <p><i>6.3.5.4 Element 5.2 — Communities and sustainability</i></p> <p><i>Contribute to the sustainability of communities by providing diverse opportunities to derive benefits from forests and by supporting local community economies</i></p> <p><i>Core indicators</i></p> <p><i>5.2.1 — Level of participation and support in initiatives</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>that contribute to community sustainability</i></p> <p>5.2.2 — <i>Level of participation and support in training and skills development</i></p> <p>5.2.3 — <i>Level of direct and indirect employment”</i></p> <p><b>CONFORMITY</b></p>
<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>YES</p>	<p>CAN/CSA-Z809-16</p> <p><i>“Section 7, SFM system requirements</i></p> <p><i>Clause 7.3.1 Defined forest area (DFA)</i></p> <p><i>The organization shall designate a clearly defined forest area to which this Standard applies.</i></p> <p><i>The organization shall define the geographic extent and the respective ownership and management responsibilities for the DFA and utilize applicable inventories and maps to support the SFM plan.</i></p> <p><i>Clause 7.3.3 Rights and regulations</i></p> <p><i>The organization shall</i></p> <ul style="list-style-type: none"> <li><i>a) respect the legal rights and responsibilities of other parties in the DFA;</i></li> <li><i>b) demonstrate that relevant legislation and regulatory requirements relating to ownership, tenure, rights, and responsibilities in the DFA have been identified and complied with;</i></li> <li><i>c) demonstrate that Aboriginal title and rights, and treaty rights have been identified and respected;</i></li> <li><i>d) demonstrate that the legal and constitutional rights relevant to SFM (including those specified in the International Labour Organization [ILO] conventions to which Canada is a signatory [such as “Freedom of Association” and “Protection of the Right to Organize”]) and the health and safety of DFA-related workers are respected, and their contributions to SFM are encouraged;</i></li> <li><i>e) demonstrate that the acquired and legal rights of private woodlot owners to set the values, objectives, indicators, and targets relating to their properties are respected; and</i></li> <li><i>f) establish and maintain procedures to identify and have access to all legal and other requirements to which the organization subscribes that are applicable to the DFA. This includes requirements related to ownership tenure, rights, and</i></li> </ul>

Question	YES / NO*	Reference to scheme documentation
		<p><i>responsibilities in the DFA.</i></p> <p><i>Section 6, Clause 6.3.7 Criterion 7 – Aboriginal Relations</i></p> <p><i>6.3.7.1 General</i></p> <p><i>Recognize and respect the unique rights and values of Aboriginal Peoples.</i></p> <p><i>6.3.7.2 Element 7.1 – Aboriginal and treaty rights</i></p> <p><i>Recognize and respect Aboriginal title and rights, and treaty rights. Understand and comply with current legal requirements related to Aboriginal title and rights, and treaty rights.”</i></p> <p><b>CONFORMITY</b></p>
<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 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>	<p>YES</p>	<p>CAN/CSA-Z809-16</p> <p><i>“Section 5, Public and Aboriginal participation requirement</i></p> <p><i>Clause 5.2 Interested parties</i></p> <p><i>The organization shall</i></p> <ul style="list-style-type: none"> <li><i>a) openly seek representation from a range of interested parties, including DFA-related workers, and invite them to participate in the public participation process;</i></li> <li><i>b) demonstrate through documentation that efforts were made to contact and encourage affected and interested communities, including Aboriginal communities, to become involved in the SFM public participation process;</i></li> <li><i>c) provide interested parties with relevant background information;</i></li> <li><i>d) acknowledge that Aboriginal participation is without prejudice to Aboriginal title and rights, or treaty rights;</i></li> </ul> <p><i>Section 6, Clause 6.3.7 Criterion 7 – Aboriginal Relations</i></p> <p><i>6.3.7.1 General</i></p> <p><i>Recognize and respect the unique rights and values of Aboriginal Peoples.</i></p> <p><i>6.3.7.2 Element 7.1 – Aboriginal and treaty rights</i></p> <p><i>Recognize and respect Aboriginal title and rights, and treaty rights. Understand and comply with current</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>legal requirements related to Aboriginal title and rights, and treaty rights.</i></p> <p><i>Core indicators</i></p> <p><i>7.1.1 — Evidence of a good understanding of the nature of Aboriginal title and rights.</i></p> <p><i>7.1.2—Evidence of ongoing open and respectful communications with Aboriginal communities to foster meaningful engagement, and consideration of the information gained about their Aboriginal title and rights through this process. Where there is communicated disagreement regarding the organization’s forest management activities, this evidence would include documentation of efforts towards conflict resolution. Section 7, Clause 7.2 SFM policy</i></p> <p><i>Top management shall define and maintain the organization’s SFM commitment through policy statements and/or other documented public statements. The statement(s) shall contain a commitment to</i></p> <p><i>d) respect and recognize Aboriginal title and rights, and treaty rights;”</i></p> <p><b>CONFORMITY</b></p>
<p>5.6.5 Adequate public access to forests for 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>YES</p>	<p>CAN/CSA-Z809-16</p> <p><i>“Section 7, Clause A.7.3.3 Rights and regulations Rights of private woodlot owners and landowners While all SFM requirements apply regardless of ownership, this Standard recognizes that private landowners have the right to decide the objectives for their land and limit public access for certain activities.”</i></p> <p>The assessor notes that 93 % of forest land in Canada is publicly owned. The vast majority of land to which this Standard applies is public forest land and therefore public access to forests for recreation is a given. Access to public land may be restricted at times where there are potential hazards to the public from industrial operations or when the danger of forest fire reaches</p>

Question	YES / NO*	Reference to scheme documentation
		<p>unacceptable levels. The Standard considers the rights of private land owners to public access above.</p> <p><b>CONFORMITY</b></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>YES</p>	<p>CAN/CSA-Z809-16</p> <p><i>“Section 6, Clause 6.3.1 Criterion 1 — Biological diversity</i></p> <p><i>6.3.1.1 General</i></p> <p><i>Conserve biological diversity by maintaining integrity, function, and diversity of living organisms and the complexes of which they are part, including ecological elements that contribute to cultural values.</i></p> <p><i>Element 1.4 — Protected areas and sites of special biological, heritage or cultural significance</i></p> <p><i>Respect protected areas identified through government processes. Co-operate in broader landscape management related to protected areas and sites of special biological or cultural significance.</i></p> <p><i>Identify sites of special geological, biological, or heritage features with cultural significance within the DFA, and implement management strategies appropriate to their long-term maintenance.</i></p> <p><i>Core indicators</i></p> <p><i>1.4.1 — Protection of sites of special significance.</i></p> <p><i>1.4.2 — Proportion of identified sites with implemented management strategies.</i></p> <p><i>Section 6, Clause 6.3.7 Criterion 7 — Aboriginal Relations</i></p> <p><i>6.3.7.1 General</i></p> <p><i>Recognize and respect the unique rights and values of Aboriginal Peoples.</i></p> <p><i>6.3.7.3 Element 7.2 — Respect for Aboriginal forest values, knowledge, and uses</i></p> <p><i>Respect traditional Aboriginal forest values, knowledge, and uses as identified through an Aboriginal input process.</i></p> <p><i>Core indicators</i></p> <p><i>7.2.1 — Evidence of efforts to promote capacity development and meaningful participation for</i></p>



Question	YES / NO*	Reference to scheme documentation
		<p><i>Aboriginal individuals, communities and forest-based companies.</i></p> <p>7.2.2 — <i>Evidence of understanding and use of Aboriginal knowledge through the engagement of willing Aboriginal communities, using a process that identifies and manages culturally important resources and values.</i></p> <p>7.2.3 — <i>Level of management and/or protection of areas where culturally important practices and activities occur.”</i></p> <p><b>CONFORMITY</b></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>YES</p>	<p>CAN/CSA-Z809-16</p> <p><i>“Section 6, Clause 6.3.1 Criterion 1 — Biological diversity</i></p> <p><i>6.3.1.3 Element 1.1 — Ecosystem diversity</i></p> <p><i>Conserve ecosystem diversity at the stand and landscape levels by maintaining the variety of communities and ecosystems that naturally occur in the DFA.</i></p> <p><i>Core indicators 1.1.1—Ecosystem area by type.</i></p> <p><i>1.1.2—Forest area by type or species composition.</i></p> <p><i>1.1.3—Forest area by seral stage or age class.</i></p> <p><i>1.1.4—Degree of within-stand structural retention.</i></p> <p><i>6.3.1.6 Element 1.4 — Protected areas and sites of special biological, geological, heritage, or cultural significance</i></p> <p><i>Respect protected areas identified through government processes. Co-operate in broader landscape management related to protected areas and sites of special biological or cultural significance. Identify sites of special geological, biological, or heritage features with cultural significance within the DFA, and implement management strategies appropriate to their long-term maintenance.</i></p> <p><i>Clause 6.3.5 Criterion 5 — Economic and social benefits</i></p> <p><i>6.3.5.1 General</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>Sustain flows of forest benefits for current and future generations by providing multiple goods and services.</i></p> <p><i>6.3.5.3 Element 5.1 — Timber and non-timber benefits</i></p> <p><i>Manage the forest sustainably to produce a mix of timber and non-timber benefits. Support a diversity of timber and non-timber forest products and forest-based services.</i></p> <p><i>Core indicators</i></p> <p><i>5.1.1 — Documentation of the diversity of timber and non-timber resources, including products and services produced in the DFA.</i></p> <p><i>5.1.2 — Evidence of open and respectful communications with forest dependent businesses, forest users and local communities to integrate non-timber resources into forest management planning. When significant disagreement occurs, efforts towards conflict resolution are documented.</i></p> <p><i>“Section 7, Clause A.7.3.3 Rights and regulations</i></p> <p><i>Rights of private woodlot owners and landowners</i></p> <p><i>While all SFM requirements apply regardless of ownership, this Standard recognizes that private landowners have the right to decide the objectives for their land and limit public access for certain activities.”</i></p> <p>The assessor notes that 93 % of forest land in Canada is publicly owned. The vast majority of land to which this Standard applies is public forest land and therefore public access to forests for recreation is a given. Access to public land may be restricted at times where there are potential hazards to the public from industrial operations or when the danger of forest fire reaches unacceptable levels. The Standard considers the rights of private land owners to public access above.</p> <p><b>CONFORMITY</b></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	YES	<p>CAN/CSA-Z809-16</p> <p><i>“Section 7, Clause 7.4.2 Competence, training, and knowledge</i></p> <p><i>The organization shall identify training needs. It shall</i></p>

Question	YES / NO*	Reference to scheme documentation
sustainable forest management as a precondition for all management planning and practices described in this standard.		<p><i>also ensure that personnel receive training in accordance with the impact of their work on the DFA and their ability to ensure that SFM requirements are met.</i></p> <p><i>The organization shall establish and maintain procedures to ensure that personnel, at each relevant function and level, have knowledge of their roles and responsibilities in achieving conformance with the SFM policy and SFM requirements. The organization shall ensure that its personnel are qualified on the basis of appropriate training and/or work experience and have opportunities to gain new knowledge. The organization shall also require contractors working on its behalf to demonstrate that their personnel have the requisite training and awareness levels. The organization shall continually improve its knowledge of the DFA and SFM and shall monitor advances in SFM science and technology, and incorporate them where and when applicable.”</i></p> <p><b>CONFORMITY</b></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.	YES	<p>CAN/CSA-Z809-16</p> <p><i>“Section 5, Public and Aboriginal participation requirement</i></p> <p><i>Clause 5.2 Interested parties</i></p> <p><i>The organization shall</i></p> <ul style="list-style-type: none"> <li><i>e) openly seek representation from a range of interested parties, including DFA-related workers, and invite them to participate in the public participation process;</i></li> <li><i>f) demonstrate through documentation that efforts were made to contact and encourage affected and interested communities, including Aboriginal communities, to become involved in the SFM public participation process;</i></li> <li><i>g) provide interested parties with relevant background information;</i></li> <li><i>h) acknowledge that Aboriginal participation is without prejudice to Aboriginal title and rights, or treaty rights;</i></li> </ul> <p><i>Section 6, Clause 6.3.7 Criterion 7 — Aboriginal</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>Relations</i></p> <p><i>6.3.7.1 General</i></p> <p><i>Recognize and respect the unique rights and values of Aboriginal Peoples.</i></p> <p><i>6.3.7.3 Element 7.2 — Respect for Aboriginal forest values, knowledge, and uses</i></p> <p><i>Respect traditional Aboriginal forest values, knowledge, and uses as identified through an Aboriginal input process.</i></p> <p><i>Core indicators</i></p> <p><i>7.2.1 — Evidence of efforts to promote capacity development and meaningful participation for Aboriginal individuals, communities and forest-based companies.</i></p> <p><i>7.2.2 — Evidence of understanding and use of Aboriginal knowledge through the engagement of willing Aboriginal communities, using a process that identifies and manages culturally important resources and values.</i></p> <p><i>7.2.3 — Level of management and/or protection of areas where culturally important practices and activities occur.”</i></p> <p><b>CONFORMITY</b></p>
<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>YES</p>	<p>CAN/CSA-Z809-16</p> <p><i>“Section 5, Public and Aboriginal participation requirement</i></p> <p><i>Clause 5.2 Interested parties</i></p> <p><i>The organization shall</i></p> <ul style="list-style-type: none"> <li><i>i) openly seek representation from a range of interested parties, including DFA-related workers, and invite them to participate in the public participation process;</i></li> <li><i>j) demonstrate through documentation that efforts were made to contact and encourage affected and interested communities, including Aboriginal communities, to become involved in the SFM public participation process;</i></li> <li><i>k) provide interested parties with relevant</i></li> </ul>

Question	YES / NO*	Reference to scheme documentation
		<p><i>background information;</i></p> <p><i>l) acknowledge that Aboriginal participation is without prejudice to Aboriginal title and rights, or treaty rights;</i></p> <p><i>Clause 5.3 Process: Basic operating rules for advisory groups</i></p> <p><i>The organization shall demonstrate that</i></p> <p><i>a) the public participation process for advisory groups works according to clearly defined operating rules that contain provisions on....</i></p> <p><i>i) dispute-resolution mechanism...”</i></p> <p><b>CONFORMITY</b></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>YES</p>	<p>CAN/CSA-Z809-16</p> <p><i>“Section 7, Clause 7.2 SFM policy</i></p> <p><i>Top management shall define and maintain the organization’s SFM commitment through policy statements and/or other documented public statements. The statement(s) shall contain a commitment to</i></p> <p><i>f) provide conditions and safeguards for the health and safety of DFA-related workers and the public;</i></p> <p><i>Clause 7.3.3 Rights and regulations</i></p> <p><i>The organization shall</i></p> <p><i>c) demonstrate that the legal and constitutional rights relevant to SFM (including those specified in the International Labour Organization [ILO] Conventions and Recommendations to which Canada is a signatory [such as “Freedom of Association” and “Protection of the Right to Organize”]) and the health and safety of DFA-related workers are respected, and their contributions to SFM are encouraged;</i></p> <p><i>Section 6, Clause 6.3.6 Criterion 6 — Society’s responsibility</i></p> <p><i>6.3.6.1 General</i></p> <p><i>Sustainable forest management includes society’s responsibility for worker and community safety, and the requirement for fair, equitable, and effective forest management decisions.</i></p> <p><i>6.3.6.3 Element 6.2 — Safety</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>Demonstrate that the organization is providing and promoting safe working conditions for its employees and contractors.</i></p> <p><i>Core indicators</i></p> <p><i>6.2.1 — Evidence of co-operation with DFA-related workers to improve and enhance safety standards, procedures, and outcomes in all DFA-related workplaces and affected communities.</i></p> <p><i>6.2.2 — Evidence that a worker safety program has been implemented and is periodically reviewed and improved.”</i></p> <p><b>CONFORMITY</b></p>
<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>YES</p>	<p>CAN/CSA-Z809-16</p> <p><i>“Section 7, Clause 7.2 SFM policy</i>  <i>Top management shall define and maintain the organization’s SFM commitment through policy statements and/or other documented public statements. The statement(s) shall contain a commitment to</i></p> <p><i>g) provide conditions and safeguards for the health and safety of DFA-related workers and the public;</i>  <i>Clause 7.3.3 Rights and regulations</i></p> <p><i>The organization shall</i></p> <p><i>d) demonstrate that the legal and constitutional rights relevant to SFM (including those specified in the International Labour Organization [ILO] Conventions and Recommendations to which Canada is a signatory [such as “Freedom of Association” and “Protection of the Right to Organize”]) and the health and safety of DFA-related workers are respected, and their contributions to SFM are encouraged;</i>  <i>Section 6, Clause 6.3.6 Criterion 6 — Society’s responsibility</i></p> <p><i>6.3.6.1 General</i>  <i>Sustainable forest management includes society’s responsibility for worker and community safety, and the requirement for fair, equitable, and effective forest</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>management decisions.</i></p> <p><i>6.3.6.3 Element 6.2 – Safety</i></p> <p><i>Demonstrate that the organization is providing and promoting safe working conditions for its employees and contractors.</i></p> <p><i>Core indicators</i></p> <p><i>6.2.1 – Evidence of co-operation with DFA-related workers to improve and enhance safety standards, procedures, and outcomes in all DFA-related workplaces and affected communities.</i></p> <p><i>6.2.2 – Evidence that a worker safety program has been implemented and is periodically reviewed and improved.”</i></p> <p><b>CONFORMITY</b></p>
<p>5.6.13 Forest management shall comply with fundamental ILO conventions.</p>	<p>YES</p>	<p>CAN/CSA-Z809-16</p> <p><i>“Section 7, Clause 7.3.3 Rights and regulations</i></p> <p><i>The organization shall</i></p> <p><i>demonstrate that the legal and constitutional rights relevant to SFM (including those specified in the International Labour Organization [ILO] Conventions and Recommendations to which Canada is a signatory [such as “Freedom of Association” and “Protection of the Right to Organize”]) and the health and safety of DFA-related workers are respected, and their contributions to SFM are encouraged;”</i></p> <p>The assessor notes that Canada has ratified the following fundamental ILO Conventions:</p> <p>C029 Forced Labour, 1930</p> <p>C087 Freedom of Associations and Protection of the Right to Organise, 1948</p> <p>C100 Equal Remuneration, 1951</p> <p>C105 Abolition of Forced Labour, 1957</p> <p>C111 Discrimination (Employment and Occupation), 1958</p> <p>C138 Minimum Age for Admission to Employment, 1973</p> <p>C182 Worst Forms of Child Labour, 1999</p>

Question	YES / NO*	Reference to scheme documentation
		<b>CONFORMITY</b>
<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>YES</p>	<p><i>CAN/CSA-Z809-16</i></p> <p><i>“Section 0, Clause 0.7 Continual improvement</i>  <i>The concept of continual improvement in SFM is central to this Standard. The Standard uses adaptive management procedures that recognize SFM as a dynamic process that incorporates new knowledge acquired through time, experience, and research, and that also evolves with society’s changing environmental, social, and economic values. This Standard also requires the organization to undertake an annual review of all its requirements, including performance requirements, to identify areas for continual improvement.</i></p> <p><i>Section 7, Clause 7.2 SFM policy</i>  <i>Top management shall define and maintain the organization’s SFM commitment through policy statements and/or other documented public statements. The statement(s) shall contain a commitment to</i></p> <p><i>h) improve knowledge about the forest and SFM, monitor advances in SFM science and technology, and incorporate these advances where applicable;</i>  <i>Clause 7.4.2 Competence, training, and knowledge</i>  <i>The organization shall establish and maintain procedures to ensure that personnel, at each relevant function and level, have knowledge of their roles and responsibilities in achieving conformance with the SFM policy and SFM requirements. The organization shall ensure that its personnel are qualified on the basis of appropriate training and/or work experience and have opportunities to gain new knowledge. The organization shall also require contractors working on its behalf to demonstrate that their personnel have the requisite training and awareness levels. The organization shall continually improve its knowledge of the DFA and SFM and shall monitor advances in SFM science and technology, and incorporate them</i></p>



Question	YES / NO*	Reference to scheme documentation
		<p><i>where and when applicable.”</i></p> <p><b>CONFORMITY</b></p>
<p><b>Criterion 7: Maintenance and appropriate enhancement of protective functions in forest management (notably soil and water)</b></p>		
<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; health, labour and safety issues; and the payment of royalties and taxes.</p>	<p>YES</p>	<p>CAN/CSA-Z809-16</p> <p><i>“Section 0, Clause 0.1 General</i>  <i>The federal and provincial/territorial governments in Canada both have regulatory roles in relation to forests. The Constitution Act (1982) places jurisdiction over forests in the remit of the provinces. Each province has a comprehensive set of laws, regulations, and policies covering all aspects of forests and their management. The Government of Canada has legislation covering, among other things, species at risk, migratory birds, fish, aquatic habitat, and water quality. The federal government also has responsibility for Aboriginal treaties, lands, and associated matters. All organizations with responsibility for forest management are required to be in compliance with this comprehensive regulatory framework. The provincial and federal governments monitor compliance with regulatory requirements which, on public land, must be met as a condition of continuation of the forest management license. Certification to this Standard requires compliance with all applicable federal and provincial regulations. With requirements for ongoing public participation and continual improvement, this standard motivates organizations to go beyond legal compliance.</i></p> <p><i>“Section 4, Clause 4.2 Required Activities</i>  <i>The organization shall meet the sustainable forest management (SFM) requirements of this Standard, which include a) compliance with legislation applicable to the defined forest area (DFA)...</i></p> <p><i>Section 5, Clause 5.4 Work of the advisory group</i>  <i>... The organization and the public participation process shall ensure that the values, objectives, indicators, and targets are consistent with relevant</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>government legislation, regulations, and policies.</i></p> <p><i>Section 7, Clause 7.2 SFM policy</i></p> <p><i>Top management shall define and maintain the organization's SFM commitment through policy statements and/or other documented public statements. The statement(s) shall contain a commitment to</i></p> <p><i>a) meet or exceed all relevant legislation, regulations, policies, and other requirements to which the organization subscribes...</i></p> <p><i>d) respect and recognize Aboriginal title and rights, and treaty rights;</i></p> <p><i>Section 7, Clause 7.3.3 Rights and regulations</i></p> <p><i>a) The organization shall respect the legal rights and responsibilities of other parties in the DFA;</i></p> <p><i>b) respect the legal rights and responsibilities of other parties in the DFA;</i></p> <p><i>c) demonstrate that relevant legislation and regulatory requirements relating to ownership, tenure, rights, and responsibilities in the DFA have been identified and complied with;</i></p> <p><i>d) demonstrate that the legal and constitutional rights relevant to SFM (including those specified in the International Labour Organization [ILO] Conventions and Recommendations to which Canada is a signatory [such as "Freedom of Association" and "Protection of the Right to Organize"]) and the health and safety of DFA-related workers are respected, and their contributions to SFM are encouraged;</i></p> <p><i>e) demonstrate that the acquired and legal rights of private woodlot owners to set the values, objectives, indicators, and targets relating to their properties are respected; and</i></p> <p><i>f) establish and maintain procedures to identify and have access to all legal and other requirements to which the organization subscribes that are applicable to the DFA. This includes requirements related to ownership tenure, rights, and responsibilities in the DFA.</i></p> <p><b>CONFORMITY</b></p>

Question	YES / NO*	Reference to scheme documentation
<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>YES</p>	<p>CAN/CSA-Z809-16</p> <p><i>Section 7, Clause 7.3.3 Rights and regulations</i></p> <p><i>a) The organization shall respect the legal rights and responsibilities of other parties in the DFA;...</i></p> <p><i>g) respect the legal rights and responsibilities of other parties in the DFA;</i></p> <p><i>h) demonstrate that relevant legislation and regulatory requirements relating to ownership, tenure, rights, and responsibilities in the DFA have been identified and complied with;...</i></p> <p><i>i)</i></p> <p><i>j) demonstrate that the acquired and legal rights of private woodlot owners to set the values, objectives, indicators, and targets relating to their properties are respected; and</i></p> <p><i>k) establish and maintain procedures to identify and have access to all legal and other requirements to which the organization subscribes that are applicable to the DFA. This includes requirements related to ownership tenure, rights, and responsibilities in the DFA.</i></p> <p><b>CONFORMITY</b></p>

\* If the answer to any question is no, the application documentation shall indicate for each element why and what alternative measures have been taken to address the element in question.

## PART IV: Standard and System Requirement Checklist for certification and accreditation procedures (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 PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
<b>Certification Bodies</b>				
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?	Annex 6, 3.1	YES	<p>CAN/CSA-Z809-16</p> <p><i>“Section 0, Clause 0.8 Third party independent audits:</i></p> <p><i>To become certified to this Standard, the organization goes through a third-party independent audit to the SFM requirements in the Standard (these requirements are found in Clauses 4 to 7). The audit is conducted by a certification body accredited by a full IAF member accreditation body such as the Standards Council of Canada.”</i></p> <p>The assessor notes that PEFC Canada’s Notification Contract for CSA Sustainable Forest Management certification requires accreditation in accordance with PEFC Annex 6 Certification and Accreditation Procedures by the Standards Council of Canada (SCC), a full IAF member.</p>

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
				<b>CONFORMITY</b>
2.	Does the scheme documentation require that certification body for forest management certification shall fulfil requirements defined in ISO 17021 or ISO Guide 65?	Annex 6, 3.1	YES	<p>CAN/CSA-Z809-16</p> <p><i>“Section 0, Clause 0.8 Third party independent audits:</i></p> <p><i>To become certified to this Standard, the organization goes through a third-party independent audit to the SFM requirements in the Standard (these requirements are found in Clauses 4 to 7). The audit is conducted by a certification body accredited by a full IAF member accreditation body such as the Standards Council of Canada. The certification body employs, or has access to, a sufficient number of auditors, including audit team leaders, and technical experts to cover all of the audit work performed. Individual auditors employed or contracted by the certification body have the requisite forestry expertise and appropriate knowledge and skills relevant to the geographic areas in which it operates. In addition to the initial certification audit, there are mandatory annual surveillance audits which include both a document review and on-site checks of the forest and management system to ensure that progress is being made towards the achievement of targets and that the SFM requirements are being met. The certification body should implement a risk-based audit</i></p>

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
				<p><i>sampling approach and, as such, some criteria in this Standard may be assessed more frequently than others. A full recertification audit is required periodically following the initial certification, in accordance with the requirements of ISO/IEC 17021."</i></p> <p>The assessor notes that PEFC Canada's Notification Contract for CSA Sustainable Forest Management certification requires accreditation in accordance with PEFC Annex 6 Certification and Accreditation Procedures by the Standards Council of Canada (SCC), a full IAF member.</p> <p><b>CONFORMITY</b></p>
3.	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?	Annex 6, 3.1	YES	<p>CAN/CSA-Z809-16</p> <p><i>"Section 0, Clause 0.8 Third party independent audits:</i></p> <p><i>...Individual auditors employed or contracted by the certification body have the requisite forestry expertise and appropriate knowledge and skills relevant to the geographic areas in which it operates."</i></p> <p>The assessor notes that PEFC Canada's Notification Contract for CSA Sustainable Forest Management certification requires accreditation in accordance with PEFC Annex 6 Certification and Accreditation Procedures by the Standards Council of Canada (SCC), a full IAF member.</p>

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
				<b>CONFORMITY</b>
4.	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 certification?	Annex 6, 3.1	YES	<p>CAN/CSA-Z809-16</p> <p><i>“Section 0, Clause 0.8 Third party independent audits: ...Individual auditors employed or contracted by the certification body have the requisite forestry expertise and appropriate knowledge and skills relevant to the geographic areas in which it operates.”</i></p> <p>The assessor notes that PEFC Canada’s Notification Contract for CSA Sustainable Forest Management certification requires accreditation in accordance with PEFC Annex 6 Certification and Accreditation Procedures by the Standards Council of Canada (SCC), a full IAF member.</p> <p><b>CONFORMITY</b></p>

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
5.	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 certification?	Annex 6, 3.2	YES	<p>CAN/CSA-Z809-16</p> <p><i>“Section 0, Clause 0.8 Third party independent audits: ...Individual auditors employed or contracted by the certification body have the requisite forestry expertise and appropriate knowledge and skills relevant to the geographic areas in which it operates.”</i></p> <p>The assessor notes that PEFC Canada’s Notification Contract for CSA Sustainable Forest Management certification requires accreditation in accordance with PEFC Annex 6 Certification and Accreditation Procedures by the Standards Council of Canada (SCC), a full IAF member.</p> <p><b>CONFORMITY</b></p>
6.	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?	Annex 6, 3.2	YES	<p>CAN/CSA-Z809-16</p> <p>PEFC Annex 6 Certification Procedures state: <i>“The applied auditing procedures shall fulfil or be compatible with the requirements of ISO 19011.”</i></p> <p>The assessor notes that PEFC Canada’s Notification Contract for CSA Sustainable Forest Management certification requires accreditation in accordance with PEFC Annex 6 Certification and Accreditation Procedures by the Standards Council of Canada (SCC), a full IAF member.</p>



No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
				<b>CONFORMITY</b>
7.	Does the scheme documentation include additional qualification requirements for auditors carrying out forest management audits? [*1]	Annex 6, 3.2	YES	<p>CAN/CSA-Z809-16</p> <p><i>“Clause 0.8 Third party independent audits:</i></p> <p><i>...Individual auditors employed or contracted by the certification body have the requisite forestry expertise and appropriate knowledge and skills relevant to the geographic areas in which it operates.”</i></p> <p>The assessor notes that PEFC Canada’s Notification Contract for CSA Sustainable Forest Management certification requires accreditation in accordance with PEFC Annex 6 Certification and Accreditation Procedures by the Standards Council of Canada (SCC), a full IAF member.</p> <p><b>CONFORMITY</b></p>
<b>Certification procedures</b>				
8.	Does the scheme documentation require that certification bodies shall have established internal procedures for forest management certification?	Annex 6, 4	YES	<p>The assessor notes that PEFC Canada’s Notification Contract for CSA Sustainable Forest Management certification requires accreditation in accordance with <i>PEFC Annex 6 Certification and Accreditation Procedures</i> by the Standards Council of Canada (SCC), a full IAF member.</p> <p>PEFC Annex 6 Certification Procedures state: <i>“The certification body shall have established internal procedures for forest management certification against a national forest certification scheme and for chain of custody certification.”</i></p>

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
				<b>CONFORMITY</b>
9.	Does the scheme documentation require that applied certification procedures for forest management certification shall fulfil or be compatible with the requirements defined in ISO 17021 or ISO Guide 65?	Annex 6, 4	YES	<p>The assessor notes that PEFC Canada’s Notification Contract for CSA Sustainable Forest Management certification requires accreditation in accordance with PEFC Annex 6 Certification and Accreditation Procedures by the Standards Council of Canada (SCC), a full IAF member.</p> <p>PEFC Annex 6 Certification Procedures state: <i>“The 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 any of the following documents: a) ISO 17021(1) if the certification is carried out as management system certification, b) ISO Guide 65 (EN 45 011) (2) if the certification is carried out as product certification”</i></p> <p><b>CONFORMITY</b></p>
10.	Does the scheme documentation require that applied auditing procedures shall fulfil or be compatible with the requirements of ISO 19011?	Annex 6, 4	YES	<p>The assessor notes that PEFC Canada’s Notification Contract for CSA Sustainable Forest Management certification requires accreditation in accordance with PEFC Annex 6 Certification and Accreditation Procedures by the Standards Council of Canada (SCC), a full IAF member.</p> <p>PEFC Annex 6 Certification Procedures state: <i>“The applied auditing procedures shall fulfil or be compatible with the requirements of ISO 19011.”</i></p>

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
				<b>CONFORMITY</b>
11.	Does the scheme documentation require that certification body shall inform the relevant PEFC National Governing Body about all issued forest management certificates and changes concerning the validity and scope of these certificates?	Annex 6, 4	YES	<p>The assessor notes that PEFC Canada’s Notification Contract for CSA Sustainable Forest Management certification requires accreditation in accordance with PEFC Annex 6 Certification and Accreditation Procedures by the Standards Council of Canada (SCC), a full IAF member. From Article 3.3 of the Notification Contract: “...and inform PEFC Canada of any change to a previously issued certificate at the time the change is made.”</p> <p><b>CONFORMITY</b></p>
12.	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?	Annex 6, 4	YES	<p>The assessor notes that PEFC Canada’s Notification Contract for CSA Sustainable Forest Management certification requires certification bodies to operate in accordance with PEFC ST 2003:2012 Requirements for Certification Bodies Operating Certification against the PEFC International Chain of Custody Standard. PEFC ST 2003:2012 requires evaluation of conformity with the PEFC logo usage rules.</p> <p>In addition, the administration of logo use is carried out by the licensing body, which in this case is PEFC Canada. This conforms with PEFC GD Administration of PEFC Scheme 6.2.2 “The licensing body shall have a mechanism for the investigation and enforcement of the compliance with PEFC Logo usage rules (PEFC ST2001:2008) and shall take actions, including legal if necessary, to protect the PEFC Logo</p>

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
				trademark.” <b>CONFORMITY</b>
13.	Does a maximum period for surveillance audits defined by the scheme documentation not exceed more than one year?	Annex 6, 4	YES	CAN/CSA-Z809-16  <i>“Section 0, Clause 0.8 Third party independent audits: ...In addition to the initial certification audit, there are mandatory annual surveillance audits which include both a document review and on-site checks of the forest and management system to ensure that progress is being made towards the achievement of targets and that the SFM requirements are being met. The certification body should implement a risk-based audit sampling approach and, as such, some criteria in this Standard may be assessed more frequently than others. A full recertification audit is required periodically following the initial certification, in accordance with the requirements of ISO/IEC 17021.”</i> <b>CONFORMITY</b>
14.	Does a maximum period for assessment audit not exceed five years for forest management certifications?	Annex 6, 4	YES	CAN/CSA-Z809-16  <i>“Section 0, Clause 0.8 Third party independent audits: ... A full recertification audit is required periodically following the initial certification, in accordance with the requirements of ISO/IEC 17021.”</i> <b>CONFORMITY</b>

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
15.	Does the scheme documentation include requirements for public availability of certification report summaries?	Annex 6, 4	YES	<p>CAN/CSA-Z809-16</p> <p><i>“Section 0, Clause 5.5 Public communication</i></p> <p><i>The organization shall:</i></p> <p><i>g) make publicly available the results of independent certification and surveillance audit reports...”</i></p> <p><b>CONFORMITY</b></p>
16.	Does the scheme documentation include requirements for usage of information from external parties as the audit evidence?	Annex 6, 4	YES	<p>CAN/CSA-Z809-16</p> <p><i>“Section 0, Clause 5.5 Public communication</i></p> <p><i>The organization shall:</i></p> <p><i>g) make publicly available the results of independent certification and surveillance audit reports, including, at minimum, the following information: discussion of any significant concerns relevant to the Standard, made during the audit by public participation members, Aboriginal communities, government officials, DFA workers or other interested parties and the conclusions reached by the audit team in relation to them...”</i></p> <p><b>CONFORMITY</b></p>
17.	Does the scheme documentation include additional requirements for certification procedures? [*1]	Annex 6, 4	YES	<p>CAN/CSA-Z809-16</p> <p><i>“Section 0, Clause 0.8 Third-party independent audits</i></p> <p><i>To become certified to this Standard, the organization goes through a third-party independent audit to the SFM requirements in the Standard (these requirements are found in Clauses 4to7). The audit is conducted</i></p>

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
				<p><i>by a certification body accredited by a full International Accreditation Forum (IAF) member accreditation body such as the Standards Council of Canada. The certification body employs, or has access to, a sufficient number of auditors, including audit team leaders, and technical experts to cover all of the audit work performed. Individual auditors employed or contracted by the certification body have the requisite forestry expertise and appropriate knowledge and skills relevant to the geographic areas in which it operates. In addition to the initial certification audit, there are mandatory annual surveillance audits which include both a document review and on-site checks of the forest and management system to ensure that progress is being made towards the achievement of targets and that the SFM requirements are being met. The certification body should implement a risk-based audit sampling approach and, as such, some criteria in this Standard may be assessed more frequently than others.”</i></p> <p><b>CONFORMITY</b></p>
<b>Accreditation procedures</b>				
18.	Does the scheme documentation require that certification bodies carrying out forest management certification shall be	Annex 6, 5	YES	<p>CAN/CSA-Z809-16</p> <p>“Section 0, Clause 0.8 Third party independent audits: To become</p>

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
	accredited by a national accreditation body?			<p><i>certified to this Standard, the organization goes through a third-party independent audit to the SFM requirements in the Standard (these requirements are found in Clauses 4 to 7). The audit is conducted by a certification body accredited by a full IAF member accreditation body such as the Standards Council of Canada.”</i></p> <p>The assessor notes that PEFC Canada’s Notification Contract for CSA Sustainable Forest Management certification requires accreditation in accordance with PEFC Certification and Accreditation Procedures by the Standards Council of Canada (SCC), a full IAF member.</p> <p><b>CONFORMITY</b></p>
19.	Does the scheme documentation require that an accredited certificate shall bear an accreditation symbol of the relevant accreditation body?	Annex 6, 5	YES	<p>The assessor notes that PEFC Canada’s Notification Contract for CSA Sustainable Forest Management certification requires accreditation in accordance with PEFC Annex 6 Certification and Accreditation Procedures by the Standards Council of Canada (SCC), a full IAF member.</p> <p>From Section 5 of the procedures:  <i>“An accredited certificate shall bear an accreditation symbol of the relevant accreditation body.”</i></p> <p><b>CONFORMITY</b></p>
20.	Does the scheme documentation require that the accreditation shall be issued by an accreditation body which is a part of the	Annex 6, 5	YES	<p>CAN/CSA-Z809-16</p> <p><i>“Section 0, Clause 0.8 Third party independent audits:</i></p>

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
	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><i>To become certified to this Standard, the organization goes through a third-party independent audit to the SFM requirements in the Standard (these requirements are found in Clauses 4 to 7). The audit is conducted by a certification body accredited by a full IAF member accreditation body such as the Standards Council of Canada...The certification body should implement a risk-based audit sampling approach and, as such, some criteria in this Standard may be assessed more frequently than others. A full recertification audit is required periodically following the initial certification, in accordance with the requirements of ISO/IEC 17021."</i></p> <p>The assessor notes that PEFC Canada's Notification Contract for CSA Sustainable Forest Management certification requires accreditation in accordance with PEFC Annex 6 Certification and Accreditation Procedures by the Standards Council of Canada (SCC), a full IAF member.</p> <p><b>CONFORMITY</b></p>
21.	Does the scheme documentation require that certification body undertake forest management certification as "accredited certification" based on ISO 17021 or ISO Guide 65 and the relevant forest management standard(s) shall be covered by the accreditation scope?	Annex 6, 5	YES	<p>CAN/CSA-Z809-16</p> <p><i>"Section 0, Clause 0.8 Third party independent audits:</i></p> <p><i>To become certified to this Standard, the organization goes through a third-party independent audit to the SFM requirements in the Standard (these requirements are found in</i></p>



No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
				<p><i>Clauses 4 to 7). The audit is conducted by a certification body accredited by a full IAF member accreditation body such as the Standards Council of Canada...The certification body should implement a risk-based audit sampling approach and, as such, some criteria in this Standard may be assessed more frequently than others. A full recertification audit is required periodically following the initial certification, in accordance with the requirements of ISO/IEC 17021.”</i></p> <p>The assessor notes that PEFC Canada’s Notification Contract for CSA Sustainable Forest Management certification requires accreditation in accordance with PEFC Annex 6 Certification and Accreditation Procedures by the Standards Council of Canada (SCC), a full IAF member.</p> <p><b>CONFORMITY</b></p>
22.	Does the scheme documentation include a mechanism for PEFC notification of certification bodies?	Annex 6, 6	YES	<p>The assessor notes that only certification bodies notified by PEFC Canada are allowed to issue PEFC-recognized certificates to the CAN/CSA-Z809-16 standard. See the PEFC Canada Notification Contract for CSA Sustainable Forest Management.</p> <p><b>CONFORMITY</b></p>
23.	Are the procedures for PEFC notification of certification bodies non-discriminatory?	Annex 6, 6	YES	<p>The assessor notes that PEFC Canada will offer a Notification Contract to any certification body that can demonstrate qualified</p>

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
				accreditation issued by a full IAF member for the CAN/CSA-Z809-16 standard. There are currently three notified certification bodies offering certification to the CAN/CSA-Z809-16 standard, all located in Canada.  <b>CONFORMITY</b>

\* If the answer to any question is no, the application documentation shall indicate for each element why and what alternative measures have been taken to address the element in question.

[\*1] This is not an obligatory requirement

**Part V: Standard and System Requirement Checklist for system specific Chain of custody standards – COMPLIANCE WITH PEFC ST PEFC 2002:2013**

PEFC Canada has adopted the PEFC Council International Standard PEFC ST 2002:2013 (Second edition) - Chain of Custody of Forest Based Products: Requirements in its entirety and without modification.

**Part VI: Standard and System Requirement Checklist for scheme 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	YES / NO*	Reference to application documents
<b>PEFC Notification of certification bodies</b>				
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	YES	The assessor notes that the PEFC Canada Notification Contract for CSA Sustainable Forest Management and for CSA Chain of custody include the PEFC ST Requirements for Certification Bodies Operating Certification against the PEFC International Chain of Custody Standard as part of the contract.  <b>CONFORMITY</b>
<b>PEFC Logo usage licensing</b>				
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</i>	Chapter 6	YES	The assessor notes that the PEFC Canada Logo Use Contract includes the PEFC ST Logo Use Rules – Requirements

No.	Question	Reference to PEFC GD 1004:2009	YES / NO*	Reference to application documents
	<i>PEFC scheme?</i>			as part of the contract.  <b>CONFORMITY</b>
<b>Complaints and dispute procedures</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>	Chapter 6	YES	The assessor notes that the PEFC Canada Logo Use Contract includes the PEFC ST Logo Use Rules – Requirements as part of the contract.  <b>CONFORMITY</b>

## Annex 2

### Revised CSA SFM Program and Standard CAN/CSA-Z809-16 Sustainable Forest Management Survey Response Summary

#### Technical Committee Survey

1. When were you invited to participate in the revision process of the CSA SFM Program and Standard CAN/CSA-Z809-16 Sustainable Forest Management.
  - I was invited to the first meeting.
  - November 2012
  - 2014
  - November 2012
  - To the best of my recollection, it was summer/fall 2013.
  - At the beginning, was also involved in the Z809-08 revision.
  - Early 2014 I believe
  - Early 2014
2. In your view, were all interested parties given the possibility to participate and contribute to the scheme revision development?  
Yes 7      No 1

If no, please provide an explanation.

*"I'm not sure that forestry-based labour/workers were well represented."*

3. In your opinion, did the organizers provide you the relevant material to participate in the scheme revision?  
Yes 8      No 0

If no, please provide an explanation.

4. Was the revision process well planned and structured?

Yes 8            No 0

If no, please provide an explanation.

5. Do you believe your views were appropriately considered during the revision process?

Yes 8            No 0

If no, please provide an explanation.

6. Do you believe a consensus was reached in the revision process?

Yes 8            No 0

If no, please provide an explanation.

7. In your view, did the participating Technical Committee members represent the range of interests in forest management in Canada? If not, in your opinion, which other interest groups should have participated?

Yes 7            No 0            "Perhaps"

If no, please provide an explanation.

*"There was no wildlife biologist actively involved in the revision process – but the wildlife aspects were well covered by provincial regulations and the strong requirements for bio-diversity conservation."*

8. Do you believe any aspects of the standard deserve further consideration?

Yes 1            No 7

If yes, please provide an explanation.

*"The CSA Z809 standard is one that fits Canada's public land management – it requires more support from the provincial and federal governments and greater public exposure."*



## Annex 3

### Summary of International Comments Regarding Revised CSA SFM Program and Standard CAN/CSA-Z809-16 Sustainable Forest Management

(No comments were received during the comment period)



## Annex 4

### Panel of Experts Comments



**Panel of Experts member** - Stefan Czamutdzian

**General Statement on report quality**

Very clear and comprehensive report.

**Specific findings**

Report chapter / page	PoE Member	Consultant's report statement	PoE Member Finding	Consultant's response
Ch 3.1 / p. 17	Cz	.... Business Management and Sustainability functioned as the SDO and provided management ...	The abbreviation SDO is used here at the first time in the report – please explain here.	SDO is Standards Development Organization. This acronym has been added to the Acronym & Abbreviations section.
Ch. 6 / p. 30	Cz	A primary function of the CSA SFM Standard is to reflect the <u>requirements of the CCFM SFM standard</u> .	It is unclear to the reader what the CCFM standard is (the report has not referred to up to this point) and why the CSA SFM standard needs to reflect the CCFM SFM standard. Please explain the background of the CCFM SFM standard (like this is done on p. 51, answer to question 4.4).	CCFM is the Canadian Council of Forest Ministers. This acronym has been added to the Acronym & Abbreviations section.  There is no CCFM SFM standard. The CCFM provides an important forum for the respective provincial/territorial governments to exchange information, work

				<p>cooperatively, provide leadership and generate actions on forestry related matters of interests to all Canadians above and beyond the work done by individuals governments. The evidence in 4.4 provides adequate information on the role of the CCFM.</p> <p>The report has been amended per POE comment.</p>
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### Editorial comments

Report Chapter / Page	PoE Member	Consultant's Report Statement	PoE Member Editorial Comment	Consultant's Response
Ch. 1.3.2 / p. 11	Cz	This public consultation was held via the PEFC website ( <a href="http://www.pefc.org">www.pefc.org</a> ) and available for comment from ( <u>May 12 to July 3, 2017</u> ). By the close of the 60-day international consultation	The date given seems to be wrong as it is not 60 days; and it differs from the dates given in other chapters of the report (6 Aug – 6 Oct.).	There were two 60-day public comment periods. The first period was at the beginning of the revision process. The second period came after the revisions were completed.
Ch. 1.4 / p. 12	Cz	Table 1, line 4: Date: 11.27.217	Should read: 11.27.2017	Report amended per POE comment.
Ch. 3.2 / p. 18	Cz	During the <u>process</u> all working documents are available to TC	Should read: .... process all ...	Report amended per POE comment.

		members but not the public.		
Ch. 3.10 / p 22	Cz	Last para:  With this in mind, the Assessor believes the responses, in whole, indicate that the standard revision processes were open, transparent, <u>consensus base</u> and met PEFC standard setting procedures and process requirements and the CSA SFM Standard was approved by the Technical Committee	(i) should read:  ... consensus based <u>u</u> ...  (ii)  Does the second part of the sentence lack an ending? The reader has the impression it is not complete.	Report amended per POE comment.
Ch. 5 / p. 25	Cz	Numbering on the bottom of the page	Number 3 has no content.	Report amended per POE comment.
Ch. 5 / p. 27	Cz	Numbering in the middle of the page:  1. ... are appropriate for the committee's scope; <u>2.</u>	Delete "2." at the end of the sentence.	Report amended per POE comment.
Ch 10 / p. 35	Cz	Certification bodies carrying out certification audits in <u>the</u> Canada must demonstrate ...	Should read: Certification bodies carrying out certification audits in Canada must demonstrate ...	Report amended per POE comment.

180102 / Cz

**General Statement on report quality**

A well laid out report on a mature scheme

**Specific findings**

Report Chapter / Page	PoE Member	Consultant's Report Statement	PoE Member Finding	Consultant's Response
p122 6.3	HGM	<p>PEFC requirement is that “the application date shall not exceed a period of one year from the publication of the standard...”</p> <p>In their report the assessors state that “the transition period is two years following publication of CAN/CSA-Z809-16 .... The Assessors note that PEFC Canada has made the case, and has been accepted in past endorsements, that transition under the CSA program takes longer than one year because of exceptional circumstances ....</p> <p>Acknowledgement by PEFC can be found on pages 20 and 59 in the CSA SFM Standard Final Assessment Report of April 29,2011.” CONFORMS</p>	<p>It seems to me that this is close to a non-conformity unless PEFC again grants exemption from the requirement. I am sure such exemption will again be granted but cannot be assumed on historical grounds. The matter should be raised with the PEFC.</p>	<p>According to PEFC Canada an exemption will once again be granted by PEFC International.</p>
p154 5.2.9	HGM	<p>PEFC require that “The WHO Type 1A and 1B pesticides and other highly toxic pesticides shall be prohibited.”</p>	<p>Can we have the specific reference to the banning of Types 11A and 1B pesticides. Is this perhaps covered in the statement</p>	<p>The Convention, specifically Annex A and Annex B, which lists those chemicals prohibited, covers</p>

		In their report the Assessors note that “the use of pesticides is carefully controlled and restricted in Canada ... regulations are included in the document entitled Chemicals and Pesticides use in Canada”	under 5.2.10 on p155 that Canada signed and ratified the Stockholm Convention on Persistent Organic Pollutants? At all events a more specific statement would be desirable.	PEFC Canada.  Report amended per POE comment.
p158 5.3.5	HGM	PEFC requires that felling be carried out in a manner that avoids “damage to retained stands and trees”.	The assessors make no specific reference to this, is the matter covered?	“...damage to retained stands and trees” is listed as just an example in the requirement. The substance of the requirement is maintaining the productive capacity of the site, which is adequately covered by the evidence provided.
p169 5.4.8	HGM	PEFC require that management “should promote a diversity of both horizontal and vertical structures such as uneven-aged stands..”	The assessor does not seem to address this matter of structural diversity.	The evidence provided reference “ecosystem and stand diversity...maintainin g a variety of communities and ecosystems...conserv e biological diversity by maintaining integrity, function, and diversity of living organisms and the complexes” demonstrating conformance to this requirement.
p171 5.4.11	HGM	PEFC require that “Infrastructures shall be planned and implemented in a way that minimises damage to ecosystems.”	The assessor at this stage does not specifically address this requirement. However, on p178 at the end of the top paragraph it is stated that “forest management activities,	Report amended per POE comment.

			<p>including infrastructure development (e.g. skid trails, roads and bridges), can have a profound influence on both soil and water quantity/quality. Forest managers should minimise any adverse impacts of these activities”</p> <p>Perhaps this quote should be included at this point on p171.</p>	
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### General Statement on report quality

The Assessor has completed a thorough assessment of the PEFC Canada Scheme and has set out the basics of the scheme in the body text to support the conclusions on conformity Annex 1 is especially well populated with both documentation evidence and Assessor's evaluations to support the conclusion on conformity.

While the Assessor has completed an extensive exercise in the assessment of the scheme, I'm not completely convinced that it is free of non-conformities based on the evidence provided by the Assessor. My comments on such are in the report below especially for the CSA SFM Standard and the certification requirements for certification bodies undertaking forest management certification. I would seek a further evaluation of the scheme documentation to address the comments relating to these items.

I believe a major issue with this scheme is the confusion engendered by not having a development report which provides the background to the various elements of the scheme and which would have been written by PEFC Canada. It seems (not having read it) that much of the scheme documentation resides within the CSA SFM Standard when in most other schemes it would be spread around other documents which are elements of the scheme. So, I'm at a bit of a loss as to whether the CSA SFM Standard is in fact the defacto 'scheme' or if it is part of the PEFC Canada Scheme. I believe this requires further explanation in the Introduction to the report and may need to be drafted in consultation with PEFC Canada.

Comments are based on a printed copy of the WORD version (dated December 8, 2017) supplied by the PEFC Technical Unit.

- First use of an abbreviation – it should be in full along with the abbreviation followed by use of the abbreviation as required. Can't rely on the Acronyms and Abbreviations list
- SFM standard – while it certainly has depth to the criteria, I am at a loss to find the explicit normative language used as reference material to indicate compliance with a PEFC requirement. There is a layered approach which takes you thru criteria, elements & indicators but much of the evidence is descriptive and in many cases is elusive of normative language
- SFM standard – many of the PEFC requirements seem to be met by reference to Canadian legislation at provincial or federal level but there is no discussion in **6. Forest Management Standard** to provide this context of reliance on legislation/regulation for partial or whole delivery of PEFC requirements. So, it is difficult to marry the standard's compliance being reliant on Canadian legislation
- SFM standard – there is a substantive issue in that a small number of criteria, elements & indicators are used by the Assessor as evidence of conformity for a large number of PEFC requirements – it is just repeating the same text without acknowledging the outcome sought by the PEFC requirement. It relies on 'implicit' evidence rather than 'explicit' evidence or Assessor's findings based on thorough reading, research and review of the PEFC Canada Scheme elements.
- Certification and Accreditation – as the PEFC Canada Scheme is what I consider a mature scheme, I cannot understand why it doesn't have certification body requirements for certification of forest

management (similar to the PEFC requirements for CoC) – I don't believe PEFC's Annex 6 is being used in a manner that it should be used. It is the 'standard' which the assessment of a scheme's document on such requirements should be assessed. Personally, I would be seeking such an outcome for this scheme.

In regards to editorial comments, I have indicated additional or replacement text in **bold** while any deleted text is indicated with ~~striketrough~~ of the words or phrases. This is for the benefit of the Assessors and should not be part of the publicly available comments under Annex 4. As per the PEFC requirements, the assessor only needs to report the **General Statement on report quality** and **Specific findings** from this report in his report!

### Assessor's Comments

#### **Development Report**

While PEFC Canada does not have a Development Report comparable to other PEFC Schemes they do have a similar document. This the CSA Z809 SUSTAINABLE FOREST MANAGEMENT: STANDARD SETTING PROCEDURES DOCUMENT SEPTEMBER 23, 2015 which covers most if not all of what would be in a Development Report. This reflects the relationship between PEFC Canada and the CSA. CSA is the national standard development organization for Canada so the standard developments documents were written by CSA.

In addition to the document noted in the first paragraph, other documents related to the standard development process are listed below:

CSA-SDP-2.1-14 CSA Directives and guidelines governing standardization, Part 1 Participants and organizational structure Sept 2014

CSA-SDP-2.2-14 CSA Directives and guidelines governing standardization, Part 2 Development process September 2014

CSA-SDP-2.3-14 CSA Directives and guidelines governing standardization, Part 3 Drafting of standards September 2014

#### **Components of the PEFC Canada Scheme**

While the CSA Z809 SFM Standard is the main component of the PEFC Canada Scheme, there are many other documents that constitute the Scheme, all of which were provided by PEFC Canada, utilized and listed in the report.

#### **Legislation with Relation to the Forest Management Standard**

Over 90% of the certified land in Canada is owned Federally or Provincially, hence the reliance on government legislation in the Z809 SFM Standard. The Assessor has noted the POE comments and in several cases has amended the report. Section 6 – Forest Management Standard has been expanded to help clarify the role national legislation plays on the standard development.

#### **Certification & Accreditation**

PEFC Canada has adopted PEFC Annex 6 Certification Procedures in its entirety. All certification bodies conducting certifications against the PEFC standards have been accredited by the Standards Council of Canada.



## Specific Findings

Report Chapter / Page	PoE Member	Consultant's Report Statement	PoE Member Finding	Consultant's Response
Table of Contents Pg 5	ME	Tables 1 – 4 titles	The titles are all different to the titles in the body text!	Report amended, per POE comment
Acronyms and Abbreviations Pg 7	ME		Add in: CCFM; SDP	Report amended, per POE comment
1.1 Scope of the Assessment 1 <sup>st</sup> para Pg 9  2 <sup>nd</sup> para 1 <sup>st</sup> dot point 6 <sup>th</sup> dot point  7 <sup>th</sup> dot point  9 <sup>th</sup> dot point  10 <sup>th</sup> dot point	ME	<p>“... to compare the CAN/CSA -Z809-16 Sustainable Forest Management Standard (CSA SFM Standard) ...”</p> <p>“...as to whether the revised scheme ...” and “...whether the scheme should ...”</p> <p>“... the structure of the scheme ...”</p> <p>“...PEFC GD 1004:2009, Administration of PEFC CSA SFM Standard...”</p> <p>“(*Logo usage is only assessed with the initial scheme submission)”</p> <p>“...as defined in the PEFC Council Technical Document, Annex 6 ...”</p> <p>“...check the basic</p>	<p>No indication of the ‘owner’ of the ‘scheme’ i.e. PEFC Canada</p> <p>Also, indicates a standard here but should it in essence be the ‘scheme’ as in the 2<sup>nd</sup> paragraph? The standard is an element of the ‘scheme’</p> <p>Does the “scheme” have a title? In 1.3, it is described as ‘PEFC Canada Scheme’ – so is the full title?</p> <p>See comment directly above</p> <p>How can ‘CSA SFM Standard’ be in a PEFC International document?</p> <p>If this is a footnote, move it to the correct footnote location!</p> <p>Dot points 2 to 7 have ‘against’, so why is this one different?</p> <p>Was there a report in the</p>	<p>Report amended, per POE comment.</p> <p>PEFC Canada Scheme is correct.</p> <p>There were several CSA documents provided by PEFC Canada that are similar in scope and content to the Development Reports common to other PEFC schemes.</p> <p>Report amended per POE comment.</p>

12 <sup>th</sup> dot point		contents of the development report ..." "...functions, credibility and efficiency of the submitted system"	scheme documentation? First dot point indicates that it is a 'scheme' (as does paragraph 1)!	
1.2 Assessment Process Pg 10	ME	"Step 1: Review the scheme documentation ..."  "Step 2: ... public consultation by way ..."  "Step 6: Submission for review ..."  "4. Structure of the System and ..."  "11. Detailed assessment of the Complaints and Dispute Resolution Procedures against ..."  "Step 13. Present Final Report ..."	See comment on 1 <sup>st</sup> paragraph, 1.1  On what? Need to clarify what the consultation was on  Was it provided to PEFC Canada for comment?  Use 'scheme' in Step 1. Are they one and the same? If so, use a consistent term. Also relates to comments in 1.1  Why is this one in detail when all other steps are just in headline i.e. is it just 'Complaints and Dispute Resolution Procedures'?  BOD in Acronyms and Abbreviations as well as paragraph 1, 1.1	The language used in this section is pertinent.          Report amended per POE comment.
1.3.1 Assessment of Documents Pg 11 1 <sup>st</sup> para 4 <sup>th</sup> para	ME	"...this was a standard revision procedure by CSA ..."  "...open call for	Isn't it for the scheme not just the standard?    Or was it the PEFC Canada Scheme – it is a revision of all documentation but with	The PEFC Canada Scheme encompasses all of the documentation provided, including the SFM standard.  Report amended per POE comment.

		comments on the CSA SFM Standard ...”	emphasis on the SFM standard	
1.4 Timetable of Assessment Pg 12 Table 1	ME	The three (3) references to ‘CSA SFM Standard’ in paragraph and Table 1  “Draft Final Report Submitted to PEFC Canada”	Or is it the PEFC Canada Scheme?  Isn’t it to the PEFC for submission to the PoE?	Report amended per POE comment.
1.5 Reference Documents and Sources Pg 12 1 <sup>st</sup> para 2 <sup>nd</sup> para	ME	“...seeking the re-endorsement of the CSA SFM Standard.”  “Descriptive Documents Provided by”  “(See Annex 4)”	Or is it the PEFC Canada Scheme?  Presume starts on a new line? Was there any other documents for this heading?  There is no Annex 4 in this report! Also, in the Table of Contents, Annex 4 is the PoE Comments!	Report amended per POE comment.
1.6 Audit Team Pg 14	ME	[No text]	Needs a statement to indicate that the two members of the Audit Team are collectively referred to in the report as the Assessor	Noted
2. Recommendation Pg 16 1 <sup>st</sup> para 2 <sup>nd</sup> para	ME	“...ENDORSE the Revised CSA SFM Standard as presented.”  “...within the CSA	Need to ensure correct language as it could be read as just the FM standard but assume it is the whole PEFC Canada Scheme  What about the rest of the scheme?	Report amended per POE comment.

		SFM Standard.”		
3.1 Structure of the System  Pg 17  3 <sup>rd</sup> para	ME	[Heading]  “...the Strategic Steering Committee on Business Management and Sustainability ...”	Is it ‘System’ or should it be ‘Scheme’ as in the body text?  Of what?	Comment noted. System is pertinent.  CSA. Report amended per POE comment.
3.2 Standard Setting Procedures and Process  Pg 18  2 <sup>nd</sup> para  8 <sup>th</sup> para	ME	“The TC is composed of 4 constituencies ...”  “...took place according to procedure.”	Called Interest Categories in 3.1, 3 <sup>rd</sup> & 4 <sup>th</sup> paragraphs – need a consistent term  Or ‘Procedures’ as in the 5 <sup>th</sup> paragraph?	Not necessarily.  Language is pertinent as presented.
3.7 Complaints and Dispute Resolution Procedures  Pg 20/21	ME	“... will be addressed by PEFC Canada.”	Using what documentation – none is listed in 1.5	Please Note Sect.1.5, Number 23. <i>PEFC Canada Complaints and Appeals Procedure</i>
3.10 Stakeholder Survey  Pg 21  2 <sup>nd</sup> para     6 <sup>th</sup> para	ME	“CSA provided the names and email addresses of the Technical Committee members.”  “The survey was distributed to all members of the Technical Committee ...”	Delete as is a repeat from the 1 <sup>st</sup> paragraph  How many were sent out for an indication of the response rate?  Presume it was thru ‘consensus’ – would be	Report amended per POE comment.  Amended to read “The survey was distributed to 32 members of the Technical Committee ...”  Please note

		“...the survey was distributed to all members of the Technical Committee.”	useful to indicate such	“consensus-based” in para 6.
4. Structure of the System Pg 23 8 <sup>th</sup> para	ME	[Heading]  [Dot points]	See comment at 3.1  Format dot point numbering correctly – seems to run on from 7 <sup>th</sup> paragraph!	System is appropriate in this context.  Noted
5. Standard Setting Process Pg 25 Pg 26 Pg 27	ME	Dot point 3, 4 <sup>th</sup> para  <u>The CSA SFM Standard ...</u>  “The TC met six times during the drafting phase to review standards ...”  “The SG makes final revisions to the draft.”  <u>Technical Committee SFM</u>  “TC size is set to ensure that necessary interests are represented; there is balance of representation and the committee is able to function efficiently.”	There is no indication of the document!  What else was it to consider other than the SFM standard? Seems to be extra text for no benefit  Who is this? Do you mean the TC?  This is really a repeat of dot points 1 to 3 of this section – suggest deleting	Report amended per POE comment.  TC SFM has relevance.  Report amended per POE Comment  Report amended per POE Comment
6. Forest Management	ME	<u>Forests of Canada</u>		

<p>Standard</p> <p>Pg 30</p> <p>Pg 32</p>		<p>3<sup>rd</sup> para</p> <p>“...forests into the hands of the provinces. Each province has its own ...”</p> <p><u>The CSA Sustainable Forest ...</u></p> <p>[second, sixth and seventh paragraphs]</p> <p>[seventh paragraph]</p> <p>[7th para] “...as well as other pertinent and relevant international agreements.”</p> <p>[7th para] “The CSA SFM Standard has a ... .. the rights of workers and other forest users.”</p>	<p>Does it also apply to the territories?</p> <p>Two font sizes in paragraph!</p> <p>This is essentially a repeat of 2<sup>nd</sup> sentence, 2<sup>nd</sup> paragraph – delete</p> <p>Move to the end of 2<sup>nd</sup> sentence, 2<sup>nd</sup> paragraph</p> <p>Move to 4<sup>th</sup> paragraph – logical location for this discussion</p>	<p>Yes, it applies to the territories.</p> <p>Report amended per POE comment.</p> <p>Report amended per POE comment.</p>
<p>7. Group Certification Model</p> <p>Pg 33</p> <p>1<sup>st</sup> para</p> <p>2<sup>nd</sup> para</p> <p>3<sup>rd</sup> para</p> <p>5<sup>th</sup> para</p>	<p>ME</p>	<p>“... these forest owners and managers may apply for PEFC Certification.</p> <p>“...the Group Entity and Group Member.”</p> <p>“group forest owners” [all dot point references]</p> <p>“Group Participants</p>	<p>Or is it awarded if the Group is certified?</p> <p>Or is it the ‘Participant’ as in Annex 1, Part II, 4.1 c)</p> <p>Presume they are Group Members or Participants as per 2<sup>nd</sup> paragraph?</p> <p>Is indicated as ‘Group Member in 2<sup>nd</sup> paragraph but I believe this term is correct based on Annex 1,</p>	<p>The reference is to the group.</p> <p>Changed to “Group Member” for consistency.</p>

		agree to the following:"	Part II	
10. Certification and Accreditation Arrangements Pg 35 1 <sup>st</sup> para 2 <sup>nd</sup> para	ME	"PEFC Canada has adopted PEFC Council Annex 6: Certification and Accreditation Procedures and ..."  [second paragraph]	I don't believe can adopt such as it is the requirements of the PEFC – can be compliant with it based on scheme documentation – further comments in Annex 1, PART IV  Two font sizes in paragraph!	Adoption is relevant. They are using the PEFC International documentation instead of creating their own. This happens with the COC and Logo usage as well.
11. Complaints and Disputes Resolution Procedures Pg 36 3 <sup>rd</sup> paragraph	ME	"The Assessor finds that the <b>Complaints and Dispute Resolution Procedures</b> to be <b>IN CONFORMANCE</b> with PEFC requirements with <b>No Nonconformity</b> identified."	This is an extra paragraph as is the same as the <u>Finding</u> paragraph except for 'that' - delete	Report amended per POE comment.
Annex 1: PEFC Standard Requirements Checklist Pg 37	ME	<b>Methodology</b> 1 <sup>st</sup> para  "...and poses the question of conformance."	Or is it the PEFC requirements?	Report amended per POE comment.
Part I 4.1 d) Pg 47	ME	"The assessor notes that the standard setting process is well documented in CSA-SDP-2.1-14."	Or is it 'verifies' i.e. having read and reviewed, can confirm the evidence provides compliance	Report amended per POE comment.
4.2 Process Pg 48	ME	[Assessor's comments]	Why repeat the comment from the Procedures? Surely should have been a comment on the documents which were used, as confirmed by ... and no comments were received by the CSA on its Directives ... prior to or during the	The comments are procedural and demonstrate that due process was followed as well. For example, "must make a public announcement (procedure)"; here

			standard setting process!	is where you can see that it was done.
4.4 Procedures Pg 50  Pg 51  Process Pg 51	ME	“CSA Sustainable Forest Management Technical Committee “  “The 2008 version of the standard has been reaffirmed by TC ballot vote in February 2013 and remains valid for three years. “  [Assessor’s comments]	Is this document No. 11 from Pg 13 i.e. S2025? If so, identify as such or provide its identification within the CSA or PEFC Canada documentation. If not, where is it on Pg 12/13?  This presumably takes it to 2016 (CAN/CSA-Z809-16) but what of its validity beyond 2016 as now in 2018!  Are these part of the suite of documents in 1.5? First, could be S2025 – correct? Second, not sure?	Yes, this is covered by an exemption granted to PEFC Canada by PEFC.  Yes, they are part of the suite of documents.
4.4 a) Process Pg 54	ME	[Assessor’s comments – last paragraph]	Need to ensure that this is same title as one of the documents on Pg 12/13 as I can’t find it – same comment where this Assessor’s comment is utilised in further reference cells	File No.: S2025 Technical Committee on Sustainable Forest Management Terms of Reference was part of the suite of documents provided by PEFC Canada.  This document is on the list of documents on page 13.
4.4 c) Procedures Pg 57	ME	[Scheme documentation]	I believe the response to 4.4 a) would also support this requirement and may be more pertinent. No information on ‘meaningful segment’!	Report amended per POE comment.



4.5 a) Procedures Pg 61	ME	[Scheme documentation]	I don't believe it conforms. Doesn't explicitly indicate acknowledgement of receipt of complaint unless it's within the 'request copies of documents' which makes it implicit	Report amended per POE comment. Specific language from Annex A added.
5.3 Process Pg 71	ME	[Assessor's comments]	Where? No such title on a document on Pg 12/13 - same comment where this Assessor's comment is utilised in further reference cells	Which document are you referring to?  There are multiple examples of the public announcement in 5.3 Process.
5.3 d) Procedures Pg 82 Process Pg 83	ME	[Scheme documentation – CSA-SDP-1-03]  [Scheme documentation]	Implicit compliance!  There is no direct evidence in the reference material – it is implied!	Stage 4 and Stage 5 offer explicit evidence of conformance to this requirement.  There are multiple process examples of in report demonstrating conformity to this requirement.
5.4 Process Pg 89	ME	[Assessor's comments]	What of 'review the standard-setting process' – no reference. If no comments to CSA, it should be stated as such and refer to internal reviews/revisions of the Directives/Guidelines	Report amended per POE comment.
5.5 a) Process Pg 91	ME	[Assessor's comments]	Implies it would include 'working drafts' – if so, was it a standing item of all other TC meetings? This would indicate compliance	Working drafts were the core of all TC meetings.

			Second paragraph of Assessor's comments isn't pertinent in this context	Report amended per POE comment.
5.6 a) Procedures Pg 93  Process Pg 93	ME	[Scheme documentation]  <i>"The public review and comment period will run for 60 days, from 6 August to 6 October 2015."</i>	I don't believe it conforms. This only provides the length of time not indicating a start/finish date [this evidence satisfies d)]  There is a repeat of text at the second use of "Clause 8.2 Public review ..."  The dates differ from the PEFC Canada website – August 4, 2015 to October 4, 2015!	The assessor verifies the conformity to this requirement based on the preponderance of evidence in the report.  Report amended per POE comment.
5.6 b) Procedures Pg 94  Process Pg 95  Pg 96	ME	[Scheme documentation]  <i>"Disadvantages stakeholders with limited funds to attend meetings in person are provided with funding on a case by case basis."</i>  [Scheme documentation]  [Scheme documentation – three screen shots]  [Scheme documentation –	8.2.1.3 may assist here?  This is for meetings of the TC when the requirement is about the enquiry draft consultation  This deals with 2014 – the enquiry draft went out in 2015! This evidence relates to the start of the revision process and doesn't relate to this specific requirement  These don't relate to the enquiry draft consultation!  This isn't relevant to the enquiry draft consultation as in middle of the revision process!  Did the 'key stakeholders' include disadvantaged? If so, was information made available so they could	Report amended per POE comment.  Report amended per POE comment.  In the case of a mature standard like Z809, the review and revision process/enquiry stage are focused on the current standard. The current version of the Z809 standard is

		<p>paragraph under screen shots]</p> <p>[Scheme documentation – 2<sup>nd</sup> paragraph under screen shots]</p>	access it?	<p>used as the baseline working draft for the revision of the standard. Therefore, the process for the current version essentially begins at the enquiry stage, hence the 2014 initial public consultation. This is detailed in the</p> <p>“Z809 SUSTAINABLE FOREST MANAGEMENT: STANDARD SETTING PROCEDURES DOCUMENT”</p> <p>Key stakeholders include disadvantaged stakeholders.</p>
5.6 d) Process Pg 99	ME	[Scheme documentation]	Dates differ from 5.6 c) on the PEFC Canada website!	Report amended per POE comment.
5.9 c) Procedures Pg 114	ME	[Scheme documentation]	This isn't about the TC approval of the SFM standard – it is 'related to certification to a PEFC-endorsed standard'. It isn't at stage where this is applicable – it is way back in the process to get to an approved SM standard which allows for certification!	Section 5.9 is focused on TC meeting management, voting and dispute resolution.
5.11 Process	ME	[Assessor's comments]	I don't believe these comment provide	It is standard CSA

Pg 118/9			<p>conformity.</p> <p>It is about the CSA (or the committee in 3<sup>rd</sup> paragraph, 3.1) as the SDO approving the SFM standard which was approved by the TC – no evidence provided for CSA (or the committee) actions.</p> <p>Agree, the TC approved the ‘technical content’ but need to show that the CSA (or the committee) as the SDO approved the SFM standard as it came out as a Canadian national standard</p>	<p>procedure that a TC approves the draft standard. This represents CSA approval because it was done according to CSA standard setting procedures.</p> <p>This can be found in the CSA Standard Setting Procedures Document and 5.1.1 procedure above.</p>
5.12 Process Pg 119	ME	[Assessor’s comments]	‘Timely manner’ can be indicated by short period between January ’16 conference call and March ’16 publication!	Noted
6.1 Process Pg 121	ME	[Assessor’s comments – 3 <sup>rd</sup> paragraph on ‘letter of May 26, 2016’  And ‘granted on June 21, 2017’]	<p>Letter of extension dated prior to receiving request from PEFC Canada!</p> <p>Same day for both PEFC Canada and PEFC International!</p>	Report amended per POE comment.
6.3 Process Pg 122	ME	[Scheme documentation – SCC Accreditation bulletin]	This is fairly clear that it does exceed one year – would require more information on this exception if deemed to comply – make reference to 6.4 response!	Report amended per POE comment.
Part II 4.1 f) Pg 125	ME	[Scheme documentation]	I don’t believe this conforms. This is for the group entity NOT for the group participant! It must be a certificate issued by the group entity to the group	Report amended per POE comment.

			participant	
4.2.1 d) Pg 128	ME	[Scheme documentation]	Doesn't clause 7.5.1 e) also provide for compliance with 1 <sup>st</sup> dot point as it isn't fully covered by current reference!	Report amended per POE comment.
4.2.1 f) Pg 129	ME	[Scheme documentation]	Does it address their participation as well as the group's scope of certification?	The requirement is met by the evidence presented. Scope is covered elsewhere.
Part III 4.1 b) Pg 133	ME	[Scheme documentation]	This is the process of certification especially the audit – maybe the Assessor should provide an expert opinion for the outcome required in the requirement	Noted
5.1.9 Pg 142/3	ME	[Scheme documentation]	Also 6.3.5.1 General?	Report amended per POE comment.
5.1.10 Pg 143	ME	[Scheme documentation]  [Assessor's comments]	End result is achieved but no mention of relevant silvicultural measures suited to Canadian conditions  Isn't font supposed to be as per Pg 38 <u>Use of Fonts</u> ?	Several silvicultural measures are noted in the evidence.  Report amended per POE comment.
5.1.11 Pg 144	ME	[Scheme documentation]	I don't believe this conforms.  The evidence dances around the requirement and is concrete enough to fully comply	The evidence provided covers the requirement. Convert only in afforestation efforts.
5.2.1 Pg 145	ME	[Scheme documentation]	Rehabilitation isn't explicit – implicit in 7.3.5 f)	The preponderance of evidence provided adequately covers the requirement.
5.2.2 & 5.2.3	ME	[Scheme documentation]	Again, not explicit but implicit. If the forest	Noted.

Pg 146/7			management relies on outside assistance for monitoring of certain aspects, maybe it should be recognised in the FMP	
5.2.5 Pg 150	ME	[Assessor's comments]	Is this relevant here? It is referring to biological measures not chemical – best to leave at 5.2.8	Yes, better to provide related evidence to meet the requirement.
5.2.7 Pg 151	ME	PEFC requirement	There are two fonts!	Report amended per POE comment.
5.2.8 Pg 153	ME	[Scheme documentation – 6.3.1.2]  [Assessor's comments]	I don't believe this conforms. While this may assist in compliance, it is down as 'Discussion items' – it is not a requirement of the standard as it is not seeking compliance as an outcome  Also, it isn't a legislation issue  This covers pesticides but latter part of the PEFC requirement is lacking in the reference	The latter part of the requirement is defined by "preferred". Hence the discussion item is relevant to meeting the requirement.
5.2.9 Pg 154	ME	[Assessor's comments]	I don't believe this conforms. This doesn't respond to the requirement as it is general information on pesticides not specific to the WHO Type 1A & 1B	The Assessor expanded the report by including reference to the Stockholm Convention on Persistent Organic Pollutants to which Canada is signatory.  Report amended per POE comment.
5.2.10	ME	[Scheme documentation]	I don't believe this conforms. The scheme text	The Assessor expanded the report

Pg 155		[Assessor's comments]	is high level and doesn't provide assurance on the desired outcome.  But does it prohibit them – if so, need to state so specifically to avoid doubt	by including reference to the Stockholm Convention on Persistent Organic Pollutants to which Canada is signatory.  Report amended per POE comment.
5.2.11 Pg 155	ME	[Assessor's comments]	Does it cover 'proper equipment and training'? Need to respond to avoid doubt	The evidence provided meets the requirement.
5.2.12 Pg 155	ME	[Scheme documentation]	Does it address the issues in the PEFC requirement? Need to respond to avoid doubt	Report amended per POE comment.
5.3.6 Pg 160	ME	[Scheme documentation]	Sustained flow may not equal sustained yield which is the intent of the first part of the requirement – it is implicit rather than explicit  Also, no reference to 'optimum use'	The evidence provided meets the requirement. The preponderance of evidence provided, builds a strong case for conformity.
5.3.7 Pg 160/1	ME	[Assessor's comments]	This takes up on the 'responsibility' onus in the PEFC requirement – not the forest manager but government, so can be taken for compliance	Noted
5.3.8 Pg 161	ME	[Scheme documentation – Appendix A, A.6.3.3]	This only discusses infrastructure in the context of soil/water quality and quantity – nothing on planning, establishing and maintaining. A BMP isn't a	The evidence provided meets the requirement.

			<p>requirement of the standard – it is guidance material to achieve a requirement as not in normative language</p> <p>Mitigation of negative impacts is well catered for but main intent of the requirement is missed!</p>	
5.4.1 Pg 163	ME	[Scheme documentation – 6.3.1.5 Element 1.3]	Two font sizes in this text!	Report amended per POE comment.
5.4.2 Pg 164/5	ME	[Scheme documentation – 6.3.1.6 Element 1.4]  [Assessor's comments]	<p>Two font sizes in this text!</p> <p>While all text used is addressing the content of the dot points, by and large, it isn't specific on 'planning, inventory and mapping' – again, it is an implicit compliance</p> <p>This covers species – what about ecosystems!</p>	<p>Report amended per POE comment.</p> <p>Ecosystems are well covered by the evidence.</p>
5.4.5 Pg 167	ME	[Scheme documentation]	I would consider partial conformity. It is silent on the 'introduced species' – if this isn't applicable, the Assessor should provide a comment for context	Report amended per POE comment.
5.4.8 Pg 169	ME	[Scheme documentation – 6.3.1.2 Discussion items]	But this is a 'discussion' – how can it be an auditable requirement if not converted into an outcome based requirement?	The preponderance of evidence provided meets the requirement.
5.4.9 Pg 170	ME	[Scheme documentation]	It would appear that normal silvicultural regimes operate in Canada with no 'traditional management systems' – confirmation	Report amended per POE comment.



			from PEFC Canada and an Assessor's comment would be welcome	
5.4.10 Pg 171	ME	[Scheme documentation – A.6.3.1 Criterion 1]	This is a discussion – it lacks any normative action or outcome!	The discussion items provide context and support the evidence. The evidence provided meets the requirement.
5.4.11 Pg 171	ME	[Scheme documentation]  [Assessors comment]	It doesn't address 'infrastructure' <i>per se</i> – while it deals with the issues to be affected by such, it doesn't hone in on the action likely to impact on the issues  Agreed but no link to infrastructure!	Report amended per POE comment.
5.4.12 Pg 172	ME	[Scheme documentation]	Again, it doesn't get to the crux of the PEFC requirement – animals and grazing – there is no specific reference to such and impact on biodiversity	As noted, grazing issues are regulated by the Forest and Range Practices Act.  Report amended per POE comment.
5.5.1 Pg 175	ME	[Scheme documentation]	No mention of infrastructure – also, planning is implied and not explicit	Report amended per POE comment.
5.6.5 Pg 185	ME	[Assessors comment]	Acknowledged that this is the case but it still should be addressed in the standard even if public land involved – it is ensuring that it is considered within the context of the standard – verification is another matter	Noted
5.6.7	ME	[Assessors	See comment for 5.6.5	Noted

Pg 188		comment]		
5.6.8 Pg 188	ME	[Scheme documentation]	Best example of compliance with normative statements able to address the requirements	Noted
5.7.2 Pg 196	ME	[Scheme documentation]	Text in dot point a) is the same as dot point g)  Dot point i) – not relevant  Overall it doesn't address unauthorised or illegal activities – it is focussed on legal rights	Noted. Report amended per POE comment.
PART IV 1. Pg 198	ME	[Assessors comment – 'requires accreditation in accordance with PEFC Annex 6 Certification and Accreditation Procedures']	See comment on this matter in <b>General Statement on report quality</b> (applies to all other requirements where this same statement is applied)	Noted
4. Pg 201	ME	[Scheme documentation]	Not explicit for the PEFC system!	They have adopted Annex 6 and therefore conform to the requirement.
5. Pg 202	ME	[Scheme documentation]	Implicit compliance!	They have adopted Annex 6 and therefore conform to the requirement.
6. Pg 202	ME	[Scheme documentation]	This is from PEFC's Annex 6 but which section of the CSA SFM Standard or the PEFC Canada Scheme does it say this?	This can be found in the PEFC Canada Notification Contracts for SFM, Logo Use and COC.
Part V 1. Pg 213	ME	[Assessors comment]	This PEFC ST is applicable only for CoC – so how does it cover forest management for notification?	This can be found in the PEFC Canada Notification Contracts for SFM, Logo Use and COC.
3.	ME	[Assessors	There is no reference to	In the PEFC Canada

Pg 214		comment]	complaints and dispute resolution in this PEFC ST – so how does it comply with such procedures?	Complaints and Appeals Procedures document.
Annex 2 7. Pg 216	ME	<u>“No 0”</u>	Presume there was a ‘no’ to get a comment but maybe it was an ‘abstain’ with a comment?	One response left “NO” blank and next to it inserted “Perhaps” Noted in the Annex.
Annex 3	ME	“(No comments were received during the comment period)”	To avoid any doubt, would add in extra text to ensure it relates back to 1.3.2	Regarding, 1.3.3, there were no public comments received. The survey of TC members is different.