

PEFC Endorsement and Mutual Recognition of National Systems and their Revision	ATFS Application for PEFC Re-Endorsement	PEFC GD 1007:2012
Summary of Documentation Submitted for the American Tree Farm System Application for PEFC Re-endorsement		
Part I	PART I: STANDARD AND SYSTEM REQUIREMENTS CHECKLIST FOR STANDARD SETTING (PEFC ST 1001:2010)	
Part II	PART II: STANDARD AND SYSTEM REQUIREMENTS CHECKLIST FOR GROUP FOREST MANAGEMENT CERTIFICATION (INDEPENDENTLY MANAGED GROUP (IMG) (PEFC ST 1002:2010)	
Part II	PART II: STANDARD AND SYSTEM REQUIREMENTS CHECKLIST FOR <u>REGIONAL GROUP</u> FOREST MANAGEMENT CERTIFICATION (PEFC ST 1002:2010)	
Part III	Part III: STANDARD AND SYSTEM REQUIREMENTS CHECKLIST FOR SUSTAINABLE FOREST MANAGEMENT (PEFC ST 1003:2010)	
Part IV	Part IV: STANDARD AND SYSTEM REQUIREMENTS CHECKLIST FOR CERTIFICATION AND ACCREDITATION PROCEDURES (ANNEX 6)	
Part VI	Part VI: STANDARD AND SYSTEM REQUIREMENT CHECKLIST FOR SCHEME ADMINISTRATION REQUIREMENTS	
Part V: Appendices	ATFS Application Letter (September 5, 2016) Appendix 1 – American Forest Foundation (AFF) 2015-2020 Standards of Sustainability for Forest Certification Appendix 2 - Standard Setting Procedures Appendix 3 – Pre-Revision Public Comment Period Appendix 4 – Announcement of Public Comment Period 2, Themes & Important Comments, Working Drafts Appendix 5 - Independent Standards Review Panel, List of Members, Invitation to Participate, Standards Consensus	

<p>Return Form</p> <p>Appendix 6 - Dispute and Appeals Procedure</p> <p>Appendix 7 - Independent Standard Review Panel Meeting Minutes and Correspondence</p> <p>Appendix 8 -AFF Final Standards Press Release</p> <p>Appendix 9 - AFF Standards Guidance</p> <p>Appendix 10 -ATFS Independently Managed Group Requirements (IMG-01), Internal Monitoring Checklists for Group Managers and Members</p> <p>Appendix 11 –Regional Group Public Summary Reports</p> <p>Appendix 12 – Eligibility Requirements and Guidance</p> <p>Appendix 13 –Management Plan Template</p> <p>Appendix 14 - Links to State BMPs</p> <p>Appendix 15 - ANAB Accreditation Rule 27/Standards Council of Canada Accreditation</p> <p>Appendix 16 -Sampling Design for Internal Audits of Regional Groups to the AFF Standard</p> <p>Appendix 17 - Regional Group Certification Standard Operating Procedures (SOPs)</p> <p>Appendix 18 - ATFS Interpretations and Guidance</p> <p>Appendix 19 - Tree Farm Inspection Record (Form 004)</p> <p>Appendix 20 - Memorandum of Understanding with Labor Organizations</p> <p>Appendix 21 - Monthly PEFC Reports</p> <p>Appendix 22 - Independent Certification Board Certificates (Regional Groups)</p> <p>Appendix 23 - AFF Board of Directors Approval of Standards</p> <p>Appendix 24 - Tree Farm Inspectors Manual</p> <p>Appendix 25 - Family Forest Owners Survey</p> <p>Appendix 26 - 2015 SFI, Inc. Services Agreement with ATFS as PEFC US NGB and Secretary</p>

Part I: Standard and System Requirements Checklist for standard setting (PEFC ST 1001:2010)

CHECKLIST

Question	Assess. basis*	YES /NO*	Reference to application documents
Standardising Body			
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	<p>The American Forest Foundation (AFF), a 501c.3, not-for-profit, organization located at 2000 M St., NW, Suite 550, Washington, DC, USA is the sole proprietor and has sole responsibility for setting its “Standards of Sustainability for Forest Certification.” It is acknowledged that the standard setting process will be in compliance with PEFC Council’s requirements for standard setting.</p> <p>The AFF has written Standard Setting Procedures (Appendix 2) for the development and maintenance of the Standards of Sustainability for Forest Certification (2015-2020) (Appendix 1). The development of the Standards by the AFF Board of Trustees is independent of the administration of the Standard by the American Tree Farm System (ATFS).</p> <p>The certification process incorporates established standards and guidelines for Individual, Group (IMG) and Regional certifications. All properties certified under the above three certification options shall conform to the Standards of Sustainability for Forest Certification.</p> <p>The 2015-2020 Standards of Sustainability for Forest Certification were approved by the AFF’s Board and announced in a Press Release on</p>

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			November 21, 2014 (Appendix 23). The 2015-2020 Standards were developed by an Independent Standards Review Panel (ISRP) (Appendix 5) made up of experts representing academia, conservation organizations, federal and state governments, landowners, and foresters.
b) the record-keeping procedures,	Procedures	Yes	<p>The Standard Setting Procedures (Appendix 2) were approved by the AFF Board of Trustees with the Board-approved definition of consensus. The Standard Setting Procedures are publicly available from AFF at the AFF website or upon request.</p> <p>The Standards Setting Procedures section on record-keeping is contained below:</p> <p>6) Records and Documentation 6.1) All records, minutes, communications and other pertinent and tangible evidence of the Standard revision/modification process will be maintained by AFF or its agents or assignees for a period of no less than five years and not to exceed seven years.</p>
c) the procedures for balanced representation of stakeholders,	Procedures	Yes	<p>The AFF has detailed Procedures for balanced representation of stakeholders. Those Procedures are contained in the Standard Setting Procedure (Appendix 2). A listing of the ISRP members is included in Appendix 5.</p> <p>The Standard Setting Procedures section on balanced representation is contained below:</p> <p>2. Balanced Representation and Decision Making 2.1) The ISRP will have a balance of appropriate interests and be</p>

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			<p>constituted in such a manner that no single category of the interest representation can dominate decision making procedures of the group.</p> <p>2.2) Interest categories shall include, but not necessarily be limited to: academia, environmental non-government organizations (ENGOs), forest industry, forest owners, professional logging community, and public forestry agencies serving family forest owners.</p> <p>2.3) The ISRP agree to operate under the following parameters.</p> <p>2.3.1) Panel members are representing their respective organizations.</p> <p>2.3.2) Panelists are to review the current standard and determine if it adequately reflects the seven criteria set forth in the Montreal Process.</p> <p>2.3.3) Panelists are encouraged to share the document with their colleagues</p> <p>2.3.4) Any modifications to the standard shall be reached by panel consensus.</p> <p>2.3.5) Panelists are to keep in mind at all times that any proposed modifications to the standard are both adequate and appropriate for small private forest owners in the US. (Small ownerships are defined as not exceeding 20,000 contiguous acres with the panel working under the premise that the majority of forest properties certified by ATFS are less than 1000 contiguous acres.)</p>
d) the standard-setting process,	Procedures	Yes	<p>Standards Setting and Revisions process is a thorough, transparent, and well documented process. All comments received are documented to assist the AFF Board in its decision-making. In addition, to facilitating input in revising of the AFF Standards, workshops were held across the U.S. where all interested stakeholders were invited to participate.</p> <p>3. <u>Meetings, Comments and Consultation</u></p>

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			<p>3.1) All ISRP meetings will be convened under the auspices of AFF, its agents or others as assigned by AFF.</p> <p>3.2) There will be a minimum of two face-to-face meetings (beginning and ending). Conference calls and other electronic media will be used when deemed appropriate.</p> <p>3.3) The ISRP is encouraged to circulate any draft documents within its representative organization.</p> <p>3.4) Information on the standard setting process and document development is made available to interested parties upon request or through AFF’s website.</p> <p>3.5) Any presented comments or views of the ISRP members as well as their representative organization or other interested parties shall be reviewed and considered in an open and transparent manner. The comments, responses and respective modifications to the Standard shall be recorded and made available to all members of the ISRP and the Commenter's respective organization(s).</p> <p>Once the ISRP has completed its consensus building process, the Draft Standards are made available to a wide group of stakeholders and public for review and comment.</p> <p>4) Public Review and Comment</p> <p>4.1) Upon consensus of the ISRP, the Standard shall be made available for public review and comment.</p> <p>4.2) The public shall have no less than 60 days from the release of the Standard to review and respond with comments.</p> <p>4.3) All Commentors will receive an acknowledgement of receipt of comments from the ISRP</p>

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			4.4) All comments received will be made openly available to the ISRP. 4.5) The ISRP will review all comments and upon consensus, adopt any modifications from the public comments that it may find appropriate. 4.6) The comments, responses to received comments and relevant modifications shall be made available to Commentors and public upon request and are available on the AFF’s website.
e) the mechanism for reaching consensus, and	Procedures	Yes	The AFF Standards Setting Procedure states that: 2.4) The ISRP will make all decisions using a consensus based approach. 2.4.1) The definition of the term consensus is identical with definition of ISO Guide 2: <i>“Consensus: general agreement, characterized by the absence of sustained opposition to substantial issues by any important part of the concerned interests and by a process that involves seeking to take into account the views of all parties concerned and to reconcile any conflicting arguments. Note: Consensus need not imply unanimity.”</i> ISRP shall provide evidence on consensus having been reached before the formal approval of the standard. In order to reach consensus ISRP can utilise the following alternative processes to establish whether there is opposition to the standard: (a) A face-to face meeting where there is a verbal yes/no vote; (b) A face-to face meeting where there is a show of hands for a yes/no vote; (c) A face-to face meeting where there is a “secret ballot” of members on ayes/no vote; (d) A statement on consensus from the Chair at a face-to face meeting

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			<p>where there are no dissenting voices or hands (votes); (e) An e-mail meeting where a request for agreement is provided to members and the members providing written response (a proxy for a vote); or (f) A formal balloting process where votes are collated for the collective consensus decision. (See Appendix 5 for the Consensus Ballot Return Form)</p> <p>No single concerned interest shall be allowed to dominate the process. In any case of sustained opposition of any important part of the concerned interests to a substantive issue, the issue shall be resolved using the following mechanism: (a) Discussion and negotiation on the disputed issue within ISRP in order to find a compromise, (b) Direct negotiation between the ISRP member submitting the objection and member(s) with different view on the disputed issue in order to find a compromise, (c) Dispute resolution process.</p> <p>The dispute resolution process is governed by AFF Dispute and Appeals Procedures (Appendix 6).</p> <p>2.5) Upon completion and consensus of the ISRP, the recommended standard revisions/modifications will be presented to the AFF Board for approval and adoption. 2.6) The AFF Board has the discretion to accept and adopt none; any or all of the ISRP recommended Standard revisions/modifications. Should the AFF Board not accept the Standard as presented by the ISRP, it will</p>

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			<p>return the Standard to the ISRP for further work. All material resubmitted to the AFF Board by the ISRP will have been reached through consensus.</p> <p>2.7) Upon presentation of the Standard from the ISRP, AFF will have the option of pilot testing any revisions or modifications to the Standard. Pilot testing will be used to ensure that the modification or revision is auditable, efficient and implementable.</p> <p>2.8) Upon acceptance and adoption of the Standard by the AFF Board, AFF will make the Standard publicly available.</p>
f) revision of standards/normative documents.	Procedures	Yes	AFF has a formal Standard Setting Procedures for revising the Standards (Appendix 2). See also 4.1 d for the Procedures for revision of the Standards.
4.2 The standardising body shall make its standard-setting procedures publicly available and shall regularly review its standard-setting procedures including consideration of comments from stakeholders.	Procedures	Yes	<p>AFF has a publicly available Procedure for regularly reviewing its Standard and Standard setting process. See the Standards Setting Procedure (Appendix 2). The Standards Setting Procedures are available on the AFF Website: (http://www.treefarmssystem.org/documents).</p> <p>5) Maintenance Of The Standard and Interim Modifications</p> <p>5.1) The AFF Board will charge the American Tree Farm System’s Woodlands Committee to seat a National Standards Interpretation Committee (NSIC). The NSIC is charged with making interpretations of the Standard, as needed, which will be considered enforceable until the ISRP is again seated. Decisions rendered by the NSIC will be achieved through consensus. (Appendix 2)</p> <p>5.2) All interpretations rendered by the NSIC will be made publicly available</p>

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			and all appropriate accredited certification bodies will be notified of the interpretations.
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.	Process	Yes	The Standards Setting Procedures are available on the AFF Website (http://www.treefarmssystem.org/documents). The process is outlined in the ISRP Meeting Minutes from six Panel meetings (Appendix 7)
	Procedures	Yes	<p>The AFF keeps records of its Standard setting processes and have files of two most recent processes in file. A formal notice was published announcing the solicitation of comments on the AFF Standards. (Appendix 3, 4,5)</p> <p>The requirements for maintaining records is contained below:</p> <p>6) Records and Documentation</p> <p>6.1)All records, minutes, communications and other pertinent and tangible evidence of the Standard revision/modification process will be maintained by AFF or its agents or assignees for a period of no less than five years and not to exceed seven years.</p>
	Process	Yes	<p>The AFF process for standard setting included notification of the acceptance of comments on the previous Standards of Sustainability for Forest Certification on Private Lands (2015-2020). (See Appendix 3)</p> <p>Commenting Procedures: Please use the following form to comment on the 2015-2020 Standards.</p> <p>Records of the public involvement process include the Announcement of the Public Comment Period 2. Important Themes and Comments received</p>

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			from Public Comment Period 2 were also recorded and maintain (See Appendix 4, 5).
4.4 The standardising body shall establish a permanent or temporary working group/committee responsible for standard-setting activities.	Procedures	Yes	Per the Standards Setting Procedures (Appendix 2), the AFF’s 2015–2020 Standards of Sustainability for Forest Certification (Standards) were developed by the Independent Standards Review Panel (ISRP) that operates independently of the certification and accreditation process. The temporary ISRP was established by the AFF Board of Trustees for standard-setting activities.
	Process	Yes	The AFF Board established the ISRP, according to the Standards Setting Procedures (Appendix 2) (see Appendix 4). The ISRP included representatives from academia, environmental non-profits, state forestry agencies, national natural resource agencies, forest industry, loggers, labor, landowners, landowner associations, and customer interests (Appendix 5). The ISRP membership is also outlined in an email notice announcing that the AFF formed a Standards Review Panel and a 60-day Pre-Revision Comment Period and a listing of Panel Members (Appendix 3).
4.4 The working group/committee shall:			
a) be accessible to materially and directly affected stakeholders,	Procedures	Yes	The ISRP has representation from the major categories of stakeholders in the U.S. See above (4.4)
	Process	Yes	(See above 4.4)
b) have balanced representation and decision-making by stakeholder categories relevant to the subject matter	Procedures	Yes	The ISRP has representatives from all regions of the U.S. See above (4.4) The ISRP included representatives from academia, environmental non-

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and geographical scope of the standard where single concerned interests shall not dominate nor be dominated in the process, and			profits, state forestry agencies, national natural resource agencies, forest industry, loggers, labor, landowners, landowner associations, and customer interests (Appendix 5).
	Process	Yes	(See above 4.4)
c) include stakeholders with expertise relevant to the subject matter of the standard, those that are materially affected by the standard, and those that can influence the implementation of the standard. The materially affected stakeholders shall represent a meaningful segment of the participants.	Procedures	Yes	The ISRP has representatives with expertise in forestry and natural resources, they are materially affected by the Standard and are involved in implementing the Standards. See above (4.4)
	Process	Yes	(See above 4.4)
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.	Procedures	Yes	The Standard Setting Procedures contains a Section addressing disputes and appeals (Appendix 2,6). The section of the Procedures is contained below: 8) <u>Dispute Resolution and Appeals Processes</u> 8.1)All complaints, disputes or appeals relating to AFF Standard Setting can be submitted and shall be resolved according to AFF <i>Disputes and Appeals Procedures</i> .
	Process	Yes	A Consensus Ballot Return Form was signed, dated and returned by the members of the ISRP (Appendix 5). No formal complaints or appeals were received from stakeholders during the Standards revision process.
4.5 Upon receipt of the complaint, the standard-setting Body shall:			

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<p>a) acknowledge receipt of the complaint to the complainant,</p>	<p>Procedures</p>	<p>Yes</p>	<p>The dispute resolution process is governed by AFF Dispute and Appeals Procedures (Appendix 6).</p> <p>1. OBJECTIVE The objective of this guideline is to describe the responsibilities and actions of the AFF in relation to the investigation and resolution of complaints and appeals. AFF regards all complaints and appeals as opportunities for continuous improvement and implement corrective and preventive measures. AFF is committed to monitoring and achieving continual improvement in all areas of its activities and those of its members.</p> <p>2. SCOPE This guideline details procedures for complaints and appeals to AFF which concern decisions and/or activities of the Center for Family Forestry (CFF) state committees, Independent Standard Review Panel (ISRP) and the National Standard Interpretation Committee (NSIC) and other programs which cannot be dealt with by accreditation or certification bodies. Complaints and appeals relating to the decisions and activities of a certified entity; an accredited certification body or an accreditation body shall be dealt with by the complaints and appeals procedures of the relevant accredited certification body; accreditation body; or by the International Accreditation Forum (www.iaf.nu).</p> <p>(See above 4.5) The sections of the Procedure are contained below:</p> <p>2.5) Upon completion and consensus of the ISRP, the recommended standard revisions/modifications will be presented to the AFF Board for approval and adoption.</p>

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			2.6) The AFF Board has the discretion to accept and adopt none; any or all of the ISRP recommended Standard revisions/modifications. Should the AFF Board not accept the Standard as presented by the ISRP, it will return the Standard to the ISRP for further work. All material resubmitted to the AFF Board by the ISRP will have been reached through consensus. 2.7) Upon presentation of the Standard from the ISRP, AFF will have the option of pilot testing any revisions or modifications to the Standard. Pilot testing will be used to ensure that the modification or revision is auditable, efficient and implementable. 2.8) Upon acceptance and adoption of the Standard by the AFF Board, AFF will make the Standard publicly available.
	Process	Yes	The AFF has a formal Disputes and Appeals Procedure. The Objective and Scope are included below. A copy of the Procedure is contained in Appendix 6. No formal complaints have been received.
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	(See the AFF Dispute & Appeals Procedure in Appendix 6).
	Process	Yes	No formal complaints have been received.
c) formally communicate the decision on the complaint and of the complaint handling process to the complainant.	Procedures	Yes	(See the AFF Dispute & Appeals Procedure in Appendix 6).
	Process	Yes	No formal complaints have been received.
4.6 The standardising body shall establish at least one contact point for enquiries and complaints relating to its	Procedures	Yes	The Procedure identified the "President" as the contact point for overseeing the dispute and complaints procedure.

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standard-setting activities. The contact point shall be made easily available.			(See the AFF Dispute & Appeals Procedure in Appendix 6, Section 6).
Standard-setting process			
5.1 The standardising body shall identify stakeholders relevant to the objectives and scope of the standard-setting work.	Procedures	Yes	<p>The AFF has a formal Procedure for identify stakeholders and those that are requested to serve on the Independent Standard Review Panel.</p> <p>The AFF Standards Setting Procedures require that the ISRP have a balance of appropriate interests and be constituted in such a manner that no single category of the interest representation can dominate decision making procedures of the group (Appendix 2).</p> <p>Standard Setting Procedures</p> <p>2.1) The ISRP will have a balance of appropriate interests and be constituted in such a manner that no single category of the interest representation can dominate decision making procedures of the group.</p> <p>2.2) Interest categories shall include, but not necessarily be limited to: academia, environmental non government organizations (ENGOS), forest industry, forest owners, professional logging community, and public forestry agencies serving family forest owners.</p> <p>(A listing of the representatives on the Independent Standards Review Panel is contained in Appendix 5).</p>
	Process	Yes	Each ISRP member received a formal invitation to participate in the Standards review and outline of timeline and expectation (Appendix 5).

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<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.</p>	Procedures		<p>The AFF Board identified family forest owners, loggers and environmental organizations are key stakeholders in the Standards revision process. Those stakeholders are generally self-employed and are encouraged to participate, even though they may not have the resources or time to fully participate in the Standards process.</p> <p>(See above 4.1.c)</p>
	Process		<p>AFF Staff discussed mechanisms to involve disadvantaged stakeholders with the Certification Committee. The Committee and staff focused on ways to attract such stakeholders. The Meeting Minutes are contained in Appendix 4.</p> <p>Meetings were scheduled and communicated via multiple modes well in advance and participants were encouraged to participate by phone/conference call/webinar/in-person so as to facilitate participation and contribution to standard-setting activities (See above 4.1.c)</p>
<p>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.</p>	Procedures	Yes	<p>The Standards Setting Procedures requires public notification at the start of the Standards-setting process and invite stakeholder involvement. The specific sections of the Standard Setting Procedure are contained below:</p> <p>1.4) The Board will publicly announce through various mediums the convening of the ISRP and the start of the Standard revision process.</p> <p>1.5) Following its constitution, ISRP members will be publicly announced.</p> <p>4.5) Upon consensus of the ISRP, the Standard shall be made available for</p>

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			public review and comment. 4.6) The public shall have no less than 60 days from the release of the Standard to review and respond with comments.
	Process	Yes	Interested stakeholders were alerted to the availability of the public comment periods during the standards development process. Press releases were sent to a broad range of stakeholders (Appendix 3 & 4).
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	The Standards Setting Procedure (Appendix 2) contains the following procedure: 1.4) The Board will publicly announce through various mediums the convening of the ISRP and the start of the Standard revision process. 4.1) Upon consensus of the ISRP, the Standard shall be made available for public review and comment.
	Process	Yes	The AFF issued notices of Public Comment Periods throughout the Standards revision process. A timeline for the process was published, at its inception, on the ATFS website and was retained throughout (and after) the standard-setting process. (Those notices are contained in Appendices 3, 4 and 5 and are retained on AFF's website.)
b) information about opportunities for stakeholders to participate in the process,	Procedures	Yes	The Standards Setting Procedure (Appendix 2) contains the following procedure: 4.2) The public shall have no less than 60 days from the release of the Standard to review and respond with comments.

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			4.3) All Commentors will receive an acknowledgement of receipt of comments from the ISRP 4.4) All comments received will be made openly available to the ISRP. 4.5) The ISRP will review all comments and upon consensus, adopt any modifications from the public comments that it may find appropriate. 4.6) The comments, responses to received comments and relevant modifications shall be made available to Commentors and public upon request of from AFF’s website.
	Process	Yes	The AFF issued notices of Public Comment Periods throughout the Standards revision process. A timeline for the process was published, at its inception, on the ATFS website and was retained throughout (and after) the standard-setting process. (Those notices are contained in Appendices 3, 4 and 5).
(c) an invitation to stakeholders to nominate their representative(s) to the working group/committee. The invitation to disadvantaged and key stakeholders shall be made in a manner that ensures that the information reaches intended recipients and in a format that is understandable,	Procedures		The Standards Setting Procedure (Appendix 2) contains the following procedure: 1.2) The Board will invite a representative cross-section of forestry community leaders with a stake in AFF’s Tree Farm Program, or a sincere interest in forest sustainability on small private forest ownerships in the US to participate on the ISRP. The Board will have the discretion to limit the ISRP to a size respective of AFF’s financial and staffing resources.
	Process		Each ISRP Member was forwarded a formal letter of invitation to participate (Appendix 5). Panel Member also signed a Ballot Return Form (10/1/2014) to confirm

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			their consensus on the final revised AFF Standards (Appendix 5).
d) an invitation to comment on the scope and the standard-setting process, and	Procedures	Yes	<p>The AFF Standards Setting Procedure (Section 1.2) states that the Board will invite representatives of a cross-section of the forestry community (Appendix 2).</p> <p>2.3) The ISRP agree to operate under the following parameters.</p> <p>2.3.1) Panel members are representing their respective organizations.</p> <p>2.3.2) Panelists are to review the current standard and determine if it adequately reflects the seven criteria set forth in the Montreal Process.</p> <p>2.3.3) Panelists are encouraged to share the document with their colleagues</p> <p>3.3.4) Any modifications to the standard shall be reached by panel consensus.</p>
	Process	Yes	The AFF issued notices of Public Comment Periods throughout the Standards revision process. These included references and links to the scope and timeline of the process, which remains available on the ATFS website. (Those notices are contained in Appendices 3, 4 and 5),
e) reference to publicly available standard-setting procedures.	Procedures	Yes	The AFF Standard Setting Procedures are available on the AFF website (www.forestfoundation.org) and are contained in Appendix 2.
	Process	Yes	The AFF issued notices of Public Comment Periods, linking to the AFF Standard Setting Procedures, throughout the Standards revision process. (Those notices are contained in Appendices 3, 4 and 5)

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<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>	Procedures	Yes	<p>The Standards Setting Procedures contain the procedures for the Standards process (Appendix 2). The Section of the Procedures is contained below:</p> <p>The AFF has a formal Procedure for identify stakeholders and those that are requested to serve on the Independent Standard Review Panel. The Standards Setting Procedures requires public notification at the start of the Standards-setting process and invite stakeholder involvement. The specific sections of the Standard Setting Procedure are contained below:</p> <p>1.4) The Board will publicly announce through various mediums the convening of the ISRP and the start of the Standard revision process.</p> <p>1.5) Following its constitution, ISRP members will be publicly announced.</p> <p>Standard Setting Procedures</p> <p>2.1) The ISRP will have a balance of appropriate interests and be constituted in such a manner that no single category of the interest representation can dominate decision making procedures of the group.</p> <p>2.2) Interest categories shall include, but not necessarily be limited to: academia, environmental non government organizations (ENGOS), forest industry, forest owners, professional logging community, and public forestry agencies serving family forest owners.</p> <p>(A listing of the representatives on the Independent Standards Review Panel is contained in Appendix 5).</p>
	Process	Yes	<p>The AFF Board of Trustees reviewed the Standard Setting Procedures and established the ISRP, according to the procedures (Appendix 2). AFF issued an advance public notice of the convening of the ISRP, including</p>

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			requirements for balanced representation of the working group/committee and resources available for the standard-setting. (Appendix 3)
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	The Standard Setting Procedures contain provision for developing working drafts and making them available. (See above 5.4) The Section of the Procedure is contained below: <u>7) Openness, Transparency and Public Availability</u> 7.1) All records, minutes, communications and other pertinent and tangible evidence of the process will be made available to the public at its request for a period of no less than five years and no more than seven years.
	Process	Yes	See above (5.4) Meeting Minutes from Standards Review Panel Meeting are available in Appendix 7). Working Drafts were communicated via email to the ISRP (Appendix 4). More information on the ISRP is available on the ATFS website: https://www.treefarmssystem.org/search/index.php?findtext=ISRP
b) all members of the working group shall be provided with meaningful opportunities to contribute to the development or revision of the standard and submit comments to the working drafts, and	Procedures	Yes	(See above 5.4)
	Process	Yes	(See above 5.4) Meeting Minutes from Standards Review Panel Meetings are available in Appendix 7).

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c) comments and views submitted by any member of the working group/committee shall be considered in an open and transparent way and their resolution and proposed changes shall be recorded.	Procedures	Yes	(See above 5.4)
	Process	Yes	(See above 5.4) Meeting Minutes from Standards Review Panel Meetings are available in Appendix 7).
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 consultation is announced in a timely manner in suitable media,	Procedures	Yes	<p>(See the Standard Setting Procedures Appendix 2).</p> <p>1.4) The Board will publicly announce through various mediums the convening of the ISRP and the start of the Standard revision process.</p> <p>1.5) Following its constitution, ISRP members will be publicly announced.</p> <p>4.1) Upon consensus of the ISRP, the Standard shall be made available for public review and comment.</p> <p>4.2) The public shall have no less than 60 days from the release of the Standard to review and respond with comments.</p> <p>4.3) All Commentors will receive an acknowledgement of receipt of comments from the ISRP</p> <p>4.4) All comments received will be made openly available to the ISRP.</p> <p>4.5) The ISRP will review all comments and upon consensus, adopt any modifications from the public comments that it may find appropriate.</p> <p>4.6) The comments, responses to received comments and relevant modifications shall be made available to Commentors and public upon request of from AFF's website.</p>

Question	Assess. basis*	YES /NO*	Reference to application documents
	Process	Yes	<p>The beginning of the standards setting process was communicated to the public through the AFF website (please refer to www.forestfoundation.org) and by a widely distributed press release and ATFS/AFF network communications (See Appendices 3 & 4).</p> <p>The completion of the standards setting process was communicated to the public via an ATFS Press Release (See Appendix 8)</p>
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	See above Standard Setting Procedures (See Appendix 2)
	Process	Yes	The final standards are available to the public on the AFF and ATFS websites (please refer to www.forestfoundation.org and www.treefarmssystem.org (http://www.treefarmssystem.org/cms/pages/26_130.html))
c) the enquiry draft is publicly available and accessible,	Procedures	Yes	(See above 5.6,a)
	Process	Yes	(See above 5.6,a)
d) the public consultation is for at least 60 days,	Procedures	Yes	<p>(See above Standard Setting Procedures in Appendix 2).</p> <p>4.2) The public shall have no less than 60 days from the release of the Standard to review and respond with comments.</p>
	Process	Yes	The draft Standards underwent two public comment periods as part of the standards development process. All information about the public comment periods went out to a wide distribution list through email and was posted on the AFF website (Please refer to www.forestfoundation.org). Each public comment period lasted 60 days. (See Appendices 3, 4, 5)

Question	Assess. basis*	YES /NO*	Reference to application documents
<p>e) all comments received are considered by the working group/committee in an objective manner,</p>	<p>Procedures</p>	<p>Yes</p>	<p>The Standard Setting Procedures (Appendix 2) charges the ISRP to review stakeholder comments. The Section of the Procedures is contained below:</p> <p>4.3) All Commentors will receive an acknowledgement of receipt of comments from the ISRP</p> <p>4.4) All comments received will be made openly available to the ISRP.</p> <p>4.5 The ISRP will review all comments and upon consensus, adopt any modifications from the public comments that it may find appropriate.</p> <p>4.6 The comments, responses to received comments and relevant modifications shall be made available to Commentors and public upon request of from AFF’s website.</p>
	<p>Process</p>	<p>Yes</p>	<p>The first comment period accepted comments to help guide the Panel’s discussions and revisions. AFF received unique sets of comments, which were made available, in full, to the working group. AFF Staff compiled comments and presented key issues and themes to the ISRP participants during the meetings (See Appendix 7).</p> <p>Public comments were received from the following stakeholder groups: forest landowners, forest industry, state natural resource agencies, federal natural resource agencies, environmental non-profits, consulting foresters, forestry associations, forest product consumers, and forestry education organizations. Information on the ISRP’s discussion of both public comment periods is available in the meeting minutes (Appendix 7) and was made available to the public via the AFF website, www.forestfoundation.org.</p>

Question	Assess. basis*	YES /NO*	Reference to application documents
(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	See above Standard Setting Procedures (Appendix 2).
	Process	Yes	Summaries and themes of comments received were published on the AFF website. The Panel's meeting minutes are available in Appendix 7 and on the AFF website. https://www.treefarmssystem.org/search/index.php?findtext=ISRP
5.7 The standardising body shall organise pilot testing of the new standards and the results of the pilot testing shall be considered by the working group/committee.	Procedures	Yes	The Standards Setting Procedures contain a provision for optional Pilot Testing (Appendix 2). The Section of the Procedures is contained below: Standard Setting Procedures 2.7) Upon presentation of the Standard from the ISRP, AFF will have the option of pilot testing any revisions or modifications to the Standard. Pilot testing will be used to ensure that the modification or revision is auditable, efficient and implementable. 2.8) Upon acceptance and adoption of the Standard by the AFF Board, AFF will make the Standard publicly available.
	Process	Yes	The 2015-2020 Standards are revisions of previous Standards (AFF 2010 – 2015/2004 – 2008 Standards), and as such, experience gained from the application of the previous Standards substituted for pilot testing. It is important to note that the AFF Standards have been reviewed and approved by PEFC on two previous occasions.
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.	Procedures	Yes	The Standards Setting Procedures contain a provision for formal approval by the ISRP (Appendix 2). The Section of the Procedures is contained below: (e) An e-mail meeting where a request for agreement is provided to members and the members providing written response (a proxy for a vote);

Question	Assess. basis*	YES /NO*	Reference to application documents
			or (f) A formal balloting process where votes are collated for the collective consensus decision. (See above 4.1.e; 5.7)
	Process	Yes	Copies of each of the formal Ballot Return Forms are contained in Appendix 5. (See above 4.1.e; 5.7)
5.8 In order to reach a consensus the working group/committee can utilise the following alternative processes to establish whether there is opposition:			
a) a face-to face meeting where there is a verbal yes/no vote, show of hands for a yes/no vote; a statement on consensus from the Chair where there are no dissenting voices or hands (votes); a formal balloting process, etc.,	Procedures	Yes	The AFF Standard Setting Process includes: 2.4.1) ...In order to reach consensus ISRP can utilize the following alternative processes to establish whether there is opposition to the standard: (a) A face-to face meeting where there is a verbal yes/no vote; (b) A face-to face meeting where there is a show of hands for a yes/no vote; (c) A face-to face meeting where there is a “secret ballot” of members on ayes/no vote; (d) A statement on consensus from the Chair at a face-to face meeting where there are no dissenting voices or hands (votes); (e) An e-mail meeting where a request for agreement is provided to members and the members providing written response (a proxy for a vote); or (f) A formal balloting process where votes are collated for the collective consensus decision.

Question	Assess. basis*	YES /NO*	Reference to application documents
			No single concerned interest shall be allowed to dominate the process.
	Process	Yes	<p>AFF held face to face meetings with the ISRP and those meetings were guided by the Standard Setting Procedures (Appendix 2) and were documented in the Meeting Minutes (Appendix 7). Formal ballots were used to document consensus approval of the final Standards (Appendix 5).</p> <p>The process for documenting consensus was described at the final meeting of the Panel. Consensus was also determined along the way through voice votes as recorded in the meeting minutes (Appendix 7).</p> <p>The AFF Standards Setting procedures include reference to the AFF Disputes and Appeals Procedures should any of the Panel participants or other interested parties submitted an appeal for impartial handling of any substantive and procedural complaints. The AFF Disputes and Appeals Procedures are posted on the AFF website and contained in Appendix 6 of this application. No formal disputes or appeals were received. (Refer to www.forestfoundation.org).</p>
b) a telephone conference meeting where there is a verbal yes/no vote,	Procedures	Yes	(See above 5.8,a)
	Process	Yes	(See above 5.8,a)
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	(See above 5.8,a)
	Process	Yes	(See above 5.8,a)

Question	Assess. basis*	YES /NO*	Reference to application documents
d) combinations thereof.	Procedures	Yes	(See above 5.8,a)
	Process	Yes	(See above 5.8,a)
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):			
a) discussion and negotiation on the disputed issue within the working group/committee in order to find a compromise,	Procedures	Yes	In any case of sustained opposition of any important part of the concerned interests to a substantive issue, the issue shall be resolved using the following mechanism: (a) Discussion and negotiation on the disputed issue within ISRP in order to find a compromise, (b) Direct negotiation between the ISRP member submitting the objection and member(s) with different view on the disputed issue in order to find a compromise, (c) Dispute resolution process.
	Process	Yes	Refer to the ISRP Meeting Minutes (Appendix 7). There were no formal disputes or appeals. Records of all meetings are publicly available on the ATFS website: https://www.treefarmssystem.org/search/index.php?findtext=ISRP
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	(See above 5.9)
	Process	Yes	(See above 5.9)

Question	Assess. basis*	YES /NO*	Reference to application documents
c) dispute resolution process.	Procedures	Yes	The AFF Standard Setting Procedure is contained below: Standard Setting Procedures 8.1) All complaints, disputes or appeals relating to AFF Standard Setting can be submitted and shall be resolved according to AFF Disputes and Appeals Procedures.
	Process	Yes	No complaints were received from the ISRP.
5.10 Documentation on the implementation of the standard-setting process shall be made publicly available.	Procedures		The AFF Standard Setting Procedure is contained below: Standard Setting Procedures 2.8) Upon acceptance and adoption of the Standard by the AFF Board, AFF will make the Standard publicly available.
	Process	Yes	Documentation of the standards-setting process are available in the Notices for Public Comment (Appendices 3 & 4), involvement of the ISRP (Appendix 5), Meeting Minutes of the ISRP meetings (Appendix 7) and the Final Standard Press Release (Appendix 8).
5.11 The standardising body shall formally approve the standards/normative documents based on evidence of consensus reached by the working group/committee.	Procedures	Yes	The AFF Standard Setting Procedure is contained below: Standard Setting Procedures 2.5) Upon completion and consensus of the ISRP, the recommended standard revisions/modifications will be presented to the AFF Board for approval and adoption. 2.6) The AFF Board has the discretion to accept and adopt none; any or all of the ISRP recommended Standard revisions/modifications. Should the AFF Board not accept the Standard as presented by the ISRP, it will return the Standard to the ISRP for further work. All material resubmitted to the AFF

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p>Board by the ISRP will have been reached through consensus.</p> <p>Upon acceptance and adoption of the Standard by the AFF Board, AFF will make the Standard publicly available.</p> <p>The AFF Standards are available on the AFF website: (www.forestfoundation.org).</p>
	Process	Yes	<p>Formal ballots were used to document consensus approval of the final Standards (Appendix 5).</p> <p>The Minutes of the AFF Board Meeting where the AFF Standards were approved are contained in Appendix 23.</p>
5.12 The formally approved standards/normative documents shall be published in a timely manner and made publicly available.	Procedures	Yes	(See above 5.11) The Procedure is contained in the Standard Setting Procedures (Appendix 1)
	Process	Yes	The Process for publishing the Standard and making it available to the public is contained in the ATFS Press Release (Appendix 8)
Revisions of standards/normative documents			
6.1 The standards/normative documents shall be reviewed and revised at intervals that do not exceed a five-year period. The procedures for the revision of the standards/normative documents shall follow those set out in chapter 5.	Process	Yes	The AFF implements a 5 year review for the AFF 2015-2020 forest certification standard. Additional Standards Guidance was developed at the direction of the AFF Board of Trustees. It was developed by the 2008-2009 Independent Standards Review Panel and updated on January 1, 2015 under the process described by the AFF Standards Setting Procedures. Such Guidance documents for implementation and interpretation are used to

Question	Assess. basis*	YES /NO*	Reference to application documents
			clarify requirements of the Standards. (See Appendix 9).
6.2 The revision shall define the application date and transition date of the revised standards/normative documents.	Process	Yes	The Standards Review Process was initiated in 2014 and completed in 2015, five years after the transition to the 2010-2015 AFF Standards. (See Appendix 4 for the Standard revision notice.)
6.3 The application date shall not exceed a period of one year from the publication of the standard. This is needed for the endorsement of the revised standards/normative documents, introducing the changes, information dissemination and training.	Process	Yes	The AFF Board of Trustees ratified the 2015-2020 Standards and they took effect on January 1, 2015. Landowners and Group Organizations have one year to bring their programs into conformance with the new requirements. (See ATFS-IMG-01, Appendix 9,10)
6.4 The transition date shall not exceed a period of one year except in justified exceptional circumstances where the implementation of the revised standards/normative documents requires a longer period.	Process	Yes	<p>The AFF Board of Trustees ratified the Standard and it took effect on January 1, 2015. Landowners and Group Organizations will have one year to bring their programs into conformance with the new requirements. (See ATFS-IMG-01, Appendix 9, 10)</p> <p>The November 21, 2015 ATFS Press Release of the adoption of the Standards communicated that "the new Standards take effect on January 1, 2015 and landowners will have one year to make sure their woodlands meet the new Standards." (Appendix 8)</p>

PART II: Standard and System requirements checklist for Group* (IMG) FOREST MANAGEMENT CERTIFICATION (pefc st 1002:2010)

(NOTE*: THIS SECTION ADDRESSES THE ATFS INDEPENDENTLY MANAGED GROUP (IMG) PROGRAM)

CHECKLIST

Question	YES / NO*	Reference to scheme documentation
General		
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	<p>ATFS IMG Certification Requirements ATFS Group Certification Standard The ATFS Group Certification Requirements (2015-2020) contains the requirements for the implementation by, and independent certification of, Independently Managed Group (IMG) Organizations that manage a number of Group Member properties under one centrally administered program. The Group Organization holds the single certificate on behalf of the Group Members. [...] (See Appendix 10)</p> <p>Generally, the Group Organization administers the overall functions of the Group and coordinates certain activities, such as:</p> <ul style="list-style-type: none"> • ensuring conformance to the AFF Standards, • administering entry to and departure, • maintaining records and reporting, • conducting ongoing monitoring, • managing the group certification process.
b) the group entity,	Yes	Section 1. Group Organization Administration

Question	YES / NO*	Reference to scheme documentation
		<p>1.1 Legal and General Requirements</p> <p>a. The Group Organization <i>shall</i> be a legal entity competent to sign agreements with Group Members and to enter into binding contracts with Certification Bodies and other outside entities.</p> <p>b. The Group Organization <i>shall</i> identify Group Members' category.</p> <p>I. The Group Organization <i>shall</i> document the group member category (see above section on Group Member types).</p> <p>II. The Group Organization <i>shall</i> describe roles and responsibilities of the Group Manager and Group Members with respect to forest management decisions and actions with respect to the implementation of the AFF Standards (e.g. plan development, harvesting, monitoring, etc.)</p> <p>III. The Group Organization <i>shall</i> have a written commitment to sustainable forestry and conformance to the AFF Standards.</p> <p>1.2 Roles & Responsibilities</p> <p>a. The Group Organization <i>shall</i> adhere to ATFS eligibility requirements and may further define membership parameters for their Group, if desired.</p> <p>b. The Group Organization <i>shall</i> designate a Group Manager(s) that is responsible for overseeing all of the administrative details of ATFS Group Certification and for ensuring compliance with all applicable requirements. (See Appendix 10)</p>
c) the participant,	Yes	<p>Landowner requirements for ATFS are described in detail in the ATFS Eligibility Requirements and Guidance (Appendix 12).</p> <ol style="list-style-type: none"> 1. Ownership shall be privately held and not publicly traded 2. Ownership may be a public entity such as municipalities, schools, public and private universities and watersheds. 3. Properties owned by state government organizations shall undergo third-party certification assessments. Properties may not be enrolled through a state Tree Farm

Question	YES / NO*	Reference to scheme documentation
		<p>committee. Properties may be enrolled through an Independently Managed Group (IMG) program or the state may obtain an individual third-party certificate.</p> <p>4. Properties shall be non-industrial but may be associated with small local business.</p> <p>5. Owner shall clearly exhibit commitment to sustainable management through management objectives or management plan</p> <p>6. Owner(s) demonstrates proactive forest management involvement</p> <p>7. Ownership goals and objectives reinforce the ATFS mission</p> <p>8. Owner(s) is engaged in active outreach efforts or can contribute to the effort</p> <p>1.3 Group Membership</p> <p>a. The Group Organization <i>shall</i> inform Group Members of any and all fees associated with administration of the Group, if any, when they join the group organization.</p> <p>b. The Group Organization <i>shall</i> hold the ATFS Certificate on behalf of the Group Members</p> <p>c. The Group Organization <i>shall</i> follow the ATFS logo use guidelines and ensure proper use of promotional claims about the Group Certification.</p> <p>d. The Group Organization <i>shall</i> have a document issued to each Group Member that confirms the Group Member participation and coverage by the scope of the third-party certificate.</p> <p>(See above 4.1,a and Appendix 12)</p>
d) the certified area,	Yes	<p>Independently Managed Group (IMG) and Aggregated Management Group (AMG) programs may enroll properties from 10 to 20,000 contiguous acres.</p> <p>Group managers are required to report membership and certified area at least once annually. (See Appendices 10 and 12)</p>
e) the group forest certificate, and	Yes	<p>1.4 Group Member Entry & Departure from the Group Organization</p> <p>a. The Group Organization <i>shall</i> ensure that Group Members are notified that they are</p>

Question	YES / NO*	Reference to scheme documentation
		<p>subject to all of the requirements and privileges of membership in the ATFS. Under this requirement, category 1 Group Members shall be notified ATFS IMG Certification Requirements ATFS-IMG-01 to the individual landowner level and category 2 Group Members <i>shall</i> be notified to the portfolio level.</p> <p>Samples of Group Certificates can be downloaded from the ATFS Website: (http://www.treefarmssystem.org/documents)</p>
<p>f) the document confirming participation in group forest certification.</p>	<p>Yes</p>	<p>Group Member Entry & Departure from the Group Organization</p> <p>a. The Group Organization <i>shall</i> ensure that Group Members are notified that they are subject to all of the requirements and privileges of membership in the ATFS. Under this requirement, category 1 Group Members shall be notified ATFS IMG Certification Requirements ATFS-IMG-01 to the individual landowner level and category 2 Group Members <i>shall</i> be notified to the portfolio level.</p> <p>b. The Group Organization <i>shall</i> define and administer a procedure for admitting Group Members.</p> <p>c. The Group Organization <i>shall</i> maintain a procedure for expelling Group Members if they do not meet the requirements of the AFF Standard, and are not willing or able to take appropriate corrective action.</p> <p>d. The Group Organization <i>shall</i> maintain and update the membership list and ATFS database to reflect entries and departures of Group Members from the Group Organization. (See Appendix 10)</p> <p>American Tree Farm System (ATFS) eligibility requirements were developed to ensure that ATFS certification remains consistent with the mission of outreach to small private landowners, and to positively affect the management of their lands. (See Appendix 12)</p>

Question	YES / NO*	Reference to scheme documentation
4.1.2 In cases where a forest certification scheme allows an individual Landowner to be covered by additional group or individual forest management certifications, the scheme shall ensure that non-conformity by the Landowner identified under one forest management certification scheme is addressed in any other forest management certification scheme that covers the forest owner.	Yes	<p>The ATFS keeps records of certified landowners as part of an overall database. An individual family Landowner can only be listed once and their certified acres are not double counted in the overall acreage reports.</p> <p>Maintaining Records of Group Member</p> <p>a. The Group Organization <i>shall</i> maintain internal Group Member records and provide updated information on a regular basis to the ATFS Database.</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.	Yes	<p>Section 3. Internal Monitoring and Reporting</p> <p>3.1 Ongoing Monitoring</p> <p>a. The Group Organization <i>shall</i> establish and maintain a procedure and schedule for conducting ongoing monitoring of conformance with the AFF Standards.</p> <p>b. IMG Inspectors of the Group Organization conducting internal monitoring <i>shall</i> have completed the current ATFS Tree Farm Inspector training course.</p> <p>c. The Group Organization <i>shall</i> review conformance to the AFF Standards and document the relevant findings.</p> <p>d. Where a non-conformance is identified during ongoing monitoring, the Group Organization <i>shall</i> document the non-conformity and work with the Group Member and other appropriate parties to take corrective action.</p> <p>e. The Group Organization <i>shall</i> ensure implementation of the corrective action and monitor conformity as part of the regular schedule of internal monitoring.</p> <p>ATFS provides sample Internal Monitoring Checklists for Group Managers and Group Members (See Appendix 10).</p>
4.1.4 The forest certification scheme shall define requirements for an annual internal monitoring	Yes	(See above 4.1.3)

Question	YES / NO*	Reference to scheme documentation
programme that provides sufficient confidence in the conformity of the whole group organisation with the sustainable forest management standard.		
Functions and responsibilities of the group entity		
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>ATFS IMG Certification Requirements</p> <p>Section 1. Group Organization Administration</p> <p>1.2 Roles & Responsibilities</p> <p>a. The Group Organization shall adhere to ATFS eligibility requirements and may further define membership parameters for their Group, if desired.</p> <p>b. The Group Organization shall designate a Group Manager(s) that is responsible for overseeing all of the administrative details of ATFS Group Certification and for ensuring compliance with all applicable requirements.</p> <p>Section 4. Independent Audit</p> <p>4.1 Managing the Group Certification Process</p> <p>a. The Group Organization <i>shall</i> contract with an accredited Certification body to conduct the independent certification. Accredited Certification body is required to conduct the audit according to accreditation rule under ANSI – American National Accreditation body or the Standards Council of Canada.</p> <p>b. The Group Organization <i>shall</i> coordinate the independent audit procedure to ensure the Certification body has access to sufficient information and Group Member properties to determine conformance to the AFF Standard and ATFS Group Certification Standard.</p> <p>c. If the certification audit results in nonconformity, the Group Organization <i>shall</i> work with all appropriate parties take corrective action and ensure timely implementation.</p>

Question	YES / NO*	Reference to scheme documentation
		<p>d. The Group Organization <i>shall</i> submit a copy of the ATFS Certificate and a summary of the audit report that is appropriate for public distribution to ATFS.</p> <p>e. The Group Organization <i>shall</i> keep the Group Organization's program up-to-date and in ongoing conformance with the AFF Standard. (See Appendix 10)</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>1.1 Legal and General Requirements</p> <p>a. The Group Organization <i>shall</i> be a legal entity competent to sign agreements with Group Members and to enter into binding contracts with Certification Bodies and other outside entities.</p> <p>b. The Group Organization <i>shall</i> identify Group Members' category.</p> <p>I. The Group Organization <i>shall</i> document the group member category (see above section on Group Member types).</p> <p>II. The Group Organization <i>shall</i> describe roles and responsibilities of the Group Manager and Group Members with respect to forest management decisions and actions with respect to the implementation of the AFF Standards (e.g. plan development, harvesting, monitoring, etc.)</p> <p>III. The Group Organization <i>shall</i> have a written commitment to sustainable forestry and conformance to the AFF Standards.</p> <p>(See Appendix 10)</p>
<p>c) To establish written procedures for the management of the group organisation;</p>	Yes	<p>(See above 4.2.1,a & b)</p>

Question	YES / NO*	Reference to scheme documentation
<p>d) To keep records of:</p> <ul style="list-style-type: none"> - the group entity and participants' conformity with the requirements of the sustainable forest management standard, and other applicable requirements of the forest certification scheme, - all participants, including their contact details, identification of their forest property and its/their size(s), - the certified area, - the implementation of an internal monitoring programme, its review and any preventive and/or corrective actions taken; 	<p>Yes</p>	<p>1.6 Maintaining Records of Group Member a. The Group Organization <i>shall</i> maintain internal Group Member records and provide updated information on a regular basis to the ATFS Database.</p> <p>3.2 Annual Reporting to the American Tree Farm System a. The Group Organization <i>shall</i> adhere to the annual reporting requirements as defined by ATFS and maintain copies of past annual reports. (See above 4.2.1,a and Appendix 10)</p> <p>ATFS provides monthly Reports to PEFC documenting the certified entities, acreages and other information. (See Appendix 21)</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 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>	<p>Yes</p>	<p>1.1 Legal and General Requirements a. The Group Organization <i>shall</i> be a legal entity competent to sign agreements with Group Members and to enter into binding contracts with Certification Bodies and other outside entities. III. The Group Organization <i>shall</i> have a written commitment to sustainable forestry and conformance to the AFF Standards. IV. The Group Organization must ensure Group Members have a written commitment to sustainable forestry and conformance to the AFF Standards of Sustainability.</p> <p>Section 3. Internal Monitoring and Reporting 3.1 Ongoing Monitoring a. The Group Organization <i>shall</i> establish and maintain a procedure and schedule for</p>

Question	YES / NO*	Reference to scheme documentation
		conducting ongoing monitoring of conformance with the AFF Standards. b. IMG Inspectors of the Group Organization conducting internal monitoring <i>shall</i> have completed the current ATFS Tree Farm Inspector training course. c. The Group Organization <i>shall</i> review conformance to the AFF Standards and document the relevant findings. d. Where a non-conformance is identified during ongoing monitoring, the Group Organization <i>shall</i> document the non-conformity and work with the Group Member and other appropriate parties to take corrective action. e. The Group Organization <i>shall</i> ensure implementation of the corrective action and monitor conformity as part of the regular schedule of internal monitoring. (See above 4.2.1,a and Appendix 10)
f) To provide participants with a document confirming participation in the group forest certification;	Yes	<p>Section 1. Group Organization Administration 1.3 Group Membership b. The Group Organization <u>shall</u> hold the ATFS Certificate on behalf of the Group Members. d. The Group Organization <u>shall</u> have a document issued to each Group Member that confirms the Group Member participation and coverage by the scope of the third-party certificate. (See Appendix 10)</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>1.4 Group Member Entry & Departure from the Group Organization a. The Group Organization <i>shall</i> ensure that Group Members are notified that they are subject to all of the requirements and privileges of membership in the ATFS. Under this requirement, category 1 Group Members shall be notified ATFS IMG Certification Requirements ATFS-IMG-01 to the individual landowner level and category 2 Group Members <i>shall</i> be notified to the portfolio level. b. The Group Organization <i>shall</i> define and administer a procedure for admitting Group Members.</p>

Question	YES / NO*	Reference to scheme documentation
		<p>c. The Group Organization <i>shall</i> maintain a procedure for expelling Group Members if they do not meet the requirements of the AFF Standard, and are not willing or able to take appropriate corrective action.</p> <p>d. The Group Organization <i>shall</i> maintain and update the membership list and ATFS database to reflect entries and departures of Group Members from the Group Organization. (See Appendix 10)</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>Section 3. Internal Monitoring and Reporting 3.1 Ongoing Monitoring a. The Group Organization <u>shall</u> establish and maintain a procedure and schedule for conducting ongoing monitoring of conformance with the AFF Standards. b. IMG Inspectors of the Group Organization conducting internal monitoring <u>shall</u> have completed the current ATFS Tree Farm Inspector training course. c. The Group Organization <u>shall</u> review conformance to the AFF Standards and document the relevant findings. d. Where a non-conformance is identified during ongoing monitoring, the Group Organization <u>shall</u> document the non-conformity and work with the Group Member and other appropriate parties to take corrective action. e. The Group Organization <u>shall</u> ensure implementation of the corrective action and monitor conformity as part of the regular schedule of internal monitoring. (See Appendix 10)</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>Section 4. Independent Audit 4.1 Managing the Group Certification Process a. The Group Organization <i>shall</i> contract with an accredited Certification body to conduct the independent certification. Accredited Certification body is required to conduct the audit according to accreditation rule under ANSI – American National Accreditation Board or the Standards Council of Canada. b. The Group Organization <i>shall</i> coordinate the independent audit procedure to ensure</p>

Question	YES / NO*	Reference to scheme documentation
		<p>the Certification Bodies has access to sufficient information and Group Member properties to determine conformance to the AFF Standard and ATFS Group Certification Standard.</p> <p>c. If the certification audit results in nonconformity, the Group Organization <i>shall</i> work with all appropriate parties take corrective action and ensure timely implementation.</p> <p>d. The Group Organization <i>shall</i> submit a copy of the ATFS Certificate and a summary of the audit report that is appropriate for public distribution to ATFS.</p> <p>e. The Group Organization <i>shall</i> keep the Group Organization’s program up-to-date and in ongoing conformance with the AFF Standard.</p> <p>ATFS provides sample Internal Monitoring Checklists for Group Managers and Group Members (Appendix 10). (See above 4.2.1,h)</p>
Function and responsibilities of participants		
4.3.1 The forest certification scheme shall define the following requirements for the participants:		
<p>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;</p>	Yes	<p>1.3 Group Membership</p> <p>a. The Group Organization <i>shall</i> inform Group Members of any and all fees associated with administration of the Group, if any, when they join the group organization.</p> <p>b. The Group Organization <i>shall</i> hold the ATFS Certificate on behalf of the Group Members</p> <p>c. The Group Organization <i>shall</i> follow the ATFS logo use guidelines and ensure proper use of promotional claims about the Group Certification.</p> <p>d. The Group Organization <i>shall</i> have a document issued to each Group Member that confirms the Group Member participation and coverage by the scope of the third-party certificate. (Appendix 10)</p> <p>(See above 4.2.1)</p>

Question	YES / NO*	Reference to scheme documentation
<p>b) To comply with the sustainable forest management standard and other applicable requirements of the forest certification scheme;</p>	<p>Yes</p>	<p>III. The Group Organization <i>shall</i> have a written commitment to sustainable forestry and conformance to the AFF Standards.</p> <p>IV. The Group Organization must ensure Group Members have a written commitment to sustainable forestry and conformance to the AFF Standards of Sustainability.</p> <p>(Appendix 10)</p> <p>(See above 4.2.1)</p>
<p>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;</p>	<p>Yes</p>	<p>The Group Organization <i>shall</i> coordinate the independent audit procedure to ensure the Certification Body has access to sufficient information and Group Member properties to determine conformance to the AFF Standard and ATFS Group Certification Standard.</p> <p>c. If the certification audit results in nonconformity, the Group Organization <i>shall</i> work with all appropriate parties take corrective action and ensure timely implementation.</p> <p>(Appendix 10)</p> <p>(See above 4.2.1)</p>
<p>d) To implement relevant corrective and preventive actions established by the group entity.</p>	<p>Yes</p>	<p>3.1 Ongoing Monitoring</p> <p>d. Where a non-conformance is identified during ongoing monitoring, the Group Organization <i>shall</i> document the non-conformity and work with the Group Member and other appropriate parties to take corrective action.</p> <p>e. The Group Organization <i>shall</i> ensure implementation of the corrective action and monitor conformity as part of the regular schedule of internal monitoring. (See Appendix 10)</p>

PART II: STANDARD AND SYSTEM REQUIREMENTS CHECKLIST FOR REGIONAL* FOREST MANAGEMENT CERTIFICATION (PEFC ST 1002:2010)

(NOTE* THIS SECTION ADDRESSES THE ATFS REGIONAL GROUP CERTIFICATION PROGRAM)

CHECKLIST

Question	YES / NO*	Reference to scheme documentation
General		
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	<p>The ATFS national office and its affiliated state committees are responsible for Standard conformance of all participating forest owners associated with state-based programs. State-based programs are divided into three regional groups known as 1.) Northeast Region; 2.) Southern Region; 3.) North Central/Western Region. (See Regional Group Public Summary Report for regional group composition.) All three regional groups are managed by the ATFS national office.</p> <p>The ATFS national office is responsible for maintaining and managing the central database of certified forest properties, ownership and participating program volunteers. State committees have web access to their state-specific data and have the option of managing that data. The national office is responsible for contracting with ANAB/SCC accredited certification bodies auditing Landowner conformance to the AFF Standard through annual surveillance audits. The national office holds all original issued certificates and will provide copies to the state committees respective to their region. (See Appendix 17)</p>
b) the group entity,	Yes	<p>State Program Operations State program operations and certification implementation documents are explicitly detailed in the ATFS Leadership Handbook. Documentation 2 outlines the policies and</p>

Question	YES / NO*	Reference to scheme documentation
		<p>procedures as well as provides tools needed to run the program on the state level. Representatives of state leaderships are encouraged join quarterly calls as well as attend the National Leadership Conference (NLC), held each winter.</p> <p>The handbook defines state program committee responsibilities, organization, definitions of qualified inspecting foresters, training requirements for inspecting foresters, inspection information, data entry and record maintenance, dispute resolution processes, recognition information, communications, outreach and education, and other tools to operate the program on the state level. State committees report their activities to the ATFS National Office and receive financial support annually. (See Appendix 17)</p>
c) the participant,	Yes	<p>Landowner requirements for ATFS are described in detail in the ATFS Eligibility Requirements and Guidance (Appendix 12).</p> <ol style="list-style-type: none"> 1. Ownership shall be privately held and not publicly traded 2. Ownership may be a public entity such as municipalities, schools, public and private universities and watersheds. 3. Properties owned by state government organizations shall undergo third-party certification assessments. Properties may not be enrolled through a state Tree Farm committee. Properties may be enrolled through an Independently Managed Group (IMG) program or the state may obtain an individual third-party certificate. 4. Properties shall be non-industrial but may be associated with small local business. 5. Owner shall clearly exhibit commitment to sustainable management though management objectives or management plan 6. Owner(s) demonstrates proactive forest management involvement 7. Ownership goals and objectives reinforce the ATFS mission 8. Owner(s) is engaged in active outreach efforts or can contribute to the effort. <p>Initial inspections can be prompted by several means; 1.) inquiry from property owner</p>

Question	YES / NO*	Reference to scheme documentation
		to state committee, 2.) referral from a certified forest owner, 3.) invitation from state committee member, 4.) recommendation from other parties. (See Appendix 17)
d) the certified area,	Yes	State Tree Farm Committees may enroll properties from 10 to 10,000 contiguous acres. Upon receiving the signed 004 Form (Appendix 19), state committee assigned member(s) review the form, and if all is found in conformance with procedures, signs the form, thereby adding the property to the pool of that state’s certified Tree Farms. Following that, the form and its information is entered into the national database for continual monitoring purposes. (See Appendices 12 and 17)
e) the group forest certificate, and	Yes	Copies of the Regional Certificates are available on the ATFS website and examples are contained in Appendix 22.
f) the document confirming participation in group forest certification.	Yes	Once approved by state committee reviewers and entered into the national database, the Landowner of the certified property will receive an ATFS issued “certificate” (a public relations document) stating that the Landowner has been found to be in conformance with the AFF Standard and is certified under the regional certificate. In addition, the Landowner may receive a sign to be posted by the owner to demonstrate to the community that the forest owner’s property is in conformance with the AFF Standard. (See Appendix 17)
4.1.2 In cases where a forest certification scheme allows an individual Landowner to be covered by additional group or individual forest management certifications, the scheme shall ensure that non-conformity by the Landowner identified under one forest management certification scheme is addressed in any other forest management certification scheme that covers the forest	Yes	The ATFS Eligibility Requirements and Guidance detail the different categories of landowner certification including: 1) individual, 2) regional groups and 3) independently managed groups. (See Appendices 12 and 17)

Question	YES / NO*	Reference to scheme documentation
owner.		
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.	Yes	<p>Internal Monitoring</p> <p>Internal monitoring of certified properties is coordinated by the ATFS National Office and state committees. This assures the national office, state committees and the public a strong pattern of conformance to The Standard. (See Appendix 17)</p> <p>Forest owners demonstrate proactive involvement by collaborating in periodic monitoring visits to the property. (See Appendix 12)</p>
4.1.4 The forest certification scheme shall define requirements for an annual internal monitoring programme that provides sufficient confidence in the conformity of the whole group organisation with the sustainable forest management standard.	Yes	<p>Annually, ATFS contracts with biometricians at Virginia Tech University to generate a stratified random sample of all properties certified under the AFF regional certificates, as documented in the centrally managed ATFS database. This sample provides a nationally random list of properties, stratified by acreage class, year since last inspection and location, to be visited during the calendar year. This sample provides a 95% confidence interval. The national office, then, generates a 004 Required Inspection Form for each property selected and forwards those to their respective states. It is the state committee's responsibility to distribute these forms to their qualified inspecting foresters for implementation of the on-the-ground inspections. Fulfillment of the annual sample of inspections is monitored at both then state and national level and is also reviewed in annual third-party audits. (See Appendices 16 and 17)</p>
Functions and responsibilities of the group entity		
4.2.1 The forest certification scheme shall define the following requirements for the function and responsibility of the group entity:		
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	Yes	<p>The national office is responsible for maintaining the central database of certified forest properties, ownership and participating program volunteers. State committees have web access and local-level management of state-specific data. The national office is responsible for contracting with ANAB/SCC accredited certification bodies auditing Landowner conformance to the AFF Standard through annual surveillance and re-</p>

Question	YES / NO*	Reference to scheme documentation
certification body;		certification audits. The national office holds all original issued certificates and will provide copies to the state committees respective to their region. (See Appendix 17)
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;	Yes	ATFS state programs shall follow the policies and guidelines as outlined in the ATFS Leadership Handbook and shall complete the inspections upon enrollment of properties and as assigned each year according to the Virginia Tech University generated Required Sample inspections, as part of the internal monitoring system to assure conformance to the Standard of their state's certified forest owners. The ATFS national office and its affiliated state committees are responsible for the Standard conformance of all participating forest owners associated with state-based programs. (See Appendix 17)
c) To establish written procedures for the management of the group organisation;	Yes	The written procedures for administering the Regional Groups within the ATFS Program are described in the Standard Operating Procedures for Regional State Program Landowner Group Certification. (See Appendix 17)
d) To keep records of: <ul style="list-style-type: none"> - the group entity and participants' conformity with the requirements of the sustainable forest management standard, and other applicable requirements of the forest certification scheme, - all participants, including their contact details, identification of their forest property and its/their size(s), - the certified area, - the implementation of an internal monitoring programme, its review and any preventive and/or corrective actions taken; 	Yes	The ATFS Program maintains a wide range of records addressing participants' conformity, contact details, the amount of certified forest area and implementation of monitoring and corrective action. Contact details for each certified landowner and property (acreage) is maintained and updated in the central ATFS database. Each new, recertification and internal monitoring Required Sample inspection is documented in the ATFS database. Copies of the 004 inspection forms used in initial certifying inspections, as well as internal monitoring are retained at the State and National Level. These forms include outlined recommendations. Copies of the Public Audit Summaries (Appendix 11), the sampling design for internal audits to the AFF Standards (Appendix 16), the Tree Farm Inspection Record (Appendix 19), the monthly PEFC Reports (Appendix 21) and copies of Regional Certificates (Appendix 22) are provided.

Question	YES / NO*	Reference to scheme documentation
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 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;	Yes	The Tree Farm Inspection Record (Form 004) establishes a written agreement between the landowner and the American Tree Farm System (See Appendix 19). Following initial contact, an inspecting forester is assigned by the state committee to visit the Landowner and conduct an on-the-ground inspection of the property. The inspecting forester undertakes a document review of the management plan and assesses its adequacy. The forester inspects the property to measure conformance to the AFF Standards of Sustainability. The inspecting forester uses the "004 Form" to record information about the property, activity, and conformance to the Standards, Performance Measures and Indicators. The 004 Form is a carbon copy form, administered and distributed out of the ATFS National Office. A copy of the form is left with the landowner, a copy with the inspecting forester, a copy for state program records, and a copy is forwarded to the ATFS National Office.
f) To provide participants with a document confirming participation in the group forest certification;	Yes	Once approved and entered into the national ATFS database, the owner of the certified property will receive a state committee issued "certificate" (a public relations document) stating that the Landowner has been found to be in conformance with the AFF Standard. (See Appendix 17)
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	The ATFS provides information and guidance for the effective implementation of the Standards to landowners through several means. The AFF Standards and Guidance Document (Appendix 9), official Interpretations and Guidance (Appendix 18), the Inspector's Manual (Appendix 24) and other publicly available information on the website (http://www.treefarmssystem.org/).
h) To operate an annual internal monitoring programme that provides for the evaluation of the participants' conformity with the certification requirements, and;	Yes	ATFS periodically contracts with biometricians at Virginia Tech University to generate a stratified random sample of all properties certified under the AFF regional certificates, as documented in the centrally managed ATFS database. This sample provides a nationally random list of properties, stratified by acreage class, year since last inspection and location, to be visited during the calendar year. This sample provides a 95% confidence interval. The national office, then, generates a 004 Required

Question	YES / NO*	Reference to scheme documentation
		<p>Inspection Form for each property selected and forwards those to their respective states. It is the state committee’s responsibility to distribute these forms to their qualified inspecting foresters for implementation of the on-the-ground inspections. Fulfillment of the annual sample of inspections is monitored at both then state and national level and is also reviewed in annual third-party audits. (See Appendices 16 and 17)</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>Each new, re-certification and required sample internal monitoring inspection undergoes multiple levels of review. Upon receiving the signed 004 Form, state committee assigned member(s) review the form, and if all is found in conformance with procedures, signs the form. Following that, the state committee is responsible for entering the form and its information into the national ATFS database for continual monitoring purposes, thereby adding the property to the pool of that state’s certified Tree Farms. Copies of each form are also submitted to the ATFS national office. Results of the annual required sample inspections are reviewed comprehensively by the national office.</p> <p>State committees are responsible for their full cooperation with ANAB accredited certification bodies as addressed in ANAB ATFS Accreditation Rule. The national office is responsible for contracting with ANAB accredited certification bodies auditing Landowner conformance to the AFF Standard through annual surveillance audits. The national office will hold all original issued certificates and will provide copies to the state committees respective to their region. (See Appendix 17)</p> <p>Independent audits of the Regional Group Certification Program are conducted annually by ANAB accredited Certification Bodies. Summaries of the independent audits (Appendix 11) and the actual AFF Certificates (Appendix 22) document the independent audit process. Corrective and preventative action plans are developed in response to any nonconformity issued during the audit. Implementation of these plans is reported to certification Bodies and effectiveness is assessed by certification bodies</p>

Question	YES / NO*	Reference to scheme documentation
		in subsequent audits.
Function and responsibilities of participants		
4.3.1 The forest certification scheme shall define the following requirements for the participants:		
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	<p>The Eligibility Guidance states that: Owner shall clearly exhibit commitment to sustainable management through management objectives or management plan. Conformance to the requirements of the 2015-2020 AFF Standard is the benchmark for meeting this eligibility requirement. (See Appendix 12)</p> <p>Upon completed inspection, landowners sign the 004 inspection form, affirming compliance with all relevant laws/regulations.</p> <p>Once approved and entered into the national database, the Landowner of the certified property will receive a state committee issued "certificate" (a public relations document) stating that the Landowner has been found to be in conformance with the AFF Standard. (See Appendix 17) (See above 4.2.1)</p>
b) To comply with the sustainable forest management standard and other applicable requirements of the forest certification scheme;	Yes	<p>The ATFS provides ample information and guidance for the effective implementation of the Standards. The AFF Standards and Guidance Document (Appendix 9), official Interpretations and Guidance (Appendix 18), the Inspector's Manual (Appendix 24) and other publicly available information on the website (http://www.treefarmssystem.org/).</p> <p>Sample Management Plan Templates are also provided to landowners to assist them in achieving conformance to the AFF Standards (See Appendix 13) (See above 4.2.1)</p>
c) To provide full co-operation and assistance in responding effectively to all requests from the group entity or certification body for relevant data,	Yes	The forester inspects the property to measure conformance to the AFF Standards of Sustainability. The inspecting forester uses the "004 Form" to record information about the property, activity, and conformance to the Standards, Performance

Question	YES / NO*	Reference to scheme documentation
documentation or other information; allowing access to the forest and other facilities, whether in connection with formal audits or reviews or otherwise;		<p>Measures and Indicators.</p> <p>Upon completed inspection, landowners sign the 004 inspection form, affirming compliance with all relevant laws/regulations and permit agents of ATFS ingress and egress for inspection/verification purposes.</p> <p>The 004 Form is administered and distributed out of the ATFS National Office. A copy of the form is provided to the landowner, the inspecting forester, state program records, and the ATFS National Office. (See Appendices 17 and 19). (See above 4.2.1)</p>
d) To implement relevant corrective and preventive actions established by the group entity.	Yes	<p>In initial, recertification and required sample internal monitoring inspections, the inspecting forester undertakes a document review of the management plan and assesses its adequacy. The forester inspects the property to measure conformance to the AFF Standards of Sustainability. (See Appendices 16 and 17) (The Tree Farm Inspection Record is available in Appendix 19)</p>

PART III: STANDARD AND SYSTEM REQUIREMENTS CHECKLIST FOR SUSTAINABLE FOREST MANAGEMENT (PEFC ST 1003:2010)

CHECKLIST

Question	YES / NO*	Reference to scheme documentation
General requirements for SFM standards		
4.1 The requirements for sustainable forest management defined by regional, national or sub-national forest management standards shall		
<p>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.</p>	Yes	<p>AFF 2010- 2015 Standards Standards Prologue The AFF 2015-2020 Standards of Sustainability address aspects of sustainable forest management and incorporate eight standards with various performance measures and indicators. ATFS qualified Tree Farm inspectors, group managers, and accredited third-party assessors will conduct field verification of landowner conformance to the AFF Standards as prescribed by ATFS policies and procedures. All AFF sustainability elements (standards, performance measures and indicators) are important and will be considered in reviews. Responsibilities, task, or obligations that are phrased with the word “shall,” are core elements that are required to be certified by the ATFS. (See Appendix 1)</p> <p>Acreage Limitations for ATFS Certification The acreage of the entire parcel is used for evaluation purposes. The evaluator is to deduct non-forest acres from the total acreage of the parcel. In cases where the candidate parcel is attached to a larger property, or ownership, the parcel is the evaluation unit. Forest owners may choose to certify a portion of their entire property portfolio but may not exempt a portion of a contiguous forest management unity that does not meet the AFF Standards. Forested acres may include features such as food plots, water resources (lakes, ponds, streams), and other non-forested areas as long as these are small enough that they are an integrated part of the forest system. Individual forest owners may enroll contiguous properties from 10 acres to 20,000 acres.</p>

Question	YES / NO*	Reference to scheme documentation
		<p>Independently Managed Group (IMG) programs may enroll contiguous properties from 10 acres to 20,000 acres. Individual third-party certificate holders may include under their certificate, contiguous properties from 10 acres to 20,000 acres. ATFS acreage limits apply only to contiguous parcels.</p> <p>(See Appendix 12)</p>
b) be clear, objective-based and auditable.	Yes	<p>The AFF Standards of Sustainability are clearly written, objective and auditable by accredited Certification Bodies. (See Appendix 1; additional Guidance is provided in Appendix 9)</p>
c) apply to activities of all operators in the defined forest area who have a measurable impact on achieving compliance with the requirements.	Yes	<p>The AFF Standards apply to all activities in the defined forest area that have a measurable impact on the environment. (See Appendix 1)</p> <p>(See Appendix 12 for conformity assessment at the parcel level)</p>
d) require record-keeping that provides evidence of compliance with the requirements of the forest management standards.	Yes	<p>The AFF Standard require written forest management plans, clearly stated landowner objectives, descriptions of desired forest conditions, records of management activities and other records sufficient to demonstrate objective evidence of conformance to the Standards. (See Appendix 1)</p> <p>Landowner conformance is documented on the Tree Farm Inspection Record (See Appendix 19).</p>
Specific requirements for SFM standards		
Criterion 1: Maintenance and appropriate enhancement of forest resources and their contribution to the global carbon cycle		
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	Yes	<p>Standards Prologue</p> <p>The AFF Standards promote the health and sustainability of America’s family forests. These Standards are designed as a tool to help woodland owners be effective stewards of the land as they adaptively manage renewable resources; promote environmental,</p>

Question	YES / NO*	Reference to scheme documentation
<p>shall be done by making full use of related services and tools that support land-use planning and nature conservation.</p>		<p>economic and social benefits; and work to increase public understanding of sustainable forestry.</p> <p>AFF 2015-2020 Standard 1: Commitment to Practicing Sustainable Forestry Landowner demonstrates commitment to forest health and sustainability by developing a forest management plan and implementing sustainable practices.</p> <p><u>Performance Measure 1.1</u> Landowner shall have and implement a written forest management plan consistent with the size of the forest and the scale and intensity of the forest activities.</p> <p>Indicator 1.1.1 Management plan <u>shall</u> be active, adaptive, and embody the landowner’s current objectives, remain appropriate for the land certified, and reflect the current state of knowledge about natural resources and sustainable forest management.</p> <p>Indicator 1.1.2 Management plan <u>shall</u> describe current forest conditions, landowner’s objectives, management activities aimed at achieving landowner’s objectives, document a feasible strategy for activity implementation and include a map accurately depicting significant forest-related resources.</p> <p>The forest management plan <u>shall</u> demonstrate consideration of the following resource elements: forest health, soil, water and fiber production, threatened or endangered species, special sites, invasive species and forests of recognized importance. Where present and relevant to the property, the plan <u>shall</u> describe management activities related to these resource elements.</p> <p>Where present, relevant to the property, and consistent with landowner’s objectives, the plan preparer should consider, describe and evaluate the following resource elements:</p>

Question	YES / NO*	Reference to scheme documentation
		<p>fire, wetlands, desired species, recreation, forest aesthetics, biomass and carbon.</p> <p>(See Appendix 1) <u>ATFS Eligibility Requirements</u> The ATFS Forest owners may demonstrate proactive involvement by collaborating on the development of the management plan, by periodic monitoring visits to the property or by hiring a qualified natural resource professional to oversee the management of the property. Ownership goals and objectives reinforce the ATFS mission.</p> <p>The candidate’s conformance to Standard 1 of the AFF Standard is sufficient for meeting this eligibility requirement. Owner(s) is engaged in active outreach efforts or can contribute to the effort.</p> <p>There are several ways that forest owners can participate in outreach efforts; among them are: hosting forest-related tours on their property; joining a national, regional or local forestry / forest-owner association; supporting legislation that promotes private forest health and viability; supporting research that enhances the knowledge and practice of forest management on private forests; writing for publications in support of sustainable forestry on private lands; donating resources to these, and similar, forestry and forest landowner initiatives.</p> <p>A new Landowner may not have a history of doing these things. However, the Landowner shall be willing to explore ways to meet the requirement that fit their style and situation. (See the Eligibility Guidance in Appendix 12).</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</p>		<p>The AFF Standards address commitment to sustainable forestry, compliance with laws, appropriate regeneration of the forest, protection of air/water/soils, contribute to the conservation of biodiversity, consideration of forest aesthetics, protection of special sites, use of qualified professionals and monitoring of management activities to ensure conformance to management plan objectives and continuous improvement. (See the</p>

Question	YES / NO*	Reference to scheme documentation
of continuous improvement to minimise or avoid negative impacts.		eight Standards of the AFF Standard (Appendix 1)).
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.	Yes	<p><u>Performance Measure 1.1</u> Landowner shall have and implement a written forest management plan consistent with the size of the forest and the scale and intensity of the forest activities.</p> <p><u>Indicator 1.1.1</u> Management plan <u>shall</u> be active, adaptive, and embody the landowner’s current objectives, remain appropriate for the land certified, and reflect the current state of knowledge about natural resources and sustainable forest management.</p> <p><u>Indicator 1.1.2</u> Management plan <u>shall</u> describe current forest conditions, landowner’s objectives, management activities aimed at achieving landowner’s objectives, document a feasible strategy for activity implementation and include a map accurately depicting significant forest-related resources.</p> <p>The forest management plan <u>shall</u> demonstrate consideration of the following resource elements: forest health, soil, water and fiber production, threatened or endangered species, special sites, invasive species and forests of recognized importance. Where present and relevant to the property, the plan <u>shall</u> describe management activities related to these resource elements.</p> <p>Where present, relevant to the property, and consistent with landowner’s objectives, the plan preparer should consider, describe and evaluate the following resource elements: fire, wetlands, desired species, recreation, forest aesthetics, biomass and carbon.</p> <p>Note: The AFF requires mapping in Indicator 1.1.2 and the Management Plan Template (Appendix 13) recommends documenting landowner goals, existing forest condition and desired future condition. Landowners and ATFS programming and network generally rely</p>

Question	YES / NO*	Reference to scheme documentation
		<p>on the United States Forest Service (USFS) to maintain a forest inventory for both public and private lands in the USA. The inventory is conducted annually by the USFS and includes random samples on both private and public lands.</p> <p>An excellent resource to learn more about the US’s Forest Inventory and Analysis National Program is to visit www.fia.fs.fed.us/program-features.</p> <p>“FIA reports on status and trends in forest area and location; in the species, size, and health of trees; in total tree growth, mortality, and removals by harvest; in wood production and utilization rates by various products; and in forest land ownership.</p> <p>The Forest Service has significantly enhanced the FIA program by changing from a periodic survey to an annual survey, by increasing our capacity to analyze and publish data, and by expanding the scope of our data collection to include soil, under story vegetation, tree crown conditions, coarse woody debris, and lichen community composition on a subsample of our plots.</p> <p>FIA is managed by the Research and Development organization within the USDA Forest Service in cooperation with State and Private Forestry and National Forest Systems. FIA has been in operation under various names (Forest Survey, Forest Inventory and Analysis) for some 70 years. We cover forests on all forest lands within the US.” http://www.fia.fs.fed.us</p> <p>Basic Forest Inventory: Phase 1 is a remote sensing phase aimed at classifying the land into forest and nonforest and taking spatial measurements such as fragmentation, urbanization, and distance variables. This phase has historically been done using aerial photography, but is changing to a system based on satellite imagery.</p> <p>Phase 2 consists of a set of field sample locations distributed across the landscape with</p>

Question	YES / NO*	Reference to scheme documentation
		<p>approximately one sample location (FIA plot) every 6,000 acres. Forested sample locations are visited by field crews who collect a variety of forest ecosystem data. Nonforest locations are also visited as necessary to quantify rates of land use change.</p> <p>Forest Health Indicators: Phase 3 consists of a subset of the phase two plots (approximately 1 every 96,000 acres) which are visited during the growing season in order to collect an extended suite of ecological data including full vegetation inventory, tree and crown condition, soil data, lichen diversity, coarse woody debris, and ozone damage.</p> <p>Timber Products Output Studies: FIA conducts Timber Products Output (TPO) studies to estimate industrial and nonindustrial uses of roundwood in a state. To estimate industrial uses of roundwood, all primary wood-using mills in a state are canvassed periodically.</p> <p>National Woodland Owner Survey: The National Woodland Owner Survey helps us understand who owns the woodlands of the United States; why these individuals and groups own woodlands; and what is the future of these lands. The Survey was most recently updated in 2013. (See Appendix 25)</p> <p>National assessment (Resources Planning Act): FIA currently provides updates of assessment data every five years as required by the Agriculture Research, Extension and Education Reform Act of 1998 (Farm Bill).</p> <p>Source: http://www.fia.fs.fed.us/program-features</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</p>	<p>Yes</p>	<p>AFF Standards require and promote management planning. In addition to the requirement to have a written forest management plan, the organization has developed a Template Management Plan that includes additional guidance and direction. The 14 page Template is contained in Appendix 13. Under the AFF Standards, all planning documents,</p>

Question	YES / NO*	Reference to scheme documentation
<p>forest resources.</p>		<p>procedures, checklists and other written documents are considered part of the overall Management Plan.</p> <p><u>Performance Measure 1.1</u> Landowner shall have and implement a written forest management plan consistent with the size of the forest and the scale and intensity of the forest activities.</p> <p>Indicator 1.1.1 Management plan <u>shall</u> be active, adaptive, and embody the landowner’s current objectives, remain appropriate for the land certified, and reflect the current state of knowledge about natural resources and sustainable forest management.</p> <p><u>Performance Measure 2.1</u> Landowner shall comply with all relevant federal, state, county, and municipal laws, regulations, and ordinances governing forest management activities.</p> <p>Indicator 2.1.1 Landowner shall comply with all relevant laws, regulations and ordinances and will correct conditions that led to adverse regulatory actions, if any.</p> <p>Indicator 2.1.2 Landowner should obtain advice from appropriate natural resource professionals, or qualified contractors who are trained in, and familiar with, relevant laws, regulations and ordinances.</p> <p>Note: An active adaptive management plan which is a requirement of the AFF Standards is stronger than a periodic update. An adaptive management plan infers continually improving and modifying planning and implementation. Moreover, “The nature of adaptive management requires that the landowner or his/her designated representative not be bound to follow the management plan prescriptions when</p>

Question	YES / NO*	Reference to scheme documentation
		<p>circumstances influencing the property and its management have changed or when the landowner’s objectives change.” And “Management plans can present a suite of options to landowners for their consideration. ATFS does not view management plans as a strict blueprint for landowner action, rather that management plans are adaptive and responsive to a number of factors.”</p> <p>AFF 2015-2020 Standard, Definition - Adaptive management - A dynamic approach to forest management in which the effects of treatments and decisions are continually monitored and used to modify management on a continuing basis to ensure that objectives are being met (SAF). (See Appendix 9)</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><u>Performance Measure 1.1</u> Landowner shall have and implement a written forest management plan consistent with the size of the forest and the scale and intensity of the forest activities.</p> <p>Indicator 1.1.1 Management plan <u>shall</u> be active, adaptive, and embody the landowner’s current objectives, remain appropriate for the land certified, and reflect the current state of knowledge about natural resources and sustainable forest management.</p> <p>Indicator 1.1.2 Management plan <u>shall</u> describe current forest conditions, landowner’s objectives, management activities aimed at achieving landowner’s objectives, document a feasible strategy for activity implementation and include a map accurately depicting significant forest-related resources.</p> <p>The forest management plan <u>shall</u> demonstrate consideration of the following resource elements: forest health, soil, water and fiber production, threatened or endangered species, special sites, invasive species and forests of recognized importance. Where present and relevant to the property, the plan <u>shall</u> describe management activities</p>

Question	YES / NO*	Reference to scheme documentation
		<p>related to these resource elements.</p> <p>Where present, relevant to the property, and consistent with landowner’s objectives, the plan preparer should consider, describe and evaluate the following resource elements: fire, wetlands, desired species, recreation, forest aesthetics, biomass and carbon.</p> <p>In addition to the requirement to have a written forest management plan, the AFF has developed a Template Management Plan that includes additional guidance and direction. (See Appendix 13).</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>The ATFS Eligibility Requirements (Appendix 12) require public summaries of forest management plans according to the following requirements:</p> <p>Public Summaries of Forest Management Plans: Upon formal request, responsible Tree Farm organizations shall make available to interested parties the following information:</p> <p>a) For individual certificate holders, the landowner shall provide a summary of the management plan included in the public audit summary compiled by the Certification Body, omitting proprietary information and other confidential information;</p> <p>b) For Independently Managed Groups (IMGs), the Group Manager shall provide: 1) a summary of the AFF Standard required components of the management plans of IMG members’ properties, and 2) summaries of the Group Members’ management plans reviewed by the Certification Body and available in the public audit summary, omitting personally identifiable information, proprietary information and other confidential information;</p> <p>c) For Regional Tree Farm Programs, the ATFS shall provide: 1) a summary of the AFF Standard required components of the management plans of the properties included within the scope of the regional certificate, and 2) summary descriptions of the management plans for properties included in the scope of the audit reviewed by the Certification Body and included in the public audit summary, omitting personally</p>

Question	YES / NO*	Reference to scheme documentation
		<p>identifiable information, proprietary information and other confidential information.</p> <p>Public summaries of audit reports are also available for each ATFS Region on the website (http://www.treefarmssystem.org/documents). (Example copies of the 2014 Public Audit Summary Reports for the South, North Central and West Regions are included in Appendix 11. The Certificates issued by the accredited Certification Bodies are included in Appendix 22)</p>
<p>5.1.7 Monitoring of forest resources and evaluation of their management shall be periodically performed, and results fed back into the planning process.</p>	<p>Yes</p>	<p>Indicator 1.1.3 The Landowner should monitor for changes that could interfere with the management objectives as stated in management plan. When problems are found, reasonable actions are taken.</p> <p>Performance Measure 8.2 Landowner shall monitor forest product harvests and other management activities to ensure they conform to their objectives.</p> <p>Indicator 8.2.1 Harvest, utilization, removal and other management activities <u>shall</u> be conducted in compliance with the landowner’s objectives and to maintain the potential of the property to produce forest products and other benefits sustainably.</p> <p>Internal Monitoring At the beginning of each calendar year, ATFS contracts with Virginia Tech University to run a stratified random sample of all appropriate and eligible properties in the ATFS data base. This sample generates a nationally random list of properties to be visited during the calendar year. This sample gives a level of accuracy of 95 percent, +/- 5 percent. The national office then generates a 004 Form for each property selected and forwards those to their respective states. It is the state committee’s responsibility to distribute these forms to their qualified inspecting foresters and monitor their accomplishment. It is the responsibility of the inspecting forester to conduct an on-the-ground inspection</p>

Question	YES / NO*	Reference to scheme documentation
		<p>of the property. The inspecting forester undertakes a document review of the management plan and assesses its adequacy.</p> <p>The AFF Standard (Appendix 1), the Independently Managed Group (IMG-01) (Appendix 10) and the Regional Group Certification Standard Operating Procedures (Appendix 17) require annual internal monitoring and evaluation of management.</p>
<p>5.1.8 Responsibilities for sustainable forest management shall be clearly defined and assigned.</p>		<p>The Standards Guidance (Appendix 9) defines what Landowners are responsible for.</p> <p>The Independently Managed Group (IMG-01) (Appendix 10) outlines responsibilities of the Group Organization.</p> <p>Section 1. Group Organization Administration</p> <p>1.1 Legal and General Requirements</p> <p>a. The Group Organization <i>shall</i> be a legal entity competent to sign agreements with Group Members and to enter into binding contracts with Certification Bodies and other outside entities.</p> <p>b. The Group Organization <i>shall</i> identify Group Members' category.</p> <p>I. The Group Organization <i>shall</i> document the group member category (see above section on Group Member types).</p> <p>II. The Group Organization <i>shall</i> describe roles and responsibilities of the Group Manager and Group Members with respect to forest management decisions and actions with respect to the implementation of the AFF Standards (e.g. plan development, harvesting, monitoring, etc.)</p> <p>The Regional Group Certification Standard Operating Procedures (Appendix 17) define responsibilities of the ATFS national office and state committees.</p> <p>ATFS state programs shall follow the policies and guidelines as outlined in the ATFS Leadership Handbook and shall complete the inspections assigned each year by VA Tech</p>

Question	YES / NO*	Reference to scheme documentation
		<p>as part of the internal monitoring system to assure conformance to The Standard of their by their state’s certified forest owners.</p> <p>The ATFS national office and its affiliated state committees are responsible for the Standard conformance of all participating forest owners associated with state-based programs.</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>The AFF Standards, Guidance, Eligibility and other interpretations ensure that forest resources are safeguarded. Some of the example AFF Standards are outlined below:</p> <p>Indicator 1.1.2 Management plan <u>shall</u> describe current forest conditions, landowner’s objectives, management activities aimed at achieving landowner’s objectives, document a feasible strategy for activity implementation and include a map accurately depicting significant forest-related resources.</p> <p>The forest management plan <u>shall</u> demonstrate consideration of the following resource elements: forest health, soil, water and fiber production, threatened or endangered species, special sites, invasive species and forests of recognized importance. Where present and relevant to the property, the plan <u>shall</u> describe management activities related to these resource elements.</p> <p>Where present, relevant to the property, and consistent with landowner’s objectives, the plan preparer should consider, describe and evaluate the following resource elements: fire, wetlands, desired species, recreation, forest aesthetics, biomass and carbon.</p> <p>Standard 4: Air, Water, and Soil Protection Forest management practices maintain or enhance the environment and ecosystems, including air, water, and soil and site quality.</p> <p>Performance Measure 4.1</p>

Question	YES / NO*	Reference to scheme documentation
		<p>Landowner shall meet or exceed practices prescribed by State Forestry Best Management Practices (BMPs) that are applicable to the property.</p> <p>Indicator 4.1.1 Landowner shall implement specific state forestry BMPs that are applicable to the property.</p> <p>Indicator 4.1.2 Landowner shall minimize road construction and other disturbances within riparian zones and wetlands.</p> <p>Indicator 8.2.1 Harvest, utilization, removal and other management activities <u>shall</u> be conducted in compliance with the landowner’s objectives and to maintain the potential of the property to produce forest products and other benefits sustainably.</p> <p>Guidance: The Landowner may monitor harvesting and other activities personally or they may employ someone else to do it for them. Many landowners engage a qualified natural resource professional for this function.</p> <p>If the landowner’s objectives do not specify directives as to harvest, utilization and removals, regional norms and accepted practices are expected.</p> <p>The intent of Performance measure 8.2 is to ensure the maintenance of “the potential of the property to produce forest products and other benefits sustainably” Good planning, utilizing qualified natural resource professionals, engaging competent qualified contractors and using an effective contract go a long way toward this end.</p>

Question	YES / NO*	Reference to scheme documentation
		<p>Note that Annual Growth from Individual Forest Owners in the U.S. is nearly twice the rate of removals. A Journal of Forestry article: "Institutional Timberland Ownership in the US South: Magnitude, Location, Dynamics, and Management (Zhang et al., 2012) reports growth of 63.3 cubic ft and removals of 34.4 cubic feet for 2009. http://dx.doi/10.5849/jof.12-015</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>The AFF Standards and Guidance require prompt and adequate regeneration to achieve full stocking.</p> <p>Standard 3: Reforestation and Afforestation Landowner completes timely restocking of desired species of trees on harvested sites and non-stocked areas where tree growing is consistent with land use practices and the landowner’s objectives.</p> <p><u>Performance Measure 3.1</u> Reforestation or afforestation <u>shall</u> be achieved by a suitable process that ensures adequate stocking levels.</p> <p>Indicator 3.1.1 Harvested forest land <u>shall</u> achieve adequate stocking of desired species reflecting the landowner’s objectives, within five years after harvest, or within a time interval as specified by applicable regulation.</p> <p>Guidance: The landowner or designated representative should ask his or her qualified natural resource professional or check with the state agency responsible for forestry assistance to find out if there is a reforestation law in place, and if so, to ensure compliance with it.</p> <p>Federal and state reforestation programs may provide guidance regarding adequate</p>

Question	YES / NO*	Reference to scheme documentation
		<p>stocking levels that landowners may utilize as a reference to support management. However, certain wildlife habitat management regimes may favor lower stocking rates than the cost-share program or silvicultural guidelines do. Therefore, it is important to make sure the chosen guidelines fit the forest conditions and are consistent with landowner objectives.</p> <p>Natural regeneration stocking assessments should account for both softwood and hardwood regeneration and should take place within the normally accepted time frame for local conditions.</p> <p>For reforestation and afforestation, use of native species and local provenances that are well-adapted to site conditions is preferred, where appropriate. If nonnative species are selected, landowner should consult or seek guidance from qualified natural resource professionals, such as agencies, academic institutions or professional associations, to ensure that potential negative impacts on the ecosystem and on the genetic integrity of native species and local provenances have been evaluated, and to determine whether negative impacts can be avoided or minimized.</p> <p>Please refer to the ATFS website for further reference to stocking guide resources.</p>
<p>5.1.11 Conversion of forests to other types of land use, including conversion of primary forests to forest plantations, shall not occur unless in justified circumstances where the conversion:</p> <p>a) is in compliance with national and regional policy and legislation relevant for land use and forest management and is a result of national or regional land-use planning governed by a governmental or other official authority including consultation with materially and directly interested persons and</p>	<p>Yes</p>	<p>The ATFS Eligibility for Certification Procedures require that landowners' properties be forest land. Conversion of the forest to another use would disqualify the property from Tree Farm eligibility and the property would be de-certified.</p> <p>Landowner Requirements</p> <ol style="list-style-type: none"> 1. Ownership shall be privately held and not publicly traded 2. Ownership may be a public entity such as municipalities, schools, public and private universities and watersheds. 3. Properties owned by state government organizations shall undergo third-party certification assessments. Properties may not be enrolled through a state Tree Farm committee. Properties may be enrolled through an Independently Managed Group (IMG)

Question	YES / NO*	Reference to scheme documentation
<p>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>		<p>program or the state may obtain an individual third-party certificate.</p> <p>4. Properties shall be non-industrial but may be associated with small local business.¹</p> <p>5. Owner shall clearly exhibit commitment to sustainable management though management objectives or management plan</p> <p>6. Owner(s) demonstrates proactive forest management involvement</p> <p>7. Ownership goals and objectives reinforce the ATFS mission</p> <p>8. Owner(s) is engaged in active outreach efforts or can contribute to the effort</p> <p>Acreage Limitations for ATFS Certification</p> <p>The acreage of the entire parcel is used for evaluation purposes. The evaluator is to deduct non-forest acres from the total acreage of the parcel. (See Eligibility Requirements in Appendix 12)</p> <p>The National Woodland Owners Survey (Appendix 25) documents that: "Most family forest owners have owned their land for relatively long periods of time (Fig. 10, Table US-9). Forty percent of the owners, who own 53 percent of the family forest land, have owned their land for 25 years or more. The average (mean) land tenure is 26 years. Although most owners have owned land for relatively long periods of time, 24 percent of the family forest owners, who own 33 percent of the family forest land, have sold, passed on, or otherwise transferred some of it (Table US-10).</p> <p>As landowner sell or convert their lands, the annual ATFS Monitoring Program would remove those acres and update the ATFS database. If the inspecting forester finds the property to be conformance to The Standard, he/she signs the form, along with the property owner, and submits it to the state committee with a recommendation for certification. If, however, the forested property is found to be in non-conformance with The Standard, the inspecting forester will recommend decertification. (See Appendix 17)</p> <p>In addition, the U.S. Forest Service has been able to assess that U.S. forests are growing</p>

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		<p>more timber than is being harvested every year. Since 1953, the volume of growing stocks on timberland in the south has increased from 148 billion cubic feet (4.2 billion cubic meters) to over 288 billion cubic feet (8.2 billion cubic meters). Since 1997, growing stocks in the south have increased by 32 billion cubic feet (1 billion cubic meters) or almost 13 percent (Source: U.S.D.A. Forest Service: U.S. Forest Resource Facts and Historical Trends 2010).</p>
<p>5.1.12 Conversion of abandoned agricultural and treeless land into forest land shall be taken into consideration, whenever it can add economic, ecological, social and/or cultural value.</p>	<p>Yes</p>	<p>Standard 3: Reforestation and Afforestation Landowner completes timely restocking of desired species of trees on harvested sites and non-stocked areas where tree growing is consistent with land use practices and the forest owner’s management objectives.</p> <p><u>Performance Measure 3.1</u> Reforestation or afforestation <u>shall</u> be achieved by a suitable process that ensures adequate stocking levels.</p> <p><u>Indicator 3.1.1</u> Harvested forest land <u>shall</u> achieve adequate stocking of desired species reflecting the landowner’s objectives, within five years after harvest, or within a time interval as specified by applicable regulation.</p> <p>Note: AFF promotes the afforestation of abandoned agricultural land. If a small private woodlot owner owns abandoned agricultural and/or treeless land, they could convert it into forest land where tree-growing is the land use objective.</p>
<p>5.2.1 Forest management planning shall aim to maintain and increase the health and vitality of forest ecosystems and to rehabilitate degraded forest ecosystems, whenever this is possible by silvicultural means.</p>	<p>Yes</p>	<p>The American Forest Foundation’s (AFF) 2015-2020 Standards of Sustainability for Forest Certification promote the <u>vitality of renewable forest resources</u> while protecting environmental, economic and social benefits and work to increase public understanding of all benefits of sustainable forestry.</p> <p><u>Indicator 1.1.1</u> Management plan <u>shall</u> be active, adaptive, and embody the landowner’s current</p>

Question	YES / NO*	Reference to scheme documentation
		<p>objectives, remain appropriate for the land certified, and reflect the current state of knowledge about natural resources and sustainable forest management.</p> <p>Indicator 1.1.2 Management plan <u>shall</u> describe current forest conditions, landowner’s objectives, management activities aimed at achieving landowner’s objectives, document a feasible strategy for activity implementation and include a map accurately depicting significant forest-related resources.</p> <p>The forest management plan <u>shall</u> demonstrate consideration of the following resource elements: forest health, soil, water and fiber production, threatened or endangered species, special sites, invasive species and forests of recognized importance. Where present and relevant to the property, the plan <u>shall</u> describe management activities related to these resource elements.</p> <p>Where present, relevant to the property, and consistent with landowner’s objectives, the plan preparer should consider, describe and evaluate the following resource elements: fire, wetlands, desired species, recreation, forest aesthetics, biomass and carbon.</p> <p>(See AFF Standard in Appendix 1 and Guidance in Appendix 9)</p> <p>In addition, the Eligibility Guidance (Appendix 12) requires that: Owner(s) demonstrates proactive forest management involvement. Forest owners may demonstrate proactive involvement by collaborating on the development of the management plan, by periodic monitoring visits to the property or by hiring a qualified natural resource professional to oversee the management of the property.</p> <p>The candidate’s conformance to Standard 1 of the AFF Standard is sufficient for meeting this eligibility requirement. Owner(s) is engaged in active outreach efforts or can contribute to the effort.</p>

Question	YES / NO*	Reference to scheme documentation
		<p>There are several ways that forest owners can participate in outreach efforts; among them are: hosting forest-related tours on their property; joining a national, regional or local forestry / forest-owner association; supporting legislation that promotes private forest health and viability; supporting research that enhances the knowledge and practice of forest management on private forests; writing for publications in support of sustainable forestry on private lands; donating resources to these, and similar, forestry and forest landowner initiatives.</p>
Criterion 2: Maintenance of forest ecosystem health and vitality		
<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>All 8 of the AFF Standards are intended to promote the health and vitality of Forests.</p> <p>Indicator 1.1.3*</p> <p>The Landowner should monitor for changes that could interfere with the management objectives as stated in management plan. When problems are found, reasonable actions are taken.</p> <p>Guidance: Monitoring for individual landowners or designated representatives can be achieved by visiting the property on a regular basis, riding through it or walking the trails. This can be done annually or more or less frequently depending on the individual circumstances (region, soils, risk of invasive species, risk of pest outbreaks, etc.).</p> <p>Landowners and designated representatives are encouraged to keep a written record of monitoring observations to reflect and document changing conditions—including the presence of invasive species, pest or disease or storm damage—along with management activities. In addition, these records may also be used to defend against adverse possession claims, substantiate any casualty losses and enable timely response to trespass, illegal dumping, timber theft and insect or disease outbreaks. Records of</p>

Question	YES / NO*	Reference to scheme documentation
		<p>monitoring may be informal, such as handwritten notes, and can include photos, digital technologies, online tools such as www.mylandplan.org and other emerging media. Landowners are encouraged to update management plans based on monitoring. Records of management activities should, over time, demonstrate response to information inputs from monitoring.</p> <p>A management plan is considered current if it remains consistent with the landowner’s objectives and the conditions on the ground, regardless of when the plan was written.</p> <p><u>Indicator 5.3.1</u> Landowner should make practical efforts to promote forest health, including prevention, control or response to disturbances such as wildland fire, invasive species and other pests, pathogens or unwanted vegetation, to achieve specific management objectives.</p> <p>Guidance: New, previously unknown or under-recognized pests, pathogens and invasive species are, unfortunately, emerging as serious and immediate threats to forest health. Outbreaks and impacts may be sudden, widespread and profound. Given this and a landowner’s deployable resources, he or she may have limited ability to prevent, respond or control the impacts of a disturbance. Landowners or designated representatives are advised to take a practical, proactive approach to promoting the resilience, productivity and vitality of their forests. Landowners or designated representatives are encouraged to work with their qualified natural resource professional to understand and identify the range of stressors in which their woodlands may be vulnerable and consider measures to promote the resilience and reduce the susceptibility of their properties. Qualified natural resource professionals can supply the landowner or designated representative with information on emerging forest health issues and techniques for preventing, mitigating the impacts of and responding to stressors and events. Landowners are encouraged to take advantage of opportunities to learn about forest</p>

Question	YES / NO*	Reference to scheme documentation
		<p>health issues and approaches for preventing and responding to stressors and promoting resilience. On monitoring visits to the property, landowners or designated representatives should be alert to potential impacts to forest health.</p> <p>Annual monitoring is also required by the ATFS Independently Managed Group (IMG-01) (Appendix 10) and the Regional Group Certification Standard Operating Procedures (Appendix 17).</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><u>Indicator 5.3.1*</u> Landowner should make practical efforts to promote forest health, including prevention, control or response to disturbances such as wildland fire, invasive species and other pests, pathogens or unwanted vegetation, to achieve specific management objectives.</p> <p>Guidance: Landowners or designated representatives are advised to take a practical, proactive approach to promoting the resilience, productivity and vitality of their forests. Landowners or designated representatives are encouraged to work with their qualified natural resource professional to understand and identify the range of stressors in which their woodlands may be vulnerable and consider measures to promote the resilience and reduce the susceptibility of their properties. Qualified natural resource professionals can supply the landowner or designated representative with information on emerging forest health issues and techniques for preventing, mitigating the impacts of and responding to stressors and events. Landowners are encouraged to take advantage of opportunities to learn about forest health issues and approaches for preventing and responding to stressors and promoting resilience. On monitoring visits to the property, landowners or designated representatives should be alert to potential impacts to forest health.</p>
<p>5.2.4 Forest management plans or their equivalents shall specify ways and means to minimise the risk of</p>	<p>Yes</p>	<p>There are many requirements in the AFF Standards that support this requirement. Refer to the AFF Standards in Appendix 1 and Guidance in Appendix 9.</p>

Question	YES / NO*	Reference to scheme documentation
<p>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>Performance Measure 4.1 Landowner shall meet or exceed practices prescribed by State Forestry Best Management Practices (BMPs) that are applicable to the property.</p> <p>Indicator 4.1.1 Landowner shall implement specific state forestry BMPs that are applicable to the property.</p> <p>Indicator 4.1.2 Landowner shall minimize road construction and other disturbances within riparian zones and wetlands.</p> <p>Note: Best Management Practices (BMPs) are developed at the State level and set out to minimize the risk of degradation to forest ecosystems. All States where ATFS operates has BMPs, except for some of the Pacific North Western States which go beyond BMPs and have Forest Practices Acts with requirements that apply to private lands. And while adherence to BMPs might be optional in some States, adherence to BMPs is a requirement for all private land owners seeking certification to the AFF Standards.</p> <p>BMPs are integral to protection of water quality and other beneficial uses. An Internet Link to all State BMPs is contained in Appendix 14. The ATFS website also references State Best Management Practices in the Woodland Resources Section (http://www.treefarmssystem.org/woodland-resources).</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</p>	<p>Yes</p>	<p>Performance Measure 4.1 Landowner shall meet or exceed practices prescribed by State Forestry Best Management Practices (BMPs) that are applicable to the property.</p> <p>Indicator 4.1.1: Landowner shall implement specific state forestry BMPs that are</p>

Question	YES / NO*	Reference to scheme documentation
<p>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>applicable to the property.</p> <p>Indicator 4.1.2: Landowner shall minimize road construction and other disturbances within riparian zones and wetlands.</p> <p>Indicator 4.2.1 Landowner should evaluate alternatives to pesticides for the prevention or control of pests, pathogens and unwanted vegetation to achieve specific management objectives.</p> <p>Guidance: Landowners or designated representatives should consult with their state forestry agency or qualified natural resource professional to learn about the range of recommended management techniques for any particular disease, invasive species or pest outbreak on their property. Links to these resources are available at the ATFS website.</p> <p>Integrated pest management (IPM) is an excellent approach to controlling, suppressing or preventing pests and can take many forms. Preventative measures, efforts to improve forest health, or in some other way, protect the property from injurious organisms are often the most practical and effective approaches. Pesticide applications may be used when other control measures are ineffective or impractical.</p> <p>While landowners and designated representatives are urged to take feasible actions to address pests, pathogens and unwanted vegetation, third-party assessors are advised that, in some cases, there may be no feasible options for controlling a pest or outbreak due to severity, scale and timing of onset.</p> <p><u>Performance Measure 5.2</u> Landowner should address the desired species and/or desired forest communities when conducting forest management activities, if consistent with landowner’s objectives.</p> <p>Indicator 5.2.1</p>

Question	YES / NO*	Reference to scheme documentation
		<p>Landowner should consult available and accessible information on management of the forest for desired species and/or forest communities and integrate it into forest management.</p> <p><u>Performance Measure 5.3</u> Landowner should make practical efforts to promote forest health.</p> <p>Indicator 5.3.1 Landowner should make practical efforts to promote forest health, including prevention, control or response to disturbances such as wild fire, invasive species and other pests, pathogens or unwanted vegetation, to achieve specific management objectives.</p> <p><u>Performance Measure 5.4</u> Where present, forest management activities should maintain or enhance forests of recognized importance.</p> <p>Indicator 5.4.1 Appropriate to the scale and intensity of the situation, forest management activities should incorporate measures to contribute to the conservation of identified forest of recognized importance.</p> <p>Guidance: Landowners or designated representatives who have identified some or all of their forest property as part of a FORI should delineate the area on maps associated with the management plan. Management activities on or adjacent to an identified FORI should seek to contribute to or support the values that led to the designation of the area.</p> <p>For family landowners, a more likely scenario is that their property is adjacent to a state or federally protected area and identified as a FORI at a landscape scale. Landowners should consider the impact to a neighboring FORI and opportunities to support consideration of specific values or attributes when planning and implementing activities</p>

Question	YES / NO*	Reference to scheme documentation
		<p>on their forest property. Given the size and scale of family ownerships eligible for ATFS certification, landowners may be limited in their abilities to significantly impact FORI presence and quality through management at the small scale.</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><u>Performance Measure 4.3</u> When used, prescribed fire <u>shall</u> conform with landowner’s objectives and pre-fire planning.</p> <p>Guidance: In many states the state forestry agency employs a permit system for prescribed burning. Many of these agencies provide training for prescribed burning that is available to landowners and designated representatives. Successful completion of a prescribed burning course is often required before the state forestry agency will issue a burning permit. Many states regulate the amount of open burning that can be conducted on a given day in a county or multi-county zone.</p> <p>Prescribed burning includes controlled burning of piles, windrows and broadcast fire applications.</p> <p>A prescribed burning plan is recommended, which will include: reconnaissance of the burning block, estimates of fuel condition, required weather conditions and adequate means of controlling the fire after it is set. Oral discussion of a burning plan with all of the parties involved, before the burn is started on the property, is acceptable. A written burning plan record is not required by the Standards but may be required by the state agency that regulates open burning in the state.</p> <p>Qualified ATFS inspectors and third-party assessors may verify compliance through interviews with landowners or designated representatives and observing the property. The landowner or designated representatives may have written records to support conformance claims, but is not required to do so. (See Appendix 9)</p>

Question	YES / NO*	Reference to scheme documentation
<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>Standard 3: Reforestation and Afforestation Landowner completes timely restocking of desired species of trees on harvested sites and non-stocked areas where tree growing is consistent with land use practices and the forest owner’s management objectives.</p> <p><u>Performance Measure 3.1</u> Reforestation or afforestation <u>shall</u> be achieved by a suitable process that ensures adequate stocking levels.</p> <p>Indicator 3.1.1 Harvested forest land <u>shall</u> achieve adequate stocking of desired species reflecting the landowner’s objectives, within five years after harvest, or within a time interval as specified by applicable regulation.</p> <p>Guidance: Natural regeneration stocking assessments should account for both softwood and hardwood regeneration and should take place within the normally accepted time frame for local conditions.</p> <p>For reforestation and afforestation, use of native species and local provenances that are well adapted to site conditions is preferred, where appropriate. If nonnative species are selected, landowner should consult or seek guidance from qualified natural resource professionals, such as agencies, academic institutions or professional associations, to ensure that potential negative impacts on the ecosystem and on the genetic integrity of native species and local provenances have been evaluated, and to determine whether negative impacts can be avoided or minimized.</p> <p>Indicator 8.1.3: Landowners should retain appropriate contracts or records for forest product harvests and other management activities to demonstrate conformance to the Standards.</p> <p>Guidance: Landowners or designated representatives should review the Standards before</p>

Question	YES / NO*	Reference to scheme documentation
		<p>planning management activities. When contracting for forestry activities, landowners or designated representatives should specify that appropriate state forestry BMPs must be adhered to.</p> <p>Other contract specifications might include:</p> <ul style="list-style-type: none"> • Protection of special sites or habitats • Adherence to labor laws • Requirements for adequate insurance • Protection of soil and water integrity • Residual tree damage • Forest road maintenance and restoration • Fence and gate protection and/or restoration • Litter control • <u>Hazardous material spill prevention and clean-up</u> <p>Examples of forestry activities requiring review for AFF Standards compliance:</p> <ul style="list-style-type: none"> • Harvest operations including timber and non-timber products • Site preparation and reforestation • Forest road construction and maintenance • Mineral extraction • Hunting and fishing • Invasive species control • Pest management <p>As a general rule, landowners are encouraged to retain contracts or records for management activities for three years.</p>
<p>5.2.8 The use of pesticides shall be minimised and appropriate silvicultural alternatives and other biological</p>	<p>Yes</p>	<p><u>Performance Measure 4.2</u> Landowner shall consider a range of forest management activities to control pests, pathogens and unwanted vegetation.</p>

Question	YES / NO*	Reference to scheme documentation
measures preferred.		<p>Indicator 4.2.1 Landowner should evaluate alternatives to pesticides for the prevention or control of pests, pathogens and unwanted vegetation to achieve specific management objectives.</p> <p>Guidance: Landowners or designated representatives should consult with their state forestry agency or qualified natural resource professional to learn about the range of recommended management techniques for any particular disease, invasive species or pest outbreak on their property. Links to these resources are available at the ATFS website.</p> <p>Integrated pest management (IPM) is an excellent approach to controlling, suppressing or preventing pests and can take many forms. Preventative measures, efforts to improve forest health, or in some other way, protect the property from injurious organisms are often the most practical and effective approaches. Pesticide applications may be used when other control measures are ineffective or impractical.</p> <p>While landowners and designated representatives are urged to take feasible actions to address pests, pathogens and unwanted vegetation, third-party assessors are advised that, in some cases, there may be no feasible options for controlling a pest or outbreak due to severity, scale and timing of onset.</p> <p>Indicator 4.2.2 Pesticides used <u>shall</u> be approved by the Environmental Protection Agency (EPA) and applied, stored and disposed of in accordance with EPA-approved labels and by persons appropriately trained, licensed and supervised.</p>
5.2.9 The WHO Type 1A and 1B pesticides and other highly toxic pesticides shall be prohibited, except where no other	Yes	U.S. EPA regulates pesticide use through the Federal Insecticide, Fungicide and Rodenticide Act (FIFRA). WHO highly toxic pesticides are not approved for forestry uses in the U.S. For more detailed information on FIFRA, go to:

Question	YES / NO*	Reference to scheme documentation
viable alternative is available.		http://www.epa.gov/oecaagct/lfra.html Indicator 4.2.2 Pesticides used <u>shall</u> be approved by the Environmental Protection Agency (EPA) and applied, stored and disposed of in accordance with EPA-approved labels and by persons appropriately trained, licensed and supervised.
5.2.10 Pesticides, such as chlorinated hydrocarbons whose derivatives remain biologically active and accumulate in the food chain beyond their intended use, and any pesticides banned by international agreement, shall be prohibited.	Yes	U.S. EPA regulates pesticide use through the Federal Insecticide, Fungicide and Rodenticide Act (FIFRA). Chlorinated hydrocarbons are not approved for forestry uses in the U.S. For more detailed information on FIFRA, go to: http://www.epa.gov/oecaagct/lfra.html Indicator 4.2.2 Pesticides used <u>shall</u> be approved by the Environmental Protection Agency (EPA) and applied, stored and disposed of in accordance with EPA-approved labels and by persons appropriately trained, licensed and supervised.
5.2.11 The use of pesticides shall follow the instructions given by the pesticide producer and be implemented with proper equipment and training.	Yes	Indicator 4.2.2 Pesticides used <u>shall</u> be approved by the Environmental Protection Agency (EPA) and applied, stored and disposed of in accordance with EPA-approved labels and by persons appropriately trained, licensed and supervised. The AFF provides additional Guidance (Appendix 9) for each Indicator.
5.2.12 Where fertilisers are used, they shall be applied in a controlled manner and with due consideration for the environment.	Yes	The AFF Standards rely on applicable laws and regulations, as well as professional advice from qualified contractors and other qualified natural resource professionals in the application of silvicultural practices, including fertilizers. The applicable provisions of the AFF Standard include:

Question	YES / NO*	Reference to scheme documentation
		<p>Standard 2: Compliance with Laws Forest management activities comply with all relevant federal, state and local laws, regulations and ordinances.</p> <p><u>Performance Measure 2.1</u> Landowner shall comply with all relevant federal, state, county, and municipal laws, regulations, and ordinances governing forest management activities.</p> <p>Indicator 2.1.1 Landowner shall comply with all relevant laws, regulations and ordinances and will correct conditions that led to adverse regulatory actions, if any.</p> <p>Indicator 2.1.2 Landowner should obtain advice from appropriate natural resource professionals, or qualified contractors who are trained in, and familiar with, relevant laws, regulations and ordinances.</p> <p>Performance Measure 4.1 Landowner shall meet or exceed practices prescribed by State Forestry Best Management Practices (BMPs) that are applicable to the property.</p> <p>Indicator 4.1.1 Landowner shall implement specific state forestry BMPs that are applicable to the property.</p>
5.3.1 Forest management planning shall aim to maintain the capability of forests to produce a range of wood and non-wood forest products and services on a sustainable	Yes	<p>AFF 2015-2020 Standard 1: Commitment to Practicing Sustainable Forestry Landowner demonstrates commitment to forest health and sustainability by developing a forest management plan and implementing sustainable practices.</p>

Question	YES / NO*	Reference to scheme documentation
basis.		<p>Indicator 8.2.1 Harvest, utilization, removal and other management activities <u>shall</u> be conducted in compliance with the landowner’s objectives and to maintain the potential of the property to produce forest products and other benefits sustainably.</p> <p>Guidance: The Landowner may monitor harvesting and other activities personally or they may employ someone else to do it for them. Many landowners engage a qualified natural resource professional for this function.</p> <p>If the landowner’s objectives do not specify directives as to harvest, utilization and removals, regional norms and accepted practices are expected.</p> <p>The intent of Performance measure 8.2 is to ensure the maintenance of “the potential of the property to produce forest products and other benefits sustainably” Good planning, utilizing qualified natural resource professionals, engaging competent qualified contractors and using an effective contract go a long way toward this end.</p>
5.3.2 Forest management planning shall aim to achieve sound economic performance taking into account any available market studies and possibilities for new markets and economic activities in connection with all relevant goods and services of forests.	Yes	<p>The American Forest Foundation’s (AFF) 2015-2020 Standards of Sustainability for Forest Certification promote the <u>vitality of renewable forest resources</u> while protecting environmental, economic and social benefits and work to increase public understanding of all benefits of sustainable forestry.</p> <p>Indicator 1.1.1 Management plan <u>shall</u> be active, adaptive, and embody the landowner’s current objectives, remain appropriate for the land certified, and reflect the current state of knowledge about natural resources and sustainable forest management.</p> <p><u>Performance Measure 8.2</u> Landowner shall monitor forest product harvests and other management activities to ensure they conform to their objectives.</p>

Question	YES / NO*	Reference to scheme documentation
		<p>Indicator 8.2.1 Harvest, utilization, removal and other management activities <u>shall</u> be conducted in compliance with the landowner’s objectives and to maintain the potential of the property to produce forest products and other benefits sustainably.</p> <p>Guidance: The Landowner may monitor harvesting and other activities personally or they may employ someone else to do it for them. Many landowners engage a qualified natural resource professional for this function.</p> <p>If the landowner’s objectives do not specify directives as to harvest, utilization and removals, regional norms and accepted practices are expected.</p> <p>The intent of Performance measure 8.2 is to ensure the maintenance of “the potential of the property to produce forest products and other benefits sustainably” Good planning, utilizing qualified natural resource professionals, engaging competent qualified contractors and using an effective contract go a long way toward this end.</p> <p>The ATFS is also promoting Green Buildings and other market opportunities to market certified forest products. See the ATFS website addressing Green Buildings: http://www.treefarmssystem.org/strengthening-markets-for-wood-products</p> <p>The updates to the USFS National Woodland Owner survey are anticipated for public release soon. However, ATFS is working with some interim results that USFS has shared with us, linked here:</p> <p>§ http://www.fs.fed.us/cooperativeforestry/frcc/butler.pdf</p> <p>§ http://www.fs.fed.us/nrs/pubs/inf/nrs_inf_31_15-NWOS-whoowns.pdf</p>

Question	YES / NO*	Reference to scheme documentation
		<p>ATFS is also partnering with USFS and UMass to develop this “Stem the Loss Report” which serves as a comprehensive spatial inventory and analysis of the threats and benefits associated with family owned woodlands in the United States.</p>
<p>5.3.3 Forest management plans or their equivalents shall take into account the different uses or functions of the managed forest area. Forest management planning shall make use of those policy instruments set up to support the production of commercial and non-commercial forest goods and services.</p>	<p>Yes</p>	<p>Indicator 1.1.2 Management plan <u>shall</u> describe current forest conditions, landowner’s objectives, management activities aimed at achieving landowner’s objectives, document a feasible strategy for activity implementation and include a map accurately depicting significant forest-related resources.</p> <p>The forest management plan <u>shall</u> demonstrate consideration of the following resource elements: forest health, soil, water and fiber production, threatened or endangered species, special sites, invasive species and forests of recognized importance. Where present and relevant to the property, the plan <u>shall</u> describe management activities related to these resource elements.</p> <p>Where present, relevant to the property, and consistent with landowner’s objectives, the plan preparer should consider, describe and evaluate the following resource elements: fire, wetlands, desired species, recreation, forest aesthetics, biomass and carbon.</p> <p>Performance Measure 5.4 Where present, forest management activities should maintain or enhance forests of recognized importance.</p> <p>Guidance: Forests of recognized importance (FORI) represent globally, regionally and nationally significant large landscape areas of exceptional ecological, social, cultural or biological values. These forests are evaluated at the landscape level, rather than the stand level and are recognized for a combination of unique values, rather than a single attribute.</p>

Question	YES / NO*	Reference to scheme documentation
		<p>FORIs may include but are not limited to landscapes with exceptionally high concentrations of one or more of the following:</p> <ul style="list-style-type: none"> • protected, rare, sensitive or representative forest ecosystems such as riparian areas and wetland biotopes • areas containing endemic species and critical habitats of multiple threatened or endangered plant and animal species, as identified under the Endangered Species Act (ESA) or other recognized listings • recognized large-scale cultural or archeological sites including sites of human habitation, cities, burial grounds and in situ artifacts • areas containing identified and protected water resources upon which large metropolitan populations are dependent • areas containing identified unique or geological features including geysers, waterfalls, lava beds, caves or craters <p>Eligibility Guidance Language: The ATFS Standards of Sustainability for Certification encompass a broad range of management objectives, considerations and strategies, including management for biodiversity conservation, high conservation value forests, special sites and aesthetics, among others. Acres of contiguous forest parcels that are held under non-regulatory wilderness designation or conservation easement or are mechanically inoperable due to slope or elevation may not be excluded or deducted from certified acreage. (See Appendix 18 addressing Interpretations)</p> <p>Definition of forest products: Goods and materials derived from the forest that are tangible and physical objects of biological origin. Such materials may include, but are not limited to, timber, fuelwood, fibers, biomass, leaves, fruit, grass, fungi, berries, resins, gums, animal parts, water, soil, gravel, stone and other minerals on forest land. In addition, products may also include other quantifiable goods or services including carbon storage or water protection.</p>

Question	YES / NO*	Reference to scheme documentation
<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>Standards Prologue The American Forest Foundation’s (AFF) 2015-2020 Standards of Sustainability for Forest Certification promote the vitality of renewable forest resources while protecting environmental, economic and social benefits and work to increase public understanding of all benefits of sustainable forestry. (See Appendix 9)</p> <p>Performance Measure 8.2 Landowner shall monitor forest product harvests and other management activities to ensure they conform to their objectives.</p> <p>Indicator 8.2.1 Harvest, utilization, removal and other management activities <u>shall</u> be conducted in compliance with the landowner’s objectives and to maintain the potential of the property to produce forest products and other benefits sustainably.</p> <p>Guidance: The Landowner may monitor harvesting and other activities personally or they may employ someone else to do it for them. Many landowners engage a qualified natural resource professional for this function.</p> <p>If the landowner’s objectives do not specify directives as to harvest, utilization and removals, regional norms and accepted practices are expected.</p> <p>The intent of Performance measure 8.2 is to ensure the maintenance of “the potential of the property to produce forest products and other benefits sustainably” Good planning, utilizing qualified natural resource professionals, engaging competent qualified contractors and using an effective contract go a long way toward this end.</p> <p>Definition of forest products: Goods and materials derived from the forest that are tangible and physical objects of biological origin. Such materials may include, but are not limited to, timber, fuelwood, fibers, biomass, leaves, fruit, grass, fungi, berries, resins,</p>

Question	YES / NO*	Reference to scheme documentation
		gums, animal parts, water, soil, gravel, stone and other minerals on forest land. In addition, products may also include other quantifiable goods or services including carbon storage or water protection.
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.	Yes	<p>Standard 3: Reforestation and Afforestation Landowner completes timely restocking of desired species of trees on harvested sites and non-stocked areas where tree growing is consistent with land use practices and the forest owner’s management objectives.</p> <p><u>Performance Measure 3.1</u> Reforestation or afforestation <u>shall</u> be achieved by a suitable process that ensures adequate stocking levels.</p> <p>Indicator 3.1.1 Harvested forest land <u>shall</u> achieve adequate stocking of desired species reflecting the landowner’s objectives, within five years after harvest, or within a time interval as specified by applicable regulation.</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.	Yes	<p>Indicator 1.1.2 Management plan <u>shall</u> describe current forest conditions, landowner’s objectives, management activities aimed at achieving landowner’s objectives, document a feasible strategy for activity implementation and include a map accurately depicting significant forest-related resources.</p> <p>The forest management plan <u>shall</u> demonstrate consideration of the following resource elements: forest health, soil, water and fiber production, threatened or endangered species, special sites, invasive species and forests of recognized importance. Where present and relevant to the property, the plan <u>shall</u> describe management activities related to these resource elements.</p> <p>Where present, relevant to the property, and consistent with landowner’s objectives, the</p>

Question	YES / NO*	Reference to scheme documentation
		<p>plan preparer should consider, describe and evaluate the following resource elements: fire, wetlands, desired species, recreation, forest aesthetics, biomass and carbon.</p> <p>Indicator 8.2.1 Harvest, utilization, removal and other management activities <u>shall</u> be conducted in compliance with the landowner’s objectives and to maintain the potential of the property to produce forest products and other benefits sustainably.</p> <p>Guidance: The Landowner may monitor harvesting and other activities personally or they may employ someone else to do it for them. Many landowners engage a qualified natural resource professional for this function.</p> <p>If the landowner’s objectives do not specify directives as to harvest, utilization and removals, regional norms and accepted practices are expected.</p> <p>The intent of Performance measure 8.2 is to ensure the maintenance of “the potential of the property to produce forest products and other benefits sustainably” Good planning, utilizing qualified natural resource professionals, engaging competent qualified contractors and using an effective contract go a long way toward this end.</p> <p>Definition of forest products: Goods and materials derived from the forest that are tangible and physical objects of biological origin. Such materials may include, but are not limited to, timber, fuelwood, fibers, biomass, leaves, fruit, grass, fungi, berries, resins, gums, animal parts, water, soil, gravel, stone and other minerals on forest land. In addition, products may also include other quantifiable goods or services including carbon storage or water protection.</p> <p>Note that Annual Growth from Individual Forest Owners in the U.S. is nearly twice the rate of removals. A Journal of Forestry article: "Institutional Timberland Ownership in the US South: Magnitude, Location, Dynamics, and Management (Zhang et al., 2012) reports</p>

Question	YES / NO*	Reference to scheme documentation
		<p>growth of 63.3 cubic ft and removals of 34.4 cubic feet for 2009. http://dx.doi/10.5849/jof.12-015</p> <p>(See above 5.1.9)</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>Indicator 1.1.2 Management plan <u>shall</u> describe current forest conditions, landowner’s objectives, management activities aimed at achieving landowner’s objectives, document a feasible strategy for activity implementation and include a map accurately depicting significant forest-related resources.</p> <p>The forest management plan <u>shall</u> demonstrate consideration of the following resource elements: forest health, soil, water and fiber production, threatened or endangered species, special sites, invasive species and forests of recognized importance. Where present and relevant to the property, the plan <u>shall</u> describe management activities related to these resource elements.</p> <p>Where present, relevant to the property, and consistent with landowner’s objectives, the plan preparer should consider, describe and evaluate the following resource elements: fire, wetlands, desired species, recreation, forest aesthetics, biomass and carbon.</p> <p>Performance Measure 5.2 Landowner should address the desired species and/or desired forest communities when conducting forest management activities, if consistent with landowner’s objectives.</p> <p>Indicator 5.2.1 Landowner should consult available and accessible information on management of the forest for desired species and/or forest communities and integrate it into forest management.</p>

Question	YES / NO*	Reference to scheme documentation
		<p>Guidance: Several good sources for desired species management are readily available to the landowner:</p> <ul style="list-style-type: none"> • Nonprofit organizations that focus on the desired species • State and federal agencies that focus on fish and game species • Extension Service publications <p>Please consult the resource pages on the ATFS website for additional information on desired species management.</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>Standard 4: Air, Water, and Soil Protection Forest management practices maintain or enhance the environment and ecosystems, including air, water, and soil and site quality.</p> <p>Performance Measure 4.1 Landowner shall meet or exceed practices prescribed by State Forestry Best Management Practices (BMPs) that are applicable to the property.</p> <p>Indicator 4.1.1 Landowner shall implement specific state forestry BMPs that are applicable to the property.</p> <p>Guidance: When planning management activities that will cause any soil disturbance or require chemical application, the BMP manual for the state in which the property is located should be consulted and applicable BMP methods employed.</p> <p>Examples of activities requiring BMP application:</p> <ul style="list-style-type: none"> • Harvest planning – including block design, haul roads, skidder trails, stream crossings and truck-loading areas • Reforestation design – mechanical or chemical site preparation, machine or hand planting • Construction of new roads and maintenance of existing roads

Question	YES / NO*	Reference to scheme documentation
		<ul style="list-style-type: none"> • Prescribed burning plans – fire lane construction, smoke management, agency notification <p>No field evidence of BMP implementation is to be expected where no management activity has occurred. However, if the property shows evidence of water quality impairment originating on the property, that is not caused by the landowner’s or designated representative’s actions, the landowner is strongly encouraged to have plans for remediation.</p> <p>Examples:</p> <ul style="list-style-type: none"> • Landowner purchases a tract with a forest road that is eroding soil into a water body. • ATV riders are trespassing on the property and are crossing a stream causing the banks to erode • Garbage is being dumped on the property near a stream crossing and some of it is getting into the stream during high-water conditions • Storm damage has impaired the performance of road culverts <p>Some BMPs, such as those that are guidelines to enhance a desired species, should only apply where relevant to the property.</p> <p>Indicator 8.2.1 Harvest, utilization, removal and other management activities <u>shall</u> be conducted in compliance with the landowner’s objectives and to maintain the potential of the property to produce forest products and other benefits sustainably.</p> <p>In addition, issues such as infrastructure including roads, skid tracks and bridges are covered in State-specific Best Management Practices, and adherence to them is a requirement of this Standard. (Links to State BMPs are contained in Appendix 14)</p>
<p>Criterion 4: Maintenance, conservation and appropriate enhancement of biological diversity in forest ecosystems</p>		

Question	YES / NO*	Reference to scheme documentation
<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>Standard 5: Fish, Wildlife and Biodiversity Forest management activities contribute to the conservation of biodiversity.</p> <p><u>Performance Measure 5.1</u> Forest management activities <u>shall</u> protect habitats and communities occupied by threatened or endangered species as required by law.</p> <p>Indicator 5.1.1 Landowner <u>shall</u> confer with natural resource agencies, state natural resource heritage programs, qualified natural resource professionals or review other sources of information to determine occurrences of threatened or endangered species on the property and their habitat requirements.</p> <p>Indicator 5.4.1 Appropriate to the scale and intensity of the situation, forest management activities should incorporate measures to contribute to the conservation of identified forest of recognized importance.</p> <p>Guidance: Landowners or designated representatives who have identified some or all of their forest property as part of a FORI should delineate the area on maps associated with the management plan. Management activities on or adjacent to an identified FORI should seek to contribute to or support the values that led to the designation of the area.</p> <p>For family landowners, a more likely scenario is that their property is adjacent to a state or federally protected area and identified as a FORI at a landscape scale. Landowners should consider the impact to a neighboring FORI and opportunities to support consideration of specific values or attributes when planning and implementing activities on their forest property. Given the size and scale of family ownerships eligible for ATFS certification, landowners may be limited in their abilities to significantly impact FORI presence and quality through management at the small scale.</p>

Question	YES / NO*	Reference to scheme documentation
<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> <ul style="list-style-type: none"> a) protected, rare, sensitive or representative forest ecosystems such as riparian areas and wetland biotopes; b) areas containing endemic species and habitats of threatened species, as defined in recognised reference lists; c) endangered or protected genetic <i>in situ</i> resources; <p>and taking into account</p> <ul style="list-style-type: none"> d) globally, regionally and nationally significant large landscape areas with natural distribution and abundance of naturally occurring species. 	<p>Yes</p>	<p>Indicator 1.1.2 Management plan <u>shall</u> describe current forest conditions, landowner’s objectives, management activities aimed at achieving landowner’s objectives, document a feasible strategy for activity implementation and include a map accurately depicting significant forest-related resources.</p> <p>The forest management plan <u>shall</u> demonstrate consideration of the following resource elements: forest health, soil, water and fiber production, threatened or endangered species, special sites, invasive species and forests of recognized importance. Where present and relevant to the property, the plan <u>shall</u> describe management activities related to these resource elements.</p> <p>Indicator 5.1.2 Forest management activities <u>shall</u> incorporate measures to protect identified threatened or endangered species on the property.</p> <p><u>Performance Measure 5.2</u> Landowner should address the desired species and/or desired forest communities when conducting forest management activities, if consistent with landowner’s objectives.</p> <p>Indicator 5.2.1 Landowner should consult available and accessible information on management of the forest for desired species and/or forest communities and integrate it into forest management.</p> <p><u>Performance Measure 5.3</u> Landowner should make practical efforts to promote forest health.</p> <p>Indicator 5.3.1</p>

Question	YES / NO*	Reference to scheme documentation
		<p>Landowner should make practical efforts to promote forest health, including prevention, control or response to disturbances such as wild fire, invasive species and other pests, pathogens or unwanted vegetation, to achieve specific management objectives.</p> <p>Performance Measure 5.4 Where present, forest management activities should maintain or enhance forests of recognized importance.</p> <p>Guidance: Forests of recognized importance (FORI) represent globally, regionally and nationally significant large landscape areas of exceptional ecological, social, cultural or biological values. These forests are evaluated at the landscape level, rather than the stand level and are recognized for a combination of unique values, rather than a single attribute. FORIs may include but are not limited to landscapes with exceptionally high concentrations of one or more of the following:</p> <ul style="list-style-type: none"> • protected, rare, sensitive or representative forest ecosystems such as riparian areas and wetland biotopes • areas containing endemic species and critical habitats of multiple threatened or endangered plant and animal species, as identified under the Endangered Species Act (ESA) or other recognized listings • recognized large-scale cultural or archeological sites including sites of human habitation, cities, burial grounds and in situ artifacts • areas containing identified and protected water resources upon which large metropolitan populations are dependent • areas containing identified unique or geological features including geysers, waterfalls, lava beds, caves or craters <p>Standard 7: Protect Special Sites Special sites are managed in ways that recognize their unique historical, archaeological, cultural, geological, biological or ecological characteristics.</p>

Question	YES / NO*	Reference to scheme documentation
		<p><u>Performance Measure 7.1</u> Forest management activities <u>shall</u> consider and maintain any special sites relevant on the property.</p> <p>(See above 5.4.2)</p>
<p>5.4.3 Protected and endangered plant and animal species shall not be exploited for commercial purposes. Where necessary, measures shall be taken for their protection and, where relevant, to increase their population.</p>	<p>Yes</p>	<p>Standard 2: Compliance with Laws Forest management activities comply with all relevant federal, state and local laws, regulations and ordinances.</p> <p><u>Performance Measure 2.1</u> Landowner shall comply with all relevant federal, state, county, and municipal laws, regulations, and ordinances governing forest management activities.</p> <p>Indicator 2.1.1 Landowner shall comply with all relevant laws, regulations and ordinances and will correct conditions that led to adverse regulatory actions, if any.</p> <p>Guidance: It is recommended that landowners employ the maxim “When in doubt, ask”. Common forest management activities that are regulated in many states include: state and federally protected species and their habitat, prescribed burning, herbicide and insecticide application, harvesting, road building, pond construction and stream crossings.</p> <p>Excellent professional resources are available to the Landowner at local natural resource agency offices. Please consult the resource pages for forest owners, on the ATFS website, for additional help on relevant federal and state laws and regulations.</p> <p>Compliance with all relevant (applicable) laws can be verified in a three-tiered process:</p>

Question	YES / NO*	Reference to scheme documentation
		<p>Step 1 – Observation of conditions on the subject property Step 2 – The landowner’s own verbal or written claim of legal compliance Step 3 – Research with the state Department of Natural Resources, local Natural Resource Conservation Service office or State Forestry Commission offices. If Step 1 and Step 2 do not raise any issues, then the inspector or auditor is not required to employ Step 3.</p> <p>Guidance: Full legal compliance to relevant laws, regulations and ordinances is the intent of the Standard. Mistakes may occur in carrying out forest management activities. Forest owners shall be committed to correcting inadvertent violations. A pattern of willful violation of relevant laws, regulations or ordinances is not acceptable.</p> <p>If there is evidence of past non-conformance (see Guidance for 2.1), then the landowner shall show proof of a good-faith effort to remedy the non-conformance. If the matter is tied up in court, then the landowner is only disqualified when a final adverse judgment is rendered AND the landowner refuses to comply with the ruling.</p> <p><u>Performance Measure 5.1</u> Forest management activities <u>shall</u> protect habitats and communities occupied by threatened or endangered species as required by law.</p> <p>Indicator 5.1.1 Landowner <u>shall</u> confer with natural resource agencies, state natural resource heritage programs, qualified natural resource professionals or review other sources of information to determine occurrences of threatened or endangered species on the property and their habitat requirements.</p> <p>Indicator 5.1.2 Forest management activities shall incorporate measures to protect identified threatened or endangered species on the property.</p>

Question	YES / NO*	Reference to scheme documentation
		<p><u>Performance Measure 5.4</u> Where present, forest management activities should maintain or enhance forests of recognized importance.</p> <p>Indicator 5.4.1 Appropriate to the scale and intensity of the situation, forest management activities should incorporate measures to contribute to the conservation of identified forest of recognized importance.</p>
<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>Standard 3: Reforestation and Afforestation Landowner completes timely restocking of desired species of trees on harvested sites and non-stocked areas where tree growing is consistent with land use practices and the forest owner’s management objectives.</p> <p><u>Performance Measure 3.1</u> Reforestation or afforestation <u>shall</u> be achieved by a suitable process that ensures adequate stocking levels.</p> <p>Indicator 3.1.1 Harvested forest land <u>shall</u> achieve adequate stocking of desired species reflecting the landowner’s objectives, within five years after harvest, or within a time interval as specified by applicable regulation.</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</p>	<p>Yes</p>	<p>Standard 3: Reforestation and Afforestation Landowner completes timely restocking of desired species of trees on harvested sites and non-stocked areas where tree growing is consistent with land use practices and the forest owner’s management objectives.</p> <p>Performance Measure 3.1</p>

Question	YES / NO*	Reference to scheme documentation
<p>evaluated, and if negative impacts can be avoided or minimised.</p>		<p>Reforestation or afforestation shall be achieved by a suitable process that ensures adequate stocking levels.</p> <p>Indicator 3.1.1 Harvested forest land <u>shall</u> achieve adequate stocking of desired species reflecting the landowner’s objectives, within five years after harvest, or within a time interval as specified by applicable regulation.</p> <p>Guidance: The landowner or designated representative should ask his or her qualified natural resource professional or check with the state agency responsible for forestry assistance to find out if there is a reforestation law in place, and if so, to ensure compliance with it.</p> <p>Federal and state reforestation programs may provide guidance regarding adequate stocking levels that landowners may utilize as a reference to support management. However, certain wildlife habitat management regimes may favor lower stocking rates than the cost-share program or silvicultural guidelines do. Therefore, it is important to make sure the chosen guidelines fit the forest conditions and are consistent with landowner objectives.</p> <p>Natural regeneration stocking assessments should account for both softwood and hardwood regeneration and should take place within the normally accepted time frame for local conditions.</p> <p>For reforestation and afforestation, use of native species and local provenances that are well-adapted to site conditions is preferred, where appropriate. If nonnative species are selected, landowner should consult or seek guidance from qualified natural resource professionals, such as agencies, academic institutions or professional associations, to ensure that potential negative impacts on the ecosystem and on the genetic integrity of native species and local provenances have been evaluated, and to determine whether</p>

Question	YES / NO*	Reference to scheme documentation
		<p>negative impacts can be avoided or minimized.</p> <p>Please refer to the ATFS website for further stocking guide resources. Public Audit Summary Reports document successful reforestation activities. (See Appendix 11.)</p> <p>(See above 5.4.4)</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>The AFF requirements addressing reforestation and afforestation ensure the improvement of ecological connectivity. (See above 5.4.4)</p>
<p>5.4.7 Genetically-modified trees shall not be used.</p>	<p>Yes</p>	<p>No species used in the production of wood products in the U.S. has been approved for commercial use by government regulatory agencies. This was confirmed through searching the Animal and Plant Health Inspection Service (APHIS) database for the U.S. (http://www.aphis.usda.gov/)</p> <p>An additional review of the FAO assessment of biotechnology in forestry revealed that there are no approved GMOs in the United States: http://www.fao.org/docrep/008/ae574e/AE574E07.htm.</p>
<p>5.4.8 Forest management practices shall, where appropriate, promote a diversity of both horizontal and vertical structures such as uneven-aged stands and the diversity of species such as mixed stands. Where appropriate, the practices shall also aim to maintain and restore landscape diversity.</p>	<p>Yes</p>	<p>The relatively small size, large number and diversity of forest landowner objectives in the U.S. ensures that a wide diversity of habitat types, age classes and stand structures are present across the landscape. The AFF Standard promotes such diversity in a number of ways including:</p> <p>Standard 8: Forest Product Harvests and Other Activities Forest product harvests and other management activities are conducted in accordance with the management plan and consider other forest values.</p> <p><u>Performance Measure 8.1</u> Landowner should use qualified natural resource professionals and qualified contractors</p>

Question	YES / NO*	Reference to scheme documentation
		<p>when contracting for services.</p> <p>Indicator 8.1.1 Landowner should seek qualified natural resource professionals and qualified contractors.</p> <p>Indicator 8.2.1 Harvest, utilization, removal and other management activities <u>shall</u> be conducted in compliance with the landowner’s objectives and to maintain the potential of the property to produce forest products and other benefits sustainably.</p> <p>Guidance: The Landowner may monitor harvesting and other activities personally or they may employ someone else to do it for them. Many landowners engage a qualified natural resource professional for this function.</p> <p>If the landowner’s objectives do not specify directives as to harvest, utilization and removals, regional norms and accepted practices are expected.</p> <p>The intent of Performance measure 8.2 is to ensure the maintenance of “the potential of the property to produce forest products and other benefits sustainably” Good planning, utilizing qualified natural resource professionals, engaging competent qualified contractors and using an effective contract go a long way toward this end.</p> <p><u>Performance Measure 5.2</u> Landowner should address the desired species and/or desired forest communities when conducting forest management activities, if consistent with landowner’s objectives.</p> <p>Indicator 5.2.1 Landowner should consult available and accessible information on management of the forest for desired species and/or forest communities and integrate it into forest management.</p>

Question	YES / NO*	Reference to scheme documentation
		(See AFF Standards Guidance in Appendix 9 addressing Sections 5.4, 5.4.1, 6.1.1, and 8.2.1)
<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>The AFF Standard encourages landowners to recognize special sites and high conservation value forests and manage them for their unique characteristics and qualities.</p> <p>Indicator 5.4.1 Appropriate to the scale and intensity of the situation, forest management activities should incorporate measures to contribute to the conservation of identified forest of recognized importance.</p> <p>Guidance: Landowners or designated representatives who have identified some or all of their forest property as part of a FORI should delineate the area on maps associated with the management plan. Management activities on or adjacent to an identified FORI should seek to contribute to or support the values that led to the designation of the area.</p> <p>For family landowners, a more likely scenario is that their property is adjacent to a state or federally protected area and identified as a FORI at a landscape scale. Landowners should consider the impact to a neighboring FORI and opportunities to support consideration of specific values or attributes when planning and implementing activities on their forest property. Given the size and scale of family ownerships eligible for ATFS certification, landowners may be limited in their abilities to significantly impact FORI presence and quality through management at the small scale.</p> <p>Standard 7: Protect Special Sites Special sites are managed in ways that recognize their unique historical, archaeological, cultural, geological, biological or ecological characteristics.</p> <p><u>Performance Measure 7.1</u></p>

Question	YES / NO*	Reference to scheme documentation
		<p>Forest management activities <u>shall</u> consider and maintain any special sites relevant on the property.</p> <p>Indicator 7.1.1 Landowner shall make a reasonable effort to locate and protect special sites appropriate for the size of the forest and the scale and intensity of forest management are encouraged.</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>The AFF Standards promote sound forest management practices that are designed to improve protection of high conservation value forests.</p> <p><u>Performance Measure 5.4</u> Where present, forest management activities should maintain or enhance forests of recognized importance.</p> <p>Indicator 5.4.1 Appropriate to the scale and intensity of the situation, forest management activities should incorporate measures to contribute to the conservation of identified forest of recognized importance.</p> <p>(See above 5.4.9)</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>Standard 4: Air, Water, and Soil Protection Forest management practices maintain or enhance the environment and ecosystems, including air, water, soil and site quality.</p> <p>Performance Measure 4.1 Landowner shall meet or exceed practices prescribed by State Forestry Best Management Practices (BMPs) that are applicable to the property.</p> <p>Indicator 4.1.1 Landowner shall implement specific state forestry BMPs that are applicable to the</p>

Question	YES / NO*	Reference to scheme documentation
		<p>property.</p> <p>Indicator 4.1.2 Landowner shall minimize road construction and other disturbances within riparian zones and wetlands.</p>
<p>5.4.12 With due regard to management objectives, measures shall be taken to balance the pressure of animal populations and grazing on forest regeneration and growth as well as on biodiversity.</p>	<p>Yes</p>	<p>Indicator 8.2.1 Harvest, utilization, removal and other management activities <u>shall</u> be conducted in compliance with the landowner’s objectives and to maintain the potential of the property to produce forest products and other benefits sustainably.</p> <p>(See Appendix 9 Guidance including Section 8.1.3)</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>Standard 7: Protect Special Sites Special sites are managed in ways that recognize their unique historical, archaeological, cultural, geological, biological or ecological characteristics.</p> <p><u>Performance Measure 7.1</u> Forest management activities <u>shall</u> consider and maintain any special sites relevant on the property.</p> <p>Indicator 7.1.1 Landowner shall make a reasonable effort to locate and protect special sites appropriate for the size of the forest and the scale and intensity of forest management activities.</p> <p>Guidance: Special sites of biological and geological significance may be identified through consultation undertaken related to the identification of FORIs and threatened or endangered species and communities (Standard 5).</p> <p>Landowners or designated representatives shall identify special sites on management</p>

Question	YES / NO*	Reference to scheme documentation
		<p>plan maps and, where appropriate, on the ground. However, some landowners may choose not to identify some special sites on a map or on the ground in an effort to protect these sites from vandalism or overuse.</p> <p>Landowners or designated representatives shall make efforts to protect any known special sites especially during forest management activities. These efforts may include creating a vegetation buffer, fencing the area or otherwise distinguishing it from surrounding areas. Because special sites are often in the ground, measures may be taken to control erosion and limit soil disturbance. Landowners and designated representatives are advised to review their special sites map and protection plan with qualified natural resource professionals and qualified contractors assisting in forest management activities. After harvests, landowners and designated representatives are encouraged to follow up to ensure adequate protection.</p> <p>Additional information and guidance about special sites are available at the ATFS website at https://www.treefarmssystem.org/special-sites.</p> <p>Examples: American Indian burial sites, historical building ruins, old cemeteries, cave entrances, spring heads, vernal pools, rare mineral outcroppings, Civil War battle ground, a champion tree, a bear’s den, a pitcher plant bog, a covered bridge, glades, moraines or fish spawning grounds.</p> <p>Qualified ATFS inspectors and third-party assessors may verify for conformance by interviewing the Landowner or qualified natural resource professional for awareness, reviewing planning documents and associated operating records, and by observing the property.</p> <p>Standard 5: Fish, Wildlife and Biodiversity Forest management activities contribute to the conservation of biodiversity.</p>

Question	YES / NO*	Reference to scheme documentation
		<p><u>Performance Measure 5.1</u> Forest management activities <u>shall</u> maintain or enhance habitat for threatened or endangered communities and species.</p> <p>Indicator 5.1.1 Landowner <u>shall</u> confer with natural resource agencies, state natural resource heritage programs, qualified natural resource professionals or review other sources of information to determine occurrences of threatened or endangered species on the property and their habitat requirements.</p>
<p>Criterion 5: Maintenance and appropriate enhancement of protective functions in forest management (notably soil and water)</p>		
<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><i>Indicator 1.1.1</i> Management plan shall be active, adaptive and embody the landowner’s current objectives, remain appropriate for the land certified and reflect the current state of knowledge about natural resources and sustainable forest management.</p> <p>Guidance: Forestry involves dealing with dynamic natural systems and some accommodations may be necessary for natural events such as fires, flooding or wind damage, as well as the landowners’ personal circumstances. To respond to such events, management plans must be active and adaptive in nature, as indicated in Indicator 1.1.1.</p> <p>Standard 4: Air, Water, and Soil Protection Forest management practices maintain or enhance the environment and ecosystems, including air, water, soil and site quality.</p> <p><u>Performance Measure 4.1</u> Landowner shall meet or exceed practices prescribed by State Forestry Best Management Practices (BMPs) that are applicable to the property.</p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>Indicator 4.1.1</i> Landowner shall implement specific state forestry BMPs that are applicable to the property.</p> <p>Guidance: When planning management activities that will cause any soil disturbance or require chemical application, the BMP manual for the state in which the property is located should be consulted and applicable BMP methods employed.</p> <p>Examples of activities requiring BMP application:</p> <ul style="list-style-type: none"> • Harvest planning – including block design, haul roads, skidder trails, stream crossings and truck-loading areas • Reforestation design – mechanical or chemical site preparation, machine or hand planting • Construction of new roads and maintenance of existing roads • Prescribed burning plans – fire lane construction, smoke management, agency notification <p>No field evidence of BMP implementation is to be expected where no management activity has occurred. However, if the property shows evidence of water quality impairment originating on the property, that is not caused by the landowner’s or designated representative’s actions, the landowner is strongly encouraged to have plans for remediation.</p> <p>Examples:</p> <ul style="list-style-type: none"> • Landowner purchases a tract with a forest road that is eroding soil into a water body. • ATV riders are trespassing on the property and are crossing a stream causing the banks to erode • Garbage is being dumped on the property near a stream crossing and some of it is getting into the stream during high-water conditions • Storm damage has impaired the performance of road culverts

Question	YES / NO*	Reference to scheme documentation
		<p>Some BMPs, such as those that are guidelines to enhance a desired species, should only apply where relevant to the property.</p> <p>Indicator 4.1.2 Landowner shall minimize road construction and other disturbances within riparian zones and wetlands.</p> <p>The AFF Standard requires and relies on State BMPs to ensure protection of soil, water quality, riparian areas and other environmental resources. (See Appendix 14 Link to State level BMPS)</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>Performance Measure 5.4 Where present, forest management activities should maintain or enhance forests of recognized importance.</p> <p>Guidance: Forests of recognized importance (FORI) represent globally, regionally and nationally significant large landscape areas of exceptional ecological, social, cultural or biological values. These forests are evaluated at the landscape level, rather than the stand level and are recognized for a combination of unique values, rather than a single attribute. FORIs may include but are not limited to landscapes with exceptionally high concentrations of one or more of the following:</p> <ul style="list-style-type: none"> • protected, rare, sensitive or representative forest ecosystems such as riparian areas and wetland biotopes • areas containing endemic species and critical habitats of multiple threatened or endangered plant and animal species, as identified under the Endangered Species Act (ESA) or other recognized listings • recognized large-scale cultural or archeological sites including sites of human habitation, cities, burial grounds and in situ artifacts

Question	YES / NO*	Reference to scheme documentation
		<ul style="list-style-type: none"> • areas containing identified and protected water resources upon which large metropolitan populations are dependent • areas containing identified unique or geological features including geysers, waterfalls, lava beds, caves or craters <p>Standard 7: Protect Special Sites Special sites are managed in ways that recognize their unique historical, archaeological, cultural, geological, biological or ecological characteristics.</p> <p><u>Performance Measure 7.1</u> Forest management activities <u>shall</u> consider and maintain any special sites relevant on the property.</p> <p>Indicator 7.1.1 Landowner shall make a reasonable effort to locate and protect special sites appropriate for the size of the forest and the scale and intensity of forest management activities.</p> <p>Guidance: Special sites of biological and geological significance may be identified through consultation undertaken related to the identification of FORIs and threatened or endangered species and communities (Standard 5).</p> <p>Landowners or designated representatives shall identify special sites on management plan maps and, where appropriate, on the ground. However, some landowners may choose not to identify some special sites on a map or on the ground in an effort to protect these sites from vandalism or overuse.</p> <p>Landowners or designated representatives shall make efforts to protect any known special sites especially during forest management activities. These efforts may include creating a vegetation buffer, fencing the area or otherwise distinguishing it from surrounding areas. Because special sites are often in the ground, measures may be taken</p>

Question	YES / NO*	Reference to scheme documentation
		<p>to control erosion and limit soil disturbance. Landowners and designated representatives are advised to review their special sites map and protection plan with qualified natural resource professionals and qualified contractors assisting in forest management activities. After harvests, landowners and designated representatives are encouraged to follow up to ensure adequate protection.</p> <p>Additional information and guidance about special sites are available at the ATFS website at https://www.treefarmssystem.org/special-sites.</p> <p>Examples: American Indian burial sites, historical building ruins, old cemeteries, cave entrances, spring heads, vernal pools, rare mineral outcroppings, Civil War battle ground, a champion tree, a bear’s den, a pitcher plant bog, a covered bridge, glades, moraines or fish spawning grounds.</p> <p>Qualified ATFS inspectors and third-party assessors may verify for conformance by interviewing the Landowner or qualified natural resource professional for awareness, reviewing planning documents and associated operating records, and by observing the property.</p> <p>Standard 8: Forest Product Harvests and Other Activities Forest product harvests and other management activities are conducted in accordance with the landowner’s objectives and consider other forest values.</p> <p><u>Performance Measure 8.1</u> Landowner should use qualified natural resource professionals and qualified contractors when contracting for services.</p> <p>(See AFF Standard Guidance in Appendix 9 including Sections 1.1.2, 7.1.1)</p>

Question	YES / NO*	Reference to scheme documentation
<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>The AFF Standards rely on State level Best Management Practices for the protection of soils, water quality, wetlands and other stream courses. See the Link to State BMPS Program in Appendix 14.</p> <p>(See above 5.5.1., 5.5.2)</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 shall be avoided.</p>	<p>Yes</p>	<p>The AFF Standards tier to State level Best Management Practices for the protection of soils, water quality, wetlands and other stream courses. See the Link to State BMPS Program in Appendix 14.</p> <p>(See above 5.5.1., 5.5.2)</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>The AFF Standards tier to State level Best Management Practices for the protection of soils, water quality, wetlands and other stream courses. BMPs are designed to address local conditions and provide adequate protection to meet State Water Quality Regulations.</p> <p>(See the Link to State BMPS Program in Appendix 14).</p> <p>Where water quality has been determined to be impaired by non-point silvicultural activities, States designate Total Maximum Daily Loads (TMDLs).</p> <p>According to the federal requirements and proposals, this could involve permits, written silvicultural plans, plan reviews, Best Management Practices (BMP) auditing and monitoring of every forestry operation within the watershed of a listed stream for a period of 5 years or until the stream is evaluated again during the River Basin cycle and is either de-listed or kept on the list for another 5 years. Once the plan is developed, it shall be submitted to the U.S. Environmental Protection Agency (EPA) and put out for public</p>

Question	YES / NO*	Reference to scheme documentation
		<p>comment. The plan shall be approved by the federal court and, if approved, becomes law.</p> <p>An example of the TMDL process for the State of Georgia is contained on the Georgia Forestry Commission website: http://www.gfc.state.ga.us/forest-management/water-quality/tmdls/</p> <p>The U.S. Army Corps of Engineers mandates additional Federally enforced BMPs for road construction in wetland areas on private lands.</p> <p>The following 15 BMP's shall be implemented in order to qualify for the silvicultural exemption from a federal section 404 permit when building a temporary or permanent road or skid trail in a wetland (33 CFR part 323.4). The silvicultural exemption is only applicable when the primary purpose of the road is for normal silvicultural purposes. This listing is an attempt to explain the 15 BMP's in lay language. The exact language of the law may be obtained by contacting the Army Corps of Engineers.</p> <ol style="list-style-type: none"> 1. Limit the number, length and width of roads and skid trails to the minimum necessary to accomplish the landowner's objective. 2. Locate roads outside riparian management zones except at stream crossings. For more information, see the section on Riparian Management Zones and Ephemeral Streams. (Examples provided for the State of Indiana) 3. Road fill shall be bridged, culverted, or otherwise designed to prevent restriction of expected flood flows. 4. Properly stabilize and maintain road fill during and after road construction to prevent erosion. 5. While building a road with fill material, minimize the use of road construction equipment in the wetland area that lies outside the boundaries of the road fill. 6. Minimize disturbance of vegetation while designing, constructing and maintaining roads. 7. Correctly design, construct and maintain wetland road crossings to avoid

Question	YES / NO*	Reference to scheme documentation
		<p>disrupting the migration or movement of fish and other aquatic life.</p> <ol style="list-style-type: none"> 8. Use fill from upland sources whenever feasible. 9. Place fill in a way that does not take or jeopardize the continued existence of a threatened or endangered species (as defined under the Endangered Species Act) or adversely modify or destroy the critical habitat of such species. 10. Avoid placing fill in breeding and nesting areas for migratory waterfowl, in spawning areas and in wetlands if practical alternatives exist. 11. Fill shall not be placed near a public water supply intake, 12. Fill shall not be placed in areas of concentrated shellfish production. 13. Fill shall not be placed in water bodies or on land regarded as part of the National Wild and Scenic River System. 14. Use fill free from toxic pollutants in toxic amounts. 15. Completely remove all temporary fills and restore the area to its original elevation.
Criterion 6: Maintenance of other socio-economic functions and conditions		
<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>There are several forest management planning requirements in the AFF standards already outlined in response to previous requirements. This requirement, like many before it, is well-suited to government functions in terms of maintaining the multiple functions of forests to society. For small private landowners, it is through BMPs developed by State agencies and the US regulatory framework that provides the assurance that air, water, soil, and other functions of the forest that are of importance to society are maintained. The AFF Standards require adherence to BMPs and associated water quality laws and standards. (See Appendix 14)</p> <p>AFF has also prepared Management Plan Templates that provide additional guidance to landowners as they develop and update their management plans. These templates address many of the social and multiple functions of forests and the socio-economic role</p>

Question	YES / NO*	Reference to scheme documentation
		<p>that good forest management plays. (See Appendix 13)</p> <p>The AFF website contains additional information for landowners regarding the role of forestry in rural development, new economic opportunities and the socio-economic functions of the forest. The AFF website promotes certification as a way to market forest products as sustainably managed. Other initiatives involving Green Buildings, biomass feedstocks and other non-timber forest products. http://www.treefarmssystem.org/policypriorities</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><u>Performance Measure 1.1</u> Landowner shall have and implement a written forest management plan consistent with the size of the forest and the scale and intensity of the forest activities.</p> <p><u>Indicator 1.1.2</u> Management plan <u>shall</u> describe current forest conditions, landowner’s objectives, management activities aimed at achieving landowner’s objectives, document a feasible strategy for activity implementation and include a map accurately depicting significant forest-related resources.</p> <p>The forest management plan <u>shall</u> demonstrate consideration of the following resource elements: forest health, soil, water and fiber production, threatened or endangered species, special sites, invasive species and forests of recognized importance. Where present and relevant to the property, the plan <u>shall</u> describe management activities related to these resource elements.</p> <p>Where present, relevant to the property, and consistent with landowner’s objectives, the plan preparer should consider, describe and evaluate the following resource elements: fire, wetlands, desired species, recreation, forest aesthetics, biomass and carbon.</p>

Question	YES / NO*	Reference to scheme documentation
<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>Property rights and land tenure is well defined in the United States and within the AFF Standards. A Landowner is defined as: "landowner – Entity that holds title to the property to be certified." (See Appendix 1)</p> <p>Ownership and control rights are further defined in the AFF Interpretations: (Eligibility Guidance Language: If a landowner retains control and decision-making authority over the forest management, in accordance with their objectives, as reflected in their management plan, the land may be certified to that landowner. Lessees may not certify leased lands to the ATFS Standard." (See Appendix 18)</p> <p>The AFF Disputes and Appeals Procedure also addresses opportunities for legal rights to be documented and appealed: "4.6) All parties, including American Indian Tribes, shall have access to formal legal mechanisms to resolve disputes over landownership, tenure and use rights through applicable US federal law." (See Appendix 6)</p> <p>Additional land ownership requirements are outlined in the Eligibility Requirements and Guidance in Appendix 12: "Landowner Requirements for ATFS Certification Landowner requirements may be delegated to a land manager; a land manager may implement the requirements of the program on behalf of the landowner. However, landowners shall be engaged in the decision to pursue certification. Ownership shall be privately held or held by a public entity. Properties shall be non-industrial but may be associated with small local business."</p> <p><u>Performance Measure 1.1</u> Landowner shall have and implement a written forest management plan consistent with the size of the forest and the scale and intensity of the forest activities.</p> <p><u>Indicator 1.1.1</u> Management plan <u>shall</u> be active, adaptive, and embody the landowner’s current objectives, remain appropriate for the land certified, and reflect the current state of</p>

Question	YES / NO*	Reference to scheme documentation
		<p>knowledge about natural resources and sustainable forest management.</p> <p>Indicator 1.1.2 Management plan <u>shall</u> describe current forest conditions, landowner’s objectives, management activities aimed at achieving landowner’s objectives, document a feasible strategy for activity implementation and include a map accurately depicting significant forest-related resources.</p> <p>The forest management plan <u>shall</u> demonstrate consideration of the following resource elements: forest health, soil, water and fiber production, threatened or endangered species, special sites, invasive species and forests of recognized importance. Where present and relevant to the property, the plan <u>shall</u> describe management activities related to these resource elements.</p> <p>Where present, relevant to the property, and consistent with landowner’s objectives, the plan preparer should consider, describe and evaluate the following resource elements: fire, wetlands, desired species, recreation, forest aesthetics, biomass and carbon.</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</p>	<p>Yes</p>	<p>The AFF Standards address recognition of rights and other social issues in the Standard and Guidance contained in Appendix 9.</p> <p>Indicator 8.1.2* Landowner should engage qualified contractors who carry appropriate insurance and comply with appropriate federal, state and local safety and fair labor rules, regulations and standard practices1.</p> <p>1 Auditors shall consider any complaints alleging violation of fair labor rules filed by workers or organized labor since the previous third-party certification audit. The auditor shall not take action on any labor issues pending in a formal grievance process or before Federal, State or local agencies or the courts, however, until those processes are</p>

Question	YES / NO*	Reference to scheme documentation
<p>the processes and roles and responsibilities laid out in the policies and laws where the certification takes place.</p>		<p>completed. Absent a record of documented complaints or non-compliances, contractors and managers are assumed to be in compliance with this indicator.</p> <p>Guidance: Landowners and designated representatives are encouraged to stipulate that contractors must be in compliance with all relevant laws and regulations. A qualified natural resource professional can help with this process.</p> <p>Landowners are encouraged to discuss liability issues with their insurance agent and their attorney to gain a perspective on appropriate insurance minimums that they might require of contractors.</p> <p>Indicator 8.1.3 Landowners should retain appropriate contracts or records for forest product harvests and other management activities to demonstrate conformance to the Standards.</p> <p>Guidance: Landowners or designated representatives should review the Standards before planning management activities. When contracting for forestry activities, landowners or designated representatives should specify that appropriate state forestry BMPs must be adhered to.</p> <p>Other contract specifications might include:</p> <ul style="list-style-type: none"> • Protection of special sites or habitats • Adherence to labor laws • Requirements for adequate insurance • Protection of soil and water integrity • Residual tree damage • Forest road maintenance and restoration • Fence and gate protection and/or restoration • Litter control

Question	YES / NO*	Reference to scheme documentation
		<ul style="list-style-type: none"> • <u>Hazardous material spill prevention and clean-up</u> <p>Examples of forestry activities requiring review for AFF Standards compliance:</p> <ul style="list-style-type: none"> • Harvest operations including timber and non-timber products • Site preparation and reforestation • Forest road construction and maintenance • Mineral extraction • Hunting and fishing • Invasive species control • Pest management <p>As a general rule, landowners are encouraged to retain contracts or records for management activities for three years.</p> <p>Further, AFF established a Memorandum of Understanding (MOU) with the International Association of Machinists and Aerospace Engineers (IAMAW) (Appendix 20) which establishes understanding to cooperatively achieve goals, including those set forth in the ILO core labor standards. A portion of the MOU is outlined below:</p> <p>THEREFORE, The ATFS and the IAM-Woodworkers enter into this Memorandum of Understanding to cooperatively achieve the goals of enhancing forest health and productivity and all the benefits it brings, by outreaching to non-managing forest owners and forest contractors, educating them with timely forest sustainability information and working through mutually agreed upon methods, seeking to improve the overall health and sustainability of America’s family-owned forestlands and sustain the economic viability of its contractors and forest related markets.</p> <p>TO ACHIEVE THESE GOALS, BOTH PARTIES AGREE THAT BY WORKING TOGETHER:</p> <ul style="list-style-type: none"> • ATFS and IAMAW-Woodworkers work to develop a representative database of contractors and haulers used by ATFS members.

Question	YES / NO*	Reference to scheme documentation
		<ul style="list-style-type: none"> • ATFS and IAMAW-Woodworkers develop best-practices models of contracts for ATFS members to incorporate into their forest practices activities. • ATFS and IAMAW Woodworkers develop a program which educates and informs contractors and landowners on key SFM and certification criteria regarding safety, ILO labor standards, recommended contract design and land management planning. • ATFS and IAMAW Woodworkers work cooperatively to develop a system that provides education and information (E&I) training services to contractors in database or refers them to other agreed upon equivalent programs. • ATFS agrees to urge its members to give preference to those contractors who have successfully completed the above mentioned E&I training program or other equivalent program. • ATFS and IAMAW Woodworkers work cooperatively to identify those operating areas which lack an adequate number of participants in the ATFS-IAMW E&I program or its equivalent and prioritize those areas for program delivery. • ATFS and IAM Woodworkers work cooperatively to obtain preferred provider agreements for ATFS certified products with local, regional and national wood products companies. • Contractors reported by IAMAW to be found in violation of US labor law and /or flagrant or frequent violations of ILO core labor standards will be removed and be ineligible for mention in ATFS “preferred contractor” databases.
<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>Given that the AFF standards apply to private landowners, public access is at the discretion of the landowner. Landowners consider the pros and cons of allowing public access including public safety, legal liability, insurance coverage, and other issues. Lands are often leased to hunt clubs, for recreational use of off-road vehicles and other uses by outside parties. If lands are off limits to hunting and other specific uses, the land is generally posted with a prominent sign indicating that no trespassing is allowed.</p> <p>Indicator 1.1.2 below stipulates that if a landowner desires to provide recreational opportunities, then they can be documented in the management plan.</p>

Question	YES / NO*	Reference to scheme documentation
		<p><u>Performance Measure 1.1</u> Landowner shall have and implement a written forest management plan consistent with the size of the forest and the scale and intensity of the forest activities.</p> <p><u>Indicator 1.1.2</u> Management plan <u>shall</u> describe current forest conditions, landowner’s objectives, management activities aimed at achieving landowner’s objectives, document a feasible strategy for activity implementation and include a map accurately depicting significant forest-related resources.</p> <p>The forest management plan <u>shall</u> demonstrate consideration of the following resource elements: forest health, soil, water and fiber production, threatened or endangered species, special sites, invasive species and forests of recognized importance. Where present and relevant to the property, the plan <u>shall</u> describe management activities related to these resource elements.</p> <p>Where present, relevant to the property, and consistent with landowner’s objectives, the plan preparer should consider, describe and evaluate the following resource elements: fire, wetlands, desired species, recreation, forest aesthetics, biomass and carbon.</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><u>Performance Measure 5.4</u> Where present, forest management activities should maintain or enhance forests of recognized importance.</p> <p><u>Guidance:</u> Forests of recognized importance (FORI) represent globally, regionally and nationally significant large landscape areas of exceptional ecological, social, cultural or biological values. These forests are evaluated at the landscape level, rather than the stand level and are recognized for a combination of unique values, rather than a single attribute. FORIs may include but are not limited to landscapes with exceptionally high</p>

Question	YES / NO*	Reference to scheme documentation
		<p>concentrations of one or more of the following:</p> <ul style="list-style-type: none"> • protected, rare, sensitive or representative forest ecosystems such as riparian areas and wetland biotopes • areas containing endemic species and critical habitats of multiple threatened or endangered plant and animal species, as identified under the Endangered Species Act (ESA) or other recognized listings • recognized large-scale cultural or archeological sites including sites of human habitation, cities, burial grounds and in situ artifacts • areas containing identified and protected water resources upon which large metropolitan populations are dependent • areas containing identified unique or geological features including geysers, waterfalls, lava beds, caves or craters <p>Standard 7: Protect Special Sites Special sites are managed in ways that recognize their unique historical, archaeological, cultural, geological, biological or ecological characteristics.</p> <p><u>Performance Measure 7.1</u> Forest management activities <u>shall</u> consider and maintain any special sites relevant on the property.</p> <p>Indicator 7.1.1 Landowner <u>shall</u> make a reasonable effort to locate and protect special sites appropriate for the size of the forest and the scale and intensity of forest management activities.</p> <p>(See the AFF Standards Guidance in Appendix 9)</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	Yes	<p>Standard 6: Forest Aesthetics Forest management activities recognize the value of forest aesthetics.</p>

Question	YES / NO*	Reference to scheme documentation
<p>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><u>Performance Measure 6.1</u> Landowner should manage the visual impacts of forest management activities consistent with the size of the forest, the scale and intensity of forest management activities and the location of the property.</p> <p>Indicator 6.1.1 Forest management activities should apply visual quality measures compatible with appropriate silvicultural practices.</p> <p>(See the AFF Standards Guidance in Appendix 9)</p>
<p>5.6.8 Forest managers, contractors, employees and forest owners shall be provided with sufficient information and encouraged to keep up-to-date through continuous training in relation to sustainable forest management as a precondition for all management planning and practices described in this standard.</p>	<p>Yes</p>	<p>Standard 8: Forest Product Harvests and Other Activities Forest product harvests and other management activities are conducted in accordance with landowner’s objectives and consider other forest values.</p> <p><u>Performance Measure 8.1</u> Landowner should use qualified natural resource professionals and qualified contractors when contracting for services.</p> <p>Indicator 8.1.1 Landowner should seek qualified natural resource professionals and qualified contractors.</p> <p>Indicator 8.1.2* Landowner should engage qualified contractors who carry appropriate insurance and comply with appropriate federal, state and local safety and fair labor rules, regulations and standard practices1.</p> <p>(See the AFF Standards Guidance in Appendix 9)</p>

Question	YES / NO*	Reference to scheme documentation
<p>5.6.9 Forest management practices shall make the best use of local forest-related experience and knowledge, such as those of local communities, forest owners, NGOs and local people.</p>	<p>Yes</p>	<p><u>Indicator 1.1.1</u> Management plan shall be active, adaptive, and embody the landowner’s current objectives, remain appropriate for the land certified, and reflect the current state of knowledge about natural resources and sustainable forest management.</p> <p>Performance Measure 2.1 <u>Indicator 2.1.2</u> Landowner should obtain advice from appropriate natural resource professionals, or qualified contractors who are trained in, and familiar with, relevant laws, regulations and ordinances.</p> <p>Performance Measure 8.1 Landowner should use qualified natural resource professionals and qualified contractors when contracting for services.</p> <p><u>Indicator 8.1.1</u> Landowner should seek qualified natural resource professionals and qualified contractors.</p> <p><u>Indicator 8.1.2</u> Landowner should engage qualified contractors who carry appropriate insurance and comply with appropriate federal, state and local safety and fair labor rules, regulations and standard practices.</p> <p><u>Indicator 8.1.3</u> Landowners should retain appropriate contracts or records for forest product harvests and other management activities to demonstrate conformance to the Standards.</p> <p>(See the AFF Standards Guidance in Appendix 9)</p>

Question	YES / NO*	Reference to scheme documentation
<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>The ATFS strives for open communication and exchange of ideas around forest management. Each State has a State-wide Tree Farm Committee comprised of a diverse base of interested parties and stakeholders.</p> <p>Audit Summary Reports have documented a high level of cooperation and communication. Those findings from Appendix 11 include:</p> <p>All ATFS Regions demonstrated a high degree of cooperation with and use of state forestry agencies and industry landowner assistance programs for technical support to improve forest management.</p> <ul style="list-style-type: none"> • All of the ATFS Regions demonstrated a strong commitment to public outreach and education. <p>Land owners regularly host educational opportunities for students and teachers, other landowners and the public in some cases.</p> <ul style="list-style-type: none"> • The interviews with landowners and stakeholders in the states sampled indicate that there is a high degree of commitment to the State level Tree Farm Programs and the implementation of forestry practices on the ground. <p>The AFF Dispute and Appeals Procedure (Appendix 6) also addresses effective communication and consultation of interested parties and stakeholders.</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>The Code of Practice relating to forestry work was created in 1998. The beginning of the Code contains provisions that provide general, common sense, guidance relating to general safety protocols. The Code includes the following provisions:</p> <ul style="list-style-type: none"> • Ensure that all required equipment, tools and equipment are in safe and serviceable condition; • Provide protective safety clothing and equipment • Provide employees with safety training <p>The US has a suite of laws governing health and safety issues in the workplace, the most</p>

Question	YES / NO*	Reference to scheme documentation
		<p>prominent of which is the federal Occupational Safety and Health Act. OSHA's mission is to assure the safety and health of America's workers by setting and enforcing standards; providing training, outreach, and education; establishing partnerships; and encouraging continual improvement in workplace safety and health. (For more information see http://www.osha.gov)</p> <p>Indicator 8.1.2* Landowner should engage qualified contractors who carry appropriate insurance and comply with appropriate federal, state and local safety and fair labor rules, regulations and standard practices.</p> <p>Guidance: Forest owners are encouraged to stipulate that contractors are required to be in compliance with all relevant laws and regulations. A natural resource professional can help with this process.</p> <p>Forest Owners are encouraged to discuss liability issues with their insurance agent and their attorney to gain a perspective on appropriate insurance minimums that they might require of contractors.</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.	Yes	(See above 5.6.11)
5.6.13 Forest management shall comply with fundamental ILO conventions.	Yes	The AFF Standard worked with panel members during the standards development process to adequately address labor concerns. A formal Memorandum of Understanding was signed between the ATFS and the International Association of Machinists and Aerospace Workers (IAMAW). (See Standard 8 of the AFF Standard and Appendix 20).
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	Yes	The AFF Standards interpretations and Guidance specify that landowners support forestry research that enhances the knowledge and practice of forest management on private lands. (See Appendix 18)

Question	YES / NO*	Reference to scheme documentation
<p>research activities carried out by other organisations, as appropriate.</p>		<p>Owner(s) is engaged in active outreach efforts or can contribute to the effort. There are several ways that forest owners can participate in outreach efforts; among them are: hosting forest-related tours on their property; joining a national, regional or local forestry / forest-owner association; supporting legislation that promotes private forest health and viability; supporting research that enhances the knowledge and practice of forest management on private forests; writing for publications in support of sustainable forestry on private lands; donating resources to these, and similar, forestry and forest landowner initiatives.</p> <p>AFF is engaged in research partnerships and collaborative, particularly with the US Forest Service, to promote better understanding of family woodland ownerships, demographics and behaviours in an effort to engage a wider spectrum of landowners and further promote forest management with resulting impacts for protection of water, biodiversity and wildlife habitat protection and sustainable fibre supplies.</p> <p>The U.S. has one of the most robust science and technology structure and network in the world. U.S. Forest Service Research Laboratories, University education and research institutions, research cooperatives with the private sector, as well as industry sponsored research programs. A strong network of Extension Agents, consultants, trade associations and others provide information to forest landowners. Those research organizations can be accessed via the internet including: http://www.fs.fed.us/research/, http://www.stateforesters.org/, http://naufpr.org/index.asp, http://www.sref.info/</p>
<p>Criterion 7: Maintenance and appropriate enhancement of protective functions in forest management (notably soil and water)</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</p>	<p>Yes</p>	<p>Standard 2: Compliance with Laws Forest management activities comply with all relevant federal, state and local laws, regulations and ordinances.</p> <p><u>Performance Measure 2.1</u> Landowner shall comply with all relevant federal, state, county, and municipal laws, regulations, and ordinances governing forest management activities.</p>

Question	YES / NO*	Reference to scheme documentation
taxes.		<p>Indicator 2.1.1 Landowner shall comply with all relevant laws, regulations and ordinances and will correct conditions that led to adverse regulatory actions, if any.</p> <p>Indicator 2.1.2 Landowner should obtain advice from appropriate natural resource professionals, or qualified contractors who are trained in, and familiar with, relevant laws, regulations and ordinances.</p> <p>Indicator 8.1.2* Landowner should engage qualified contractors who carry appropriate insurance and comply with appropriate federal, state and local safety and fair labor rules, regulations and standard practices.</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.	Yes	<p>The U.S. has a very robust legal system and instances of illegal trade in timber are extremely rare. A American Hardwood Export Council Study (http://www.ahec.org/publications/AHEC%20publications/AHEC_RISK_ASSESSMENT.pdf) addressing Legality published a report in 2008 and found that:</p> <p>Key Findings and Observations:</p> <p>(1) Based on the data compiled and analyzed, the weight of evidence strongly indicates that there is very low risk that US hardwood exports contain wood from illegal sources.</p> <p>(2) There can be high confidence that rights of timber ownership are well-established and respected. Approximately 92% of hardwood produced in the US is sourced from private lands. The vast majority of private landowners own small family forests that average less than 10 hectares in size. Numerous legal processes are available to landowners to resolve disputes involving proper title and/or the unauthorized taking or sale of timber property.</p> <p>(3) While timber theft occurs and is of concern to private landowners, it not believed to be a pervasive or systemic problem, especially with regards to US hardwood exports.</p>

Question	YES / NO*	Reference to scheme documentation
		<p>Even if half or more were hardwood trees, stolen timber would represent a very small portion of total US hardwood production – very likely less than 1%.</p> <p>(4) The legal frameworks governing timber ownership, its management and sale vary widely by state. When considered in their totality, national and state forest programs contribute to ensuring sustainable and legal hardwood supplies.</p> <p>(5) Comparisons of international governance indicators, such as those compiled by the World Bank, strongly indicate that the US is perceived as a country with a high regard for the rule of law, an effective environmental, labor and public welfare regulatory environment, and a low level of corruption.</p> <p>(6) Based on published data, as available, and information compiled from state officials and the wood products trade, there can be high confidence regarding adherence to national and state laws in the hardwood sector.</p> <p>Standard 2: Compliance with Laws Forest management activities comply with all relevant federal, state and local laws, regulations and ordinances.</p> <p><u>Performance Measure 2.1</u> Landowner shall comply with all relevant federal, state, county, and municipal laws, regulations, and ordinances governing forest management activities.</p> <p>Indicator 2.1.1 Landowner shall comply with all relevant laws, regulations and ordinances and will correct conditions that led to adverse regulatory actions, if any.</p> <p><u>Performance Measure 8.2</u> Landowner shall monitor forest product harvests and other management activities to ensure they conform to their objectives.</p> <p>Indicator 8.2.1</p>

Question	YES / NO*	Reference to scheme documentation
		<p>Harvest, utilization, removal and other management activities <u>shall</u> be conducted in compliance with the landowner’s objectives and to maintain the potential of the property to produce forest products and other benefits sustainably.</p> <p>Indicator 1.1.3*</p> <p>The Landowner should monitor for changes that could interfere with the management objectives as stated in management plan. When problems are found, reasonable actions are taken.</p> <p>Guidance: Monitoring for individual landowners or designated representatives can be achieved by visiting the property on a regular basis, riding through it or walking the trails. This can be done annually or more or less frequently depending on the individual circumstances (region, soils, risk of invasive species, risk of pest outbreaks, etc.).</p> <p>Landowners and designated representatives are encouraged to keep a written record of monitoring observations to reflect and document changing conditions—including the presence of invasive species, pest or disease or storm damage—along with management activities. In addition, these records may also be used to defend against adverse possession claims, substantiate any casualty losses and enable timely response to trespass, illegal dumping, timber theft and insect or disease outbreaks. Records of monitoring may be informal, such as handwritten notes, and can include photos, digital technologies, online tools such as www.mylandplan.org and other emerging media. Landowners are encouraged to update management plans based on monitoring. Records of management activities should, over time, demonstrate response to information inputs from monitoring.</p> <p>A management plan is considered current if it remains consistent with the landowner’s objectives and the conditions on the ground, regardless of when the plan was written.</p>

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PART IV: STANDARD AND SYSTEM REQUIREMENTS CHECKLIST FOR CERTIFICATION AND ACCREDITATION PROCEDURES (ANNEX 6)**CHECKLIST**

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
Certification Bodies				
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>The certification and accreditation programs are products of IAF accreditation board members in the USA, ANAB and ANSI respectively, as well as the Standards Council of Canada (SCC). Refer to PEFC accreditation program development and delivery by ANSI and refer to the Checklist for information on ATFS accreditation program development and delivery by ANAB and SCC.</p> <p>The revised ANAB Accreditation established the requirements for conducting AFF Audits in the U.S. The Standards Council of Canada Accreditation Document established requirements for Canadian Certification Bodies. Copies of the ANAB and SCC accreditation approvals are contained in Appendix 15.</p> <p><i>(Note: The accreditation rules are contained in Appendix 15. Because of the duplication and the majority of AFF audits conducted by U.S. Certification Bodies, the ANAB Rule 27 will be used from here forward).</i></p>
2.	Does the scheme documentation require that certification bodies for forest management certification or chain of custody certification against a scheme specific chain of custody standard shall fulfil requirements defined in ISO 17021 or ISO Guide 65?	Annex 6, 3.1	Yes	<p>The ANAB Accreditation Rule addresses qualifications of the Certification Bodies:</p> <p>2. Prerequisites</p> <p>2.1. A CB seeking to become accredited for ATFS activities shall conform with ISO/IEC 17021 and be accredited by ANAB or the Standards Council of Canada to perform Sustainable Forestry Initiative (SFI) forest management certification audits.</p> <p>2.2. To participate in the ANAB accreditation program for ATFS, the CB shall meet requirements of ISO/IEC 17021 and the forest management auditor qualification and</p>

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
				competency criteria and apply these requirements and criteria to its ATFS certification process.
3.	Does the scheme documentation require that certification body chain of custody certification against Annex 4 shall fulfil requirements defined in ISO Guide 65?	Annex 6, 3.1	NA	The AFF Standard does not contain a Chain of Custody component. Therefore, this requirement is Not Applicable (NA). American Tree Farm Certified Forest Content qualifies as certified inputs under the SFI and PEFC Chain of Custody Programs.
4.	Does the scheme documentation require that certification bodies carrying out forest certification shall have the technical competence in forest management on its economic, social and environmental impacts, and on the forest certification criteria?	Annex 6, 3.1	Yes	<p>ANAB requires CBs to meet all applicable auditing guidelines including ISO 17021 -- Requirements for bodies providing audit and certification of management systems. (See the ANAB/SCC Accreditation Rules contained in Appendix 15)</p> <p>ACCREDITATION RULE</p> <p>1. Requirement/Reference Documents</p> <p>1.1. AFF 2015-2020 Standards of Sustainability for Forest Certification</p> <p>1.2. Eligibility Requirements for ATFS Certification</p> <p>1.3. PEFC ST 2001:2008, PEFC Logo Usage Rules - Requirements</p> <p>1.4. PEFC Annex 6, Certification and Accreditation Procedures</p> <p>1.5. Document 004 for Regional Group Certifications, maintained by each state ATFS program committee</p> <p>1.6. ISO/IEC 17021, Conformity assessment – Requirements for bodies providing audit and certification of management systems</p> <p>1.7. MA 6000, ANAB Accreditation Manual, and applicable ANAB Accreditation Rules</p> <p>1.8. IAF Mandatory Documents as applicable</p> <p>2. Prerequisites</p> <p>2.1. A CB seeking to become accredited for ATFS activities shall conform with ISO/IEC 17021 and be accredited by ANAB or the Standards Council of Canada to perform Sustainable Forestry Initiative (SFI) forest management certification audits.</p> <p>2.2. To participate in the ANAB accreditation program for ATFS, the CB shall meet requirements of ISO/IEC 17021 and the forest management auditor qualification and</p>

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
				competency criteria and apply these requirements and criteria to its ATFS certification process.
5.	Does the scheme documentation require that certification bodies carrying out C-o-C certifications shall have technical competence in forest based products procurement and processing and material flows in different stages of processing and trading?	Annex 6, 3.1	NA	The AFF Standard does not contain a Chain of Custody component. Therefore, this requirement is Not Applicable (NA). American Tree Farm Certified Forest Content qualifies as certified inputs under the SFI and PEFC Chain of Custody Programs.
6.	Does the scheme documentation require that certification bodies shall have a good understanding of the national PEFC system against which they carry out forest management or C-o-C certifications?	Annex 6, 3.1	Yes	<p>Certification bodies are required to have a good understanding of the national PEFC systems (ATFS) where they carry out PEFC accredited certifications. The Accreditation Rules listed in Question 4 contain the specific details for conducting independent audits.</p> <p>2.2. To participate in the ANAB accreditation program for ATFS, the CB shall meet requirements of ISO/IEC 17021 and the forest management auditor qualification and competency criteria and apply these requirements and criteria to its ATFS certification process.</p> <p>(See the ANAB/SCC Accreditation Rules contained in Appendix 15)</p>

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
7.	Does the scheme documentation require that certification bodies have the responsibility to use competent auditors and who have adequate technical know-how on the certification process and issues related to forest management or chain of custody certification?	Annex 6, 3.2	Yes	2.2. To participate in the ANAB accreditation program for ATFS, the CB shall meet requirements of ISO/IEC 17021 and the forest management auditor qualification and competency criteria and apply these requirements and criteria to its ATFS certification process. (See the ANAB/SCC Accreditation Rules contained in Appendix 15) (See above No. 4)
8.	Does the scheme documentation require that the auditors shall fulfil the general criteria of ISO 19011 for Quality Management Systems auditors or for Environmental Management Systems auditors?	Annex 6, 3.2	Yes	(See the ANAB/SCC Accreditation Rules contained in Appendix 15) (See above No. 4)
9.	Does the scheme documentation include additional qualification requirements for auditors carrying out forest management or chain of custody audits? [*1]	Annex 6, 3.2	Yes	<p>American Tree Farm System Certifier Eligibility Requirements The following minimum education and/or experience requirements are necessary for professionals certifying and inspecting Tree Farms.</p> <ul style="list-style-type: none"> • All inspectors shall successfully complete the Certifier Training Program. Inspectors shall complete the refresher training every five years, which will coincide with AFF Standard revisions. <p>All inspectors shall meet at least one of the four recognized requirements:</p> <ul style="list-style-type: none"> • A Bachelor of Science, Forestry degree, or higher from a Society of American Foresters (SAF) accredited program. • Two-year forestry technician degree from an SAF recognized program. • Anyone already serving as a Tree Farm inspector prior to July 31, 1999 is grandfathered in as an inspector provided their names were included in a list of inspectors submitted by the State Tree Farm Chair to the American Forest Foundation by July 31, 1999 and has completed the Certifier Training Program.

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
				<ul style="list-style-type: none"> Anyone professionally practicing forestry and meeting the following minimum educational requirements. (See the ATFS Inspectors Manual for the above additional auditor qualifications Appendix 24) (See the ANAB/SCC Accreditation Rules contained in Appendix 15) (See above No. 4)
Certification procedures				
10.	Does the scheme documentation require that certification bodies shall have established internal procedures for forest management and/or chain of custody certification?	Annex 6, 4	Yes	(See the ANAB/SCC Accreditation Rules contained in Appendix 15) (See above No. 4)
11.	Does the scheme documentation require that applied certification procedures for forest management certification or chain of custody certification against a scheme specific chain of custody standard shall fulfil or be compatible with the requirements defined in ISO 17021 or ISO Guide 65?	Annex 6, 4	Yes	2.2. To participate in the ANAB accreditation program for ATFS, the CB shall meet requirements of ISO/IEC 17021 and the forest management auditor qualification and competency criteria and apply these requirements and criteria to its ATFS certification process. (See the ANAB/SCC Accreditation Rules contained in Annexes 1,2,3, & 4) (See above No. 4)
12.	Does the scheme documentation require that applied certification procedures for chain of custody certification against Annex 4 shall fulfil or be compatible with the requirements defined in ISO Guide 65?	Annex 6, 4	NA	The AFF Standard does not contain a Chain of Custody component. Therefore, this requirement is Not Applicable (NA). American Tree Farm Certified Forest Content qualifies as certified inputs under the SFI and PEFC Chain of Custody Programs.

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
13.	Does the scheme documentation require that applied auditing procedures shall fulfil or be compatible with the requirements of ISO 19011?	Annex 6, 4	Yes	(See the ANAB/SCC Accreditation Rules contained in Appendix 15) (See above No. 4)
14.	Does the scheme documentation require that certification body shall inform the relevant PEFC National Governing Body about all issued forest management and chain of custody certificates and changes concerning the validity and scope of these certificates?	Annex 6, 4	Yes	3.3. Certification Body Information Sharing and Transfer to ATFS and PEFC: The CB shall inform AFF (the ATFS governing Body) and SFI Inc. (the PEFC National Governing Body for the United States) about all issued certificates and the validity and scope of these certificates. The CB shall inform the client organization about information provided to AFF and SFI Inc. (See the ANAB/SCC Accreditation Rules contained in Appendix 15)
15.	Does the scheme documentation require that certification Body shall carry out controls of PEFC logo usage if the certified entity is a PEFC logo user?	Annex 6, 4	Yes	3.4 Assessment of ATFS and PEFC Logo Usage Compliance: The CB will ensure appropriate control of the PEFC and/or ATFS logo if the certified entity is a PEFC and/or ATFS logo user. (See the ANAB/SCC Accreditation Rules contained in Appendix 15)
16.	Does a maximum period for surveillance audits defined by the scheme documentation not exceed more than one year?	Annex 6, 4	Yes	7. Ongoing Surveillance 7.1. ANAB shall conduct an annual office assessment, and witness a CB team conducting an ATFS audit for each type of group certified (that is, Regional Group and/or Independent Managed Group) at least once in each accreditation cycle. 7.1.1. The office assessment shall be conducted concurrently with the SFI and other ANAB accreditation programs for which the CB is accredited. (See the ANAB/SCC Accreditation Rules contained in Appendix 15)
17	Does a maximum period for assessment audit not exceed five	Annex 6, 4	Yes	8. Re-accreditation 8.1. The ATFS accreditation period initially shall be four years <i>or</i> shall be established to coincide with the CB's current SFI accreditation period, and thereafter shall be four

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
	years for both forest management and chain of custody certifications?			years. (See the ANAB/SCC Accreditation Rules contained in Appendix 15)
18	Does the scheme documentation include requirements for public availability of certification report summaries?	Annex 6, 4	Yes	3.1 Public Consultation: The audit evidence to determine the conformity with the forest management standard shall include relevant information from external parties (for example, governmental agencies, community groups, and conservation organizations) as appropriate. 3.2. Public Access of Certification Reports: A summary of the certification report, including a summary of findings on the auditee's conformity with the forest management standard, shall be made available to the public by the auditee or in accordance with any applicable requirements defined by the respective forest certification scheme. (See the ANAB/SCC Accreditation Rules contained in Appendix 15)
19	Does the scheme documentation include requirements for usage of information from external parties as the audit evidence?	Annex 6, 4	Yes	3.1 Public Consultation: The audit evidence to determine the conformity with the forest management standard shall include relevant information from external parties (for example, governmental agencies, community groups, and conservation organizations) as appropriate. (See the ANAB/SCC Accreditation Rules contained in Appendix 15)
20.	Does the scheme documentation include additional requirements for certification procedures? [*1]	Annex 6, 4	Yes	ANAB requires CBs to meet all applicable auditing guidelines including ISO 17021 -- Requirements for bodies providing audit and certification of management systems. 4.Additional Requirements (not documented elsewhere) 4.1. ATFS Auditor Time.(See the ANAB/SCC Accreditation Rules contained in Appendix 15)
Accreditation procedures				
21.	Does the scheme documentation	Annex 6, 5	Yes	5. Application Process

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
	<p>require that certification bodies carrying out forest management and/or chain of custody certification shall be accredited by a national accreditation board?</p>			<p>5.1. ATFS applicant CBs can obtain an application for informational use at www.anab.org.</p> <p>5.2. The application process outlined at http://www.anab.org/certification-bodies/become-acertification-bordy.aspx shall be completed via ANAB's Enterprise Quality Manager (EQM) database when the CB is ready to apply for ATFS accreditation. ANAB Accreditation Rules represent positions taken or policies established on operational issues related to ANAB programs. Page 3 of 10</p> <p>5.3. The application fee includes the cost of one assessor day for the off-site documentation review.</p> <p>5.4. ATFS has established additional requirements for this accredited certification process and it is the CB's responsibility to obtain those requirements from ATFS prior to application and ensure it fully conforms to the requirements. (See the ANAB/SCC Accreditation Rules contained in Appendix 15)</p>

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
22.	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 accreditation standards require that an accredited certificate bear the accreditation symbol of the relevant accreditation bodies as evidenced in the following relevant documentation:</p> <p>ANAB: ANAB's Accreditation Rule 17 (Appendix 15) applies to all ANAB-Accredited and applicant certification bodies to follow normative document PEFC Annex 6, Certification and Accreditation Procedures which states: <i>"An accredited certificate shall bear an accreditation symbol of the relevant accreditation body."</i></p> <p>SCC: SCC's Certification Board Accreditation Program Handbook: Conditions and Procedures for the Accreditation of Bodies Certifying Products Processes and Services (Appendix 15 – SCC Certification Bodies Accreditation Program Handbook) states: In addition to conformance with CAN-P-3G (verbatim of ISO Guide 65), CBs shall conform to the policies and requirements of the Regime for which they are seeking accreditation. For PEFC, these accreditation criteria include labelling requirements as set out in the following PEFC normative documents.</p> <p>(Copies of sample AFF Certificates for Regional Groups issued by the Accredited Certification Bodies are contained in Appendix 22)</p>
23.	Does the scheme documentation require that the accreditation shall be issued by an accreditation body which is a part of the International Accreditation Forum (IAF) umbrella or a member of IAF's special recognition regional groups and which implement procedures described in ISO 17011 and other documents recognised by the above mentioned organisations?	Annex 6, 5	Yes	<p>ACCREDITATION RULE 1.8. IAF Mandatory Documents as applicable</p> <p>ANAB requires CBs to meet all applicable auditing guidelines including ISO 17021 -- Requirements for bodies providing audit and certification of management systems. (See the ANAB/SCC Accreditation Rules contained in Appendix 15)</p>

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
24.	Does the scheme documentation require that certification bodies undertake forest management or/and chain of custody certification against a scheme specific chain of custody standard as “accredited certification” based on ISO 17021 or ISO Guide 65 and the relevant forest management or chain of custody standard(s) shall be covered by the accreditation scope?	Annex 6, 5	Yes	2.2. To participate in the ANAB accreditation program for ATFS, the CB shall meet requirements of ISO/IEC 17021 and the forest management auditor qualification and competency criteria and apply these requirements and criteria to its ATFS certification process. (See the ANAB/SCC Accreditation Rules contained in Annexes 1,2,3, & 4) (See above No. 4)
25.	Does the scheme documentation require that certification bodies undertake chain of custody certification against Annex 4 as “accredited certification” based on ISO Guide 65?	Annex 6, 5	NA	The AFF Standard does not contain a Chain of Custody component. Therefore, this requirement is Not Applicable (NA). American Tree Farm Certified Forest Content qualifies as certified inputs under the SFI and PEFC Chain of Custody Programs.
26.	Does the scheme documentation include a mechanism for PEFC notification of certification bodies?	Annex 6, 6	Yes	ACCREDITATION RULE 1. Requirement/Reference Documents 1.3. PEFC ST 2001:2008, PEFC Logo Usage Rules - Requirements 1.4. PEFC Annex 6, Certification and Accreditation Procedures ATFS has adopted PEFC Certification and Accreditation Procedures (Annex 6). (See the ANAB/SCC Accreditation Rules contained in Appendix 15)
27.	Are the procedures for PEFC notification of certification bodies non-discriminatory?	Annex 6, 6	Yes	ACCREDITATION RULE 1. Requirement/Reference Documents 1.3. PEFC ST 2001:2008, PEFC Logo Usage Rules - Requirements 1.4. PEFC Annex 6, Certification and Accreditation Procedures

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
				<p>PEFC notification procedures of certification bodies are non-discriminatory. ATFS has adopted PEFC Certification and Accreditation Procedures (Annex 6). (See the ANAB/SCC Accreditation Rules contained in Appendix 15)</p>

PART VI: STANDARD AND SYSTEM REQUIREMENTS CHECKLIST FOR SCHEME ADMINISTRATION REQUIREMENTS

CHECKLIST

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to application documents
PEFC Notification of Certification Bodies				
1.	Are procedures for the notification of certification bodies in place, which comply with chapter 5 of PEFC GD 1004:2009, Administration of PEFC scheme	Chapter 5	Yes	The Sustainable Forestry Initiative® (SFI®) acts as the national governing body in the U.S. to the PEFC. ATFS has a formal Services Agreement signed in 2015 outlining the roles and responsibilities of each entity. The responsibilities of SFI include PEFC data collection, CB notification, label use, fees, endorsement and other issues. The Services Agreement is contained in Appendix 26.
2.	Are procedures for the issuance of PEFC logo usage in place, which comply with chapter 6 of PEFC GD 1004:2009, Administration of PEFC scheme?	Chapter 6	Yes	The Services Agreement with SFI, Inc. contains provisions addressing PEFC logo use and licensing. SFI, Inc. oversees such uses of the PEFC in the U.S. The PEFC Label Use provisions are contained in Section C of the Services Agreement contained in Appendix 26.
3.	Are complaints and dispute procedures logo usage licenses in place, which comply with chapter 6 of PEFC GD 1004:2009, Administration of PEFC scheme?		YES	The Services Agreement between ATFS, SFI and PEFC addresses PEFC Logo Use and licensing . Such agreements are kept up to date by SFI, Inc. and are available upon request. See Appendix 26 for a copy of the Services Agreement.