

SECTION 2.

SFI 2010-2014 STANDARD



SUSTAINABLE
FORESTRY
INITIATIVE

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SUSTAINABLE FORESTRY INITIATIVE®

2010-2014 STANDARD

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PRINCIPLES FOR SUSTAINABLE FORESTRY

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

1. Sustainable Forestry

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

2. Forest Productivity and Health

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

3. Protection of Water Resources

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

4. Protection of Biological Diversity

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

5. Aesthetics and Recreation

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

6. Protection of Special Sites

To manage forests and lands of special significance (ecologically, geologically or *culturally important*) in a manner that *protects* their integrity and takes into account their unique qualities.

7. Responsible Fiber Sourcing Practices in North America

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

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

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

9. Legal Compliance

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

10. Research

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

11. Training and Education

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

12. Public Involvement

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

13. Transparency

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

14. Continual Improvement

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

These *SFI principles* are further refined in *objectives* 1-20.

OBJECTIVES FOR SUSTAINABLE FORESTRY

SUMMARY

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

- *SFI Standard* land management objectives 1-7 provide measures for evaluating *Program Participants'* conformance with the *SFI 2010-2014 Standard* on forest lands they own or control through *long-term* leases. Through these objectives, addressed in forest management plans, *Program Participants* are implementing *sustainable forestry principles* by employing an array of economically, environmentally and socially sound practices in the *conservation* of forests — including appropriate *protection*, *growth*, *harvest* and *use* of those forests — using the *best scientific information available*.
- *SFI Standard* fiber sourcing objectives 8-10 provide measures for evaluating *Program Participants'* conformance with the *SFI 2010-2014 Standard* through their *fiber sourcing programs* within the United States and Canada.
- *SFI Standard* fiber sourcing objectives 11-13 provide measures for evaluating *Program Participants'* conformance with the *SFI 2010-2014 Standard* through their *fiber sourcing programs* outside the United States and Canada.
- *SFI Standard* land management and fiber sourcing objectives 14-20 provide measures for evaluating all *Program Participants'* conformance with the *SFI 2010-2014 Standard* for research, training, legal compliance, public and landowner involvement, management review, and continual improvement.

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

Objective 1. Forest Management Planning

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

Objective 2. Forest Productivity

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

Objective 3. Protection and Maintenance of Water Resources

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

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

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

Objective 5. Management of Visual Quality and Recreational Benefits

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

Objective 6. Protection of Special Sites

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

Objective 7. Efficient Use of Forest Resources

To promote the efficient use of forest resources.

Objective 8. Landowner Outreach

To broaden the practice of *sustainable forestry* by forest landowners through *fiber sourcing programs*.

Objective 9. Use of Qualified Resource and Qualified Logging Professionals

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

Objective 10. Adherence to Best Management Practices

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

Objective 11. Promote Conservation of Biological Diversity, Biodiversity Hotspots and High-Biodiversity Wilderness Areas

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

Objective 12. Avoidance of Controversial Sources including Illegal Logging

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

Objective 13. Avoidance of Controversial Sources including Fiber Sourced from Areas without Effective Social Laws

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

Objective 14. Legal and Regulatory Compliance

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

Objective 15. Forestry Research, Science, and Technology

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

Objective 16. Training and Education

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

Objective 17. Community Involvement in the Practice of Sustainable Forestry

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

Objective 18. Public Land Management Responsibilities

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

Objective 19. Communications and Public Reporting

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

Objective 20. Management Review and Continual Improvement

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

SFI 2010-2014 STANDARD OBJECTIVES 1-7 FOR FOREST LAND MANAGEMENT

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

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

Indicators:

1. Forest management planning at a level appropriate to the size and scale of the operation, including:
 - a. a *long-term* resources analysis;

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

2. Documentation of annual harvest trends in relation to the sustainable forest management plan in a manner appropriate to document past and future activities.

3. A *forest inventory* system and a method to calculate growth and yield.

4. Periodic updates of *forest inventory* and recalculation of planned harvests to account for changes in growth due to *productivity* increases or decreases (e.g. improved data, *long-term* drought, fertilization, climate change, forest land ownership changes, etc.).

5. Documentation of forest practices (e.g., *planting*, fertilization, and thinning) consistent with assumptions in harvest plans.

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

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

Indicators:

1. Designation of all harvest areas for either *natural regeneration* or by *planting*.
2. *Reforestation*, unless delayed for site-specific environmental or *forest health* considerations or legal requirements, through *planting* within two years or two *planting* seasons, or by planned *natural regeneration* methods within five years.

3. Clear criteria to judge adequate regeneration and appropriate actions to correct understocked areas and achieve acceptable species composition and stocking rates for both *planting* and *natural regeneration*.
4. *Minimized plantings* of *exotic tree species*, and research documentation that *exotic tree species*, planted operationally, pose minimal risk.
5. *Protection* of desirable or planned advanced natural regeneration during harvest.
6. *Planting programs* that consider potential ecological impacts of a different species or species mix from that which was harvested.
7. *Afforestation programs* that consider potential ecological impacts of the selection and *planting* of tree species in non-forested *landscapes*.

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

Indicators:

1. *Minimized* chemical use required to achieve management *objectives*.
2. Use of *least-toxic and narrowest-spectrum pesticides* necessary to achieve management *objectives*.
3. Use of pesticides registered for the intended use and applied in accordance with label requirements.
4. Use of *integrated pest management* where feasible.
5. Supervision of forest chemical applications by state- or provincial-trained or certified applicators.
6. Use of management practices appropriate to the situation, for example:
 - a. notification of adjoining landowners or nearby residents concerning applications and chemicals used;
 - b. appropriate multilingual signs or oral warnings;
 - c. control of public road access during and immediately after applications;
 - d. designation of streamside and other needed buffer strips;

- e. use of positive shutoff and minimal-drift spray valves;
- f. aerial application of forest chemicals parallel to buffer zones to *minimize* drift;
- g. monitoring of water quality or safeguards to ensure proper equipment use and *protection* of streams, lakes and other water bodies;
- h. appropriate storage of chemicals;
- i. filing of required state or provincial reports; and/or
- j. use of methods to ensure *protection of threatened and endangered* species.

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

Indicators:

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

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

Indicators:

1. *Program* to protect forests from damaging agents.
2. Management to promote healthy and productive forest conditions to *minimize* susceptibility to damaging agents.

3. Participation in, and support of, fire and pest prevention and control *programs*.

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

Indicator:

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

Objective 3. Protection and Maintenance of Water Resources.

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

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

Indicators:

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

Performance Measure 3.2. *Program Participants* shall have or develop, implement and document *riparian protection* measures based on soil type, terrain, vegetation, ecological function, harvesting system and other applicable factors.

Indicators:

1. *Program* addressing management and *protection* of rivers, streams, lakes, and other water bodies and *riparian* zones.
2. Mapping of rivers, streams, lakes, and other water bodies as specified in state or provincial *best management practices* and, where appropriate, identification on the ground.

3. Implementation of plans to manage or protect rivers, streams, lakes, and other water bodies.

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

5. Where regulations or *best management practices* do not currently exist to protect *riparian* areas, use of experts to identify appropriate *protection* measures.

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

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

Performance Measure 4.1. *Program Participants* shall have *programs* to promote *biological diversity* at *stand-* and *landscape-levels*.

Indicators:

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

where credible data are available, across the *landscape*, and take into account findings in planning and management activities.

6. Support of and participation in plans or *programs* for the *conservation of old-growth forests* in the region of ownership.
7. Participation in *programs* and demonstration of activities as appropriate to limit the introduction, impact and spread of *invasive exotic plants and animals* that directly threaten or are likely to threaten *native* plant and animal communities.
8. *Program* to incorporate the role of prescribed or natural fire where appropriate.

Performance Measure 4.2. *Program Participants* shall apply knowledge gained through research, science, technology and field experience to manage *wildlife habitat* and contribute to the *conservation of biological diversity*.

Indicators:

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

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

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

Indicators:

1. *Program* to address *visual quality management*.
2. Incorporation of aesthetic considerations in harvesting, road, landing design and management, and other management activities where visual impacts are a concern.

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

Indicators:

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

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

Indicators:

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

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

Indicator:

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

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

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

Indicators:

1. Use of information such as existing natural heritage data, expert advice or stakeholder consultation in identifying or selecting *special sites* for *protection*.

2. Appropriate mapping, cataloging and management of identified *special sites*.

Objective 7. Efficient Use of Forest Resources. To promote the efficient use of forest resources.

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

Indicator:

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

SFI 2010-2014 STANDARD OBJECTIVES 8-13 FOR FIBER SOURCING

Fiber sourcing within the United States and Canada (*Objectives 8-10* apply).

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

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

Indicators:

1. *Program Participants* shall supply regionally appropriate information or services (e.g. information packets, websites, newsletters, workshops, tours, etc.) to forest

landowners, describing the importance and providing implementation guidance on:

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

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

3. Encourage forest landowners to participate in forest management certification *programs*.

Objective 9. Use of Qualified Resource and Qualified Logging Professionals. To broaden the practice of *sustainable forestry* by encouraging forest landowners to utilize the services of forest management and harvesting professionals.

Performance Measure 9.1. *Program Participants* shall encourage landowners to utilize the services of *certified logging professionals* (where available), *qualified resource professionals* and *qualified logging professionals* in applying *principles* of sustainable forest management on their lands.

Indicators:

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

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

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

Indicators:

1. *Program* for the purchase of raw material from *certified logging professionals* (where available) and from *wood producers* that have completed training *programs* and are recognized as *qualified logging professionals*.
2. *Program* to require that harvests of *purchased stumpage* comply with *best management practices*.
3. Contracts for the purchase of raw material include provisions requiring the use of *best management practices*.
4. *Program* to address adverse weather conditions.
5. *Program Participants* shall clearly define their *fiber sourcing policies* in writing and make them available to *wood producers*.

Performance Measure 10.2. *Program Participants* shall monitor the use of *best management practices*.

Indicators:

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

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

Objective 11. Promote Conservation of Biological Diversity, Biodiversity Hotspots and High-Biodiversity Wilderness Areas. To broaden the practice of *sustainable forestry* by conserving *biological diversity*, *biodiversity hotspots* and *high-biodiversity wilderness areas*.

Performance Measure 11.1. *Program Participants* shall ensure that their *fiber sourcing programs* support the *principles of sustainable forestry*, including efforts to promote *conservation of biological diversity*.

Indicators:

1. *Fiber sourcing* from areas outside the United States and

Canada promotes *conservation* of:

- a. *biodiversity hotspots* and *high-biodiversity wilderness areas* utilizing information from Conservation International; and
- b. *biological diversity* utilizing information from organizations such as the *Alliance for Zero Extinction*, World Wildlife Fund, World Resources Institute and International Union for Conservation of Nature.

2. *Program* with *direct suppliers* to promote the *principles of sustainable forestry*.

3. Documented information that includes knowledge about *direct suppliers'* application of the *principles of sustainable forestry*.

Objective 12. Avoidance of Controversial Sources including Illegal Logging. To broaden the practice of *sustainable forestry* by avoidance of illegal logging.

Performance Measure 12.1. *Program Participants* shall ensure that their *fiber sourcing programs* support the *principles of sustainable forestry*, including efforts to thwart *illegal logging*.

Indicators:

1. Process to assess the risk that the *Program Participant's fiber sourcing program* could acquire material from *illegal logging*.
2. *Program* to address any significant risk identified under 12.1.1.
3. *Program* with *direct suppliers* to promote the *principles of sustainable forestry*.
4. Documented information that includes knowledge about *direct suppliers'* application of the *principles of sustainable forestry*.

Objective 13. Avoidance of Controversial Sources including Fiber Sourced from Areas without Effective Social Laws. To broaden the practice of *sustainable forestry* by avoiding controversial sources.

Performance Measure 13.1. *Program Participants* shall avoid *controversial sources* and encourage socially sound practices.

Indicators:

1. Process to assess the risk that the *Program Participant's fiber sourcing* could take place in countries without effective laws addressing the following:
 - a. workers' health and safety;
 - b. fair labor practices;
 - c. indigenous peoples' rights;
 - d. anti-discrimination and anti-harassment measures;
 - e. prevailing wages; and
 - f. workers' right to organize.
2. *Program* to address any significant risk identified under 13.1.1.

SFI 2010-2014 STANDARD OBJECTIVES 14-20 FOR FOREST LAND MANAGEMENT AND FIBER SOURCING

Objective 14. Legal and Regulatory Compliance. Compliance with applicable federal, provincial, state and local laws and regulations.

Performance Measure 14.1. *Program Participants* shall take appropriate steps to comply with applicable federal, provincial, state and local *forestry* and related social and environmental laws and regulations.

Indicators:

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

Performance Measure 14.2. *Program Participants* shall take appropriate steps to comply with all applicable social laws at the federal, provincial, state and local levels in the country in which the *Program Participant* operates.

Indicators:

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

2. *Forestry enterprises* will respect the rights of workers and labor representatives in a manner that encompasses the intent of the International Labor Organization (ILO) core conventions.

Objective 15. Forestry Research, Science, and Technology. To support *forestry* research, science, and technology, upon which sustainable forest management decisions are based.

Performance Measure 15.1. *Program Participants* shall individually and/or through cooperative efforts involving *SFI Implementation Committees*, associations or other partners provide in-kind support or funding for forest research to improve *forest health, productivity*, and sustainable management of forest resources, and the environmental benefits and performance of forest products.

Indicators:

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

Performance Measure 15.2. *Program Participants* shall individually and/or through cooperative efforts involving *SFI Implementation Committees*, associations or other

partners develop or use state, provincial or regional analyses in support of their *sustainable forestry programs*.

Indicator:

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

Performance Measure 15.3. *Program Participants* shall individually and/or through cooperative efforts involving *SFI Implementation Committees*, associations or other partners broaden the awareness of climate change impacts on forests, *wildlife* and *biological diversity*.

Indicators:

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

Objective 16. Training and Education. To improve the implementation of *sustainable forestry* practices through appropriate training and education *programs*.

Performance Measure 16.1. *Program Participants* shall require appropriate training of personnel and contractors so that they are competent to fulfill their responsibilities under the *SFI 2010-2014 Standard*.

Indicators:

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

3. Staff education and training sufficient to their roles and responsibilities.

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

5. *Forestry enterprises* shall have a *program* for the use of *certified logging professionals* (where available) and *qualified logging professionals*.

Performance Measure 16.2. *Program Participants* shall work individually and/or with *SFI Implementation Committees*, logging or *forestry* associations, or appropriate agencies or others in the *forestry* community to foster improvement in the professionalism of *wood producers*.

Indicators:

1. Participation in or support of *SFI Implementation Committees* to establish criteria and identify delivery mechanisms for *wood producers'* training courses that address:
 - a. awareness of *sustainable forestry principles* and the *SFI* program;
 - b. *best management practices*, including streamside management and road construction, maintenance and retirement;
 - c. *reforestation*, *invasive exotic plants and animals*, forest resource *conservation*, *aesthetics*, and *special sites*;
 - d. awareness of responsibilities under the U.S. Endangered Species Act, the Canadian Species at Risk Act, and other measures to protect *wildlife habitat* (e.g. *Forests with Exceptional Conservation Value*);
 - e. logging safety;
 - f. U.S. Occupational Safety and Health Administration (OSHA) and Canadian Centre for Occupational Health and Safety (COHS) regulations, wage and hour rules, and other provincial, state and local employment laws;
 - g. transportation issues;
 - h. business management;
 - i. public *policy* and outreach; and
 - j. awareness of emerging technologies.
2. Participation in or support of *SFI Implementation Committees* to establish criteria for recognition of logger certification *programs*, where they exist, that include:
 - a. completion of *SFI Implementation Committee* recognized logger training *programs* and meeting continuing education requirements of the training *program*;
 - b. independent in-the-forest verification of conformance with the logger certification *program* standards;

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

Objective 17. Community Involvement in the Practice of Sustainable Forestry. To broaden the practice of *sustainable forestry* by encouraging the public and *forestry* community to participate in the commitment to *sustainable forestry*, and publicly report progress.

Performance Measure 17.1. *Program Participants* shall support and promote efforts by consulting foresters, state, provincial and federal agencies, state or local groups, professional societies, *conservation* organizations, indigenous peoples and governments, community groups, sporting organizations, labor, universities, extension agencies, the *American Tree Farm System*[®] and/or other landowner cooperative programs to apply *principles* of sustainable forest management.

Indicators:

1. Support, including financial, for efforts of *SFI Implementation Committees*.
2. Support for the development of educational materials for use with forest landowners (e.g. information packets, websites, newsletters, workshops, tours, etc.).
3. Support for the development of regional, state or provincial information materials that provide forest landowners with practical approaches for addressing *special sites* and *biological diversity* issues, such as *invasive exotic plants and animals*, specific *wildlife habitat*, *Forests with Exceptional Conservation Value*, and *threatened and endangered* species.
4. Participation in efforts to support or promote *conservation* of managed forests through voluntary market-based incentive *programs* such as current-use taxation

programs, Forest Legacy Program¹ or *conservation* easements.

5. *Program Participants* are knowledgeable about credible regional *conservation* planning and priority-setting efforts that include a broad range of stakeholders and have a *program* to take into account the results of these efforts in planning.

Performance Measure 17.2. *Program Participants* shall support and promote, at the state, provincial or other appropriate levels, mechanisms for public outreach, education and involvement related to sustainable forest management.

Indicator:

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

Performance Measure 17.3. *Program Participants* shall establish, at the state, provincial, or other appropriate levels, procedures to address concerns raised by loggers, consulting foresters, employees, unions, the public or other *Program Participants* regarding practices that appear inconsistent with the *SFI Standard principles* and *objectives*.

Indicators:

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

Objective 18: Public Land Management Responsibilities. To promote and implement sustainable forest management on *public lands*.

Performance Measure 18.1. *Program Participants* with forest *management responsibilities on public lands* shall participate in the development of *public land* planning and management processes.

¹ The Forest Legacy Program, a voluntary U.S. government program in partnership with the states, supports state efforts to protect environmentally sensitive forest lands that are privately owned.

Indicators:

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

Performance Measure 18.2. *Program Participants* with forest management responsibilities on public lands shall confer with affected indigenous peoples.

Indicator:

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

Objective 19. Communications and Public Reporting. To broaden the practice of *sustainable forestry* by documenting progress and opportunities for improvement.

Performance Measure 19.1. A *Certified Program Participant* shall provide a summary audit report, prepared by the *certification body*, to *SFI Inc.* after the successful completion of a certification, recertification or surveillance audit to the *SFI 2010-2014 Standard*.

Indicator:

1. The summary audit report submitted by the *Program Participant* (one copy must be in English), shall include, at a minimum,
 - a. a description of the audit process, *objectives* and scope;
 - b. a description of substitute *indicators*, if any, used in the audit and a rationale for each;
 - c. the name of *Program Participant* that was audited, including its SFI representative;
 - d. a general description of the *Program Participant's* forestland and manufacturing operations included in the audit;
 - e. the name of the *certification body* and *lead auditor* (names of the *audit team* members, including *technical*

experts may be included at the discretion of the *audit team* and *Program Participant*);

- f. the dates the certification was conducted and completed;
- g. a summary of the findings, including general descriptions of evidence of conformity and any non-conformities and corrective action plans to address them, opportunities for improvement, and exceptional practices; and
- h. the certification decision.

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

Performance Measure 19.2. *Program Participants* shall report annually to *SFI Inc.* on their conformance with the *SFI 2010-2014 Standard*.

Indicators:

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

Objective 20. Management Review and Continual Improvement. To promote continual improvement in the practice of *sustainable forestry*, and to monitor, measure and report performance in achieving the commitment to *sustainable forestry*.

Performance Measure 20.1. *Program Participants* shall establish a management review system to examine findings and progress in implementing the *SFI Standard*, to make appropriate improvements in *programs*, and to inform their employees of changes.

Indicators:

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