

## **5.0 APPENDIX**

**Appendix 5.1a. Identified FSC Non-Conformances.** “C” denotes conformance for all indicators in the criterion. “Minor” or “Minor” denotes when one or more minor non-conformances, or a major nonconformance was reported for the criterion or supporting indicators.

Principles and Criteria (FSC National Indicators)	LFSU	ANF	MHNF	CNNF	NFF
<b>Principle 1: COMPLIANCE WITH LAWS AND FSC PRINCIPLES</b> Forest management shall respect all applicable laws of the country in which they occur, and international treaties and agreements to which the country is signatory, and comply with all FSC Principles and Criteria.					
1.1. Forest management shall respect all national and local laws and administrative requirements.	C	C	C	C	MINOR
1.2. All applicable and legally prescribed fees, royalties, taxes and other charges shall be paid.	C	C	C	C	C
1.3. In signatory countries, the provisions of all binding international agreements such as CITES, ILO Conventions, ITTA and Convention on Biological Diversity, shall be respected.	C	C	C	C	C
1.4. Conflicts between laws, regulations and the FSC Principles and Criteria shall be evaluated for the purposes of certification, on a case-by-case basis, by the certifiers and the involved or affected parties.	MINOR	C	MINOR	C	C
1.5. Forest management areas should be protected from illegal harvesting, settlement, and other unauthorized activities.	C	C	C	C	C
1.6. Forest managers shall demonstrate a long-term commitment to adhere to the FSC Principles and Criteria.	MAJOR	MINOR	MAJOR	MINOR	MAJOR
<b>Principle 2: TENURE AND USE RIGHTS AND RESPONSIBILITIES</b> Long-term tenure and use rights to the land and forest resources shall be clearly defined, documented and legally established.					
2.1. Clear evidence of long-term forest use rights to the land (e.g., land title, customary rights, or lease agreements) shall be demonstrated.	C	C	C	C	C
2.2. Local communities with legal or customary tenure or use rights shall maintain control, to the extent necessary to protect their rights or resources, over forest operations unless they delegate control with free and informed consent to other agencies.	C	C	C	MINOR	C
2.3. Appropriate mechanisms shall be employed to resolve disputes over tenure claims and use rights. The circumstances and status of any outstanding disputes will be explicitly considered in the certification evaluation. Disputes of substantial magnitude involving a significant number of interests will normally disqualify an operation from being certified.	C	C	C	C	C
<b>Principle 3: INDIGENOUS PEOPLE’S RIGHTS</b> The legal and customary rights of indigenous peoples to own, use and manage their lands, territories, and resources shall be recognized and respected. <i>Applicability Note: The terms “tribes”, “tribal” or “American Indian groups” in indicators under Principle 3 include all indigenous people in the US, groups or individuals, who may be organized in recognized or unrecognized tribes, bands, nations, native corporations, rancherias (see Glossary), or other native groups.</i>					
3.1. Indigenous peoples shall control forest management on their lands and territories unless they delegate control with free and informed consent to other agencies.	C	C	C	C	MINOR

<b>Principles and Criteria (FSC National Indicators)</b>	<b>LFSU</b>	<b>ANF</b>	<b>MHNF</b>	<b>CNNF</b>	<b>NFF</b>
3.2. Forest management shall not threaten or diminish, either directly or indirectly, the resources or tenure rights of indigenous peoples.	C	C	C	C	MINOR
3.3. Sites of special cultural, ecological, economic or religious significance to indigenous peoples shall be clearly identified in cooperation with such peoples, and recognized and protected by forest managers.	C	C	C	C	C
3.4. Indigenous peoples shall be compensated for the application of their traditional knowledge regarding the use of forest species or management systems in forest operations. This compensation is formally agreed upon with their free and informed consent before forest operations commence.	C	C	C	C	C
<b>Principle 4: COMMUNITY RELATIONS AND WORKERS' RIGHTS Forest management operations shall maintain or enhance the long-term social and economic well-being of forest workers and local communities.</b>					
4.1. The communities within, or adjacent to, the forest management area should be given opportunities for employment, training, and other services.	C	C	C	C	MAJOR
4.2. Forest management should meet or exceed all applicable laws and/or regulations covering health and safety of employees and their families.	C	MINOR	C	C	C
4.3. The rights of workers to organize and voluntarily negotiate with their employers shall be guaranteed as outlined in Conventions 87 and 98 of the International Labor Organization (ILO).	C	C	C	C	C
4.4. Management planning and operations shall incorporate the results of evaluations of social impact. Consultations shall be maintained with people and groups directly affected by management operations.	C	C	C	C	C
4.5. Appropriate mechanisms shall be employed for resolving grievances and for providing fair compensation in the case of loss or damage affecting the legal or customary rights, property, resources, or livelihood of local peoples. Measures shall be undertaken to avoid such loss or damage.	C	C	C	C	C
<b>Principle 5: BENEFITS FROM THE FOREST Forest management operations shall encourage the efficient use of the forest's multiple products and services to ensure economic viability and a wide range of environmental and social benefits.</b>					
5.1. Forest management should strive toward economic viability, while taking into account the full environmental, social, and operational costs of production, and ensuring the investments necessary to maintain the ecological productivity of the forest.	MINOR	C	MAJOR	MINOR	MINOR
5.2. Forest management and marketing operations should encourage the optimal use and local processing of the forest's diversity of products.	MINOR	MINOR	C	MINOR	C
5.3. Forest management should minimize waste associated with harvesting and on-site processing operations and avoid damage to other forest resources.	C	C	C	C	C

Principles and Criteria (FSC National Indicators)	LFSU	ANF	MHNF	CNNF	NFF
5.4. Forest management should strive to strengthen and diversify the local economy, avoiding dependence on a single forest product.	C	C	C	C	C
5.5. Forest management operations shall recognize, maintain, and, where appropriate, enhance the value of forest services and resources such as watersheds and fisheries.	C	C	C	C	C
5.6. The rate of harvest of forest products shall not exceed levels which can be permanently sustained.	MINOR	C	MINOR	C	C
<b>Principle 6: ENVIRONMENTAL IMPACT</b> Forest management shall conserve biological diversity and its associated values, water resources, soils, and unique and fragile ecosystems and landscapes, and, by so doing, maintain the ecological functions and the integrity of the forest. <i>Applicability Note: Small landowners that practice low intensity forestry may meet this requirement with brief, informal assessments. More extensive and detailed assessments (e.g., formal assessments by scientists) are expected by large landowners and/or those who practice more intensive forestry (see Glossary) management.</i>					
6.1. Assessment of environmental impacts shall be completed — appropriate to the scale, intensity of forest management and the uniqueness of the affected resources — and adequately integrated into management systems. Assessments shall include landscape level considerations as well as the impacts of on-site processing facilities. Environmental impacts shall be assessed prior to commencement of site-disturbing operations.	C	MINOR	C	MINOR	C
6.2. Safeguards shall exist which protect rare, threatened and endangered species and their habitats (e.g., nesting and feeding areas). Conservation zones and protection areas shall be established, appropriate to the scale and intensity of forest management and the uniqueness of the affected resources. Inappropriate hunting, fishing, trapping and collecting shall be controlled.	C	MINOR	C	C	C
6.3. Ecological functions and values shall be maintained intact, enhanced, or restored, including: a) Forest regeneration and succession. b) Genetic, species, and ecosystem diversity. c) Natural cycles that affect the productivity of the forest ecosystem.	C	C	MAJOR	MINOR	C
6.4. Representative samples of existing ecosystems within the landscape shall be protected in their natural state and recorded on maps, appropriate to the scale and intensity of operations and the uniqueness of the affected resources.	C	C	C	MINOR	C
6.5. Written guidelines shall be prepared and implemented to: control erosion; minimize forest damage during harvesting, road construction, and all other mechanical disturbances; and protect water resources.	MINOR	MINOR	MINOR	C	MINOR
6.6. Management systems shall promote the development and adoption of environmentally friendly non-chemical methods of pest management and strive to avoid the use of chemical pesticides. World Health Organization Type 1A and 1B and chlorinated hydrocarbon pesticides; pesticides that are persistent, toxic or whose derivatives remain biologically active and accumulate in the food chain beyond their intended use; as well as any pesticides banned by international agreement, shall be prohibited. If chemicals are used, proper equipment and training shall be provided to minimize health and environmental risks.	C	MINOR	MINOR	C	MINOR

<b>Principles and Criteria (FSC National Indicators)</b>	<b>LFSU</b>	<b>ANF</b>	<b>MHNF</b>	<b>CNNF</b>	<b>NFF</b>
6.7. Chemicals, containers, liquid and solid non-organic wastes including fuel and oil shall be disposed of in an environmentally appropriate manner at off-site locations.	<b>C</b>	<b>MINOR</b>	<b>C</b>	<b>C</b>	<b>C</b>
6.8. Use of biological control agents shall be documented, minimized, monitored and strictly controlled in accordance with national laws and internationally accepted scientific protocols. Use of genetically modified organisms shall be prohibited.	<b>C</b>	<b>C</b>	<b>C</b>	<b>C</b>	<b>C</b>
6.9. The use of exotic species shall be carefully controlled and actively monitored to avoid adverse ecological impacts.	<b>C</b>	<b>C</b>	<b>C</b>	<b>C</b>	<b>C</b>
6.10. Forest conversion to plantations or non-forest land uses shall not occur, except in circumstances where conversion: a) Entails a very limited portion of the forest management unit; and b) Does not occur on high conservation value forest areas; and c) Will enable clear, substantial, additional, secure, long term conservation benefits across the forest management unit.	<b>C</b>	<b>C</b>	<b>C</b>	<b>C</b>	<b>C</b>
<b>Principle 7: MANAGEMENT PLAN A management plan — appropriate to the scale and intensity of the operations — shall be written, implemented, and kept up to date. The long-term objectives of management, and the means of achieving them, shall be clearly stated.</b>					
7.1. The management plan and supporting documents shall provide: a) Management objectives. b) Description of the forest resources to be managed, environmental limitations, land use and ownership status, socio-economic conditions, and a profile of adjacent lands. c) Description of silvicultural and/or other management system, based on the ecology of the forest in question and information gathered through resource inventories. d) Rationale for rate of annual harvest and species selection. e) Provisions for monitoring of forest growth and dynamics. f) Environmental safeguards based on environmental assessments. g) Plans for the identification and protection of rare, threatened and endangered species. h) Maps describing the forest resource base including protected areas, planned management activities and land ownership. i) Description and justification of harvesting techniques and equipment to be used.	<b>MINOR</b>	<b>MINOR</b>	<b>C</b>	<b>MINOR</b>	<b>C</b>
7.2. The management plan shall be periodically revised to incorporate the results of monitoring or new scientific and technical information, as well as to respond to changing environmental, social and economic circumstances.	<b>MINOR</b>	<b>C</b>	<b>MINOR</b>	<b>C</b>	<b>MINOR</b>
7.3. Forest workers shall receive adequate training and supervision to ensure proper implementation of the management plans.	<b>C</b>	<b>MINOR</b>	<b>C</b>	<b>C</b>	<b>C</b>
7.4. While respecting the confidentiality of information, forest managers shall make publicly available a summary of the primary elements of the management plan, including those listed in Criterion 7.1.	<b>C</b>	<b>C</b>	<b>C</b>	<b>C</b>	<b>C</b>
<b>Principle 8: MONITORING AND ASSESSMENT Monitoring shall be conducted — appropriate to the scale and intensity of forest management — to assess the condition of the forest, yields of forest products, chain of custody, management activities and their social and environmental impacts.</b>					
8.1. The frequency and intensity of monitoring should be determined by the scale and intensity of forest management operations as well as the relative complexity and fragility of the affected environment. Monitoring procedures should be consistent and replicable over time to allow comparison of results and assessment of change.	<b>C</b>	<b>MINOR</b>	<b>C</b>	<b>MINOR</b>	<b>C</b>

<b>Principles and Criteria (FSC National Indicators)</b>	<b>LFSU</b>	<b>ANF</b>	<b>MHNF</b>	<b>CNNF</b>	<b>NFF</b>
8.2. Forest management should include the research and data collection needed to monitor, at a minimum, the following indicators: a) Yield of all forest products harvested. b) Growth rates, regeneration, and condition of the forest. c) Composition and observed changes in the flora and fauna. d) Environmental and social impacts of harvesting and other operations. e) Cost, productivity, and efficiency of forest management.	MINOR	MINOR	MINOR	MINOR	C
8.3. Documentation shall be provided by the forest manager to enable monitoring and certifying organizations to trace each forest product from its origin, a process known as the "chain-of-custody."	MAJOR	C	MINOR	MINOR	C
8.4. The results of monitoring shall be incorporated into the implementation and revision of the management plan.	C	C	C	C	MINOR
8.5. While respecting the confidentiality of information, forest managers shall make publicly available a summary of the results of monitoring indicators, including those listed in Criterion 8.2.	C	C	C	C	C
<b>Principle 9: MAINTENANCE OF HIGH CONSERVATION VALUE FORESTS</b> Management activities in high conservation value forests shall maintain or enhance the attributes which define such forests. Decisions regarding high conservation value forests shall always be considered in the context of a precautionary approach. High Conservation Value Forests are those that possess one or more of the following attributes: a) Forest areas containing globally, regionally or nationally significant: concentrations of biodiversity values (e.g., endemism, endangered species, refugia); and/or large landscape level forests, contained within, or containing the management unit, where viable populations of most if not all naturally occurring species exist in natural patterns of distribution and abundance b) Forest areas that are in or contain rare, threatened or endangered ecosystems c) Forest areas that provide basic services of nature in critical situations (e.g., watershed protection, erosion control) d) Forest areas fundamental to meeting basic needs of local communities (e.g., subsistence, health) and/or critical to local communities' traditional cultural identity (areas of cultural, ecological, economic or religious significance identified in cooperation with such local communities).					
9.1. Assessment to determine the presence of the attributes consistent with High Conservation Value Forests will be completed, appropriate to scale and intensity of forest management.	MAJOR	C	MAJOR	MINOR	C
9.2. The consultative portion of the certification process must place emphasis on the identified conservation attributes, and options for the maintenance thereof	MAJOR	C	MAJOR	MINOR	C
9.3. The management plan shall include and implement specific measures that ensure the maintenance and/or enhancement of the applicable conservation attributes consistent with the precautionary approach. These measures shall be specifically included in the publicly available management plan summary.	MAJOR	MINOR	MAJOR	MINOR	C
9.4. Annual monitoring shall be conducted to assess the effectiveness of the measures employed to maintain and enhance the applicable conservation attributes.	MAJOR	MINOR	MAJOR	MINOR	C
<b>Principle 10: PLANTATIONS</b> Plantations shall be planned and managed in accordance with Principles and Criteria 1 - 9, and Principle 10 and its Criteria. While plantations can provide an array of social and economic benefits, and can contribute to satisfying the world's needs for forest products, they should complement the management of, reduce pressures on, and promote the restoration and conservation of natural forests.					
10.1. The management objectives of the plantation, including natural forest conservation and restoration objectives, shall be explicitly stated in the management plan, and clearly demonstrated in the implementation of the plan.	C	C	C	C	C

Principles and Criteria (FSC National Indicators)	LFSU	ANF	MHNF	CNNF	NFF
10.2. The design and layout of plantations should promote the protection, restoration, and conservation of natural forests, and not increase pressures on natural forests. Wildlife corridors, streamside zones, and a mosaic of stands of different ages and rotation periods, shall be used in the layout of the plantation, consistent with the scale of the operation. The scale and layout of plantation blocks shall be consistent with the patterns of forest stands found within the natural landscape.	C	C	C	C	C
10.3. Diversity in the composition of plantations is preferred, so as to enhance economic, ecological, and social stability. Such diversity may include the size and spatial distribution of management units within the landscape, number and genetic composition of species, age classes, and structures.	C	C	C	C	C
10.4. The selection of species for planting shall be based on their overall suitability for the site and their appropriateness to the management objectives. In order to enhance the conservation of biological diversity, native species are preferred over exotic species in the establishment of plantations and the restoration of degraded ecosystems. Exotic species, which shall be use only when their performance is greater than that of native species, shall be carefully monitored to detect unusual mortality, disease, or insect outbreaks and adverse ecological impacts.	C	C	C	C	C
10.5. A proportion of the overall forest management area, appropriate to the scale of the plantation and to be determined in regional standards, shall be managed so as to restore the site to a natural forest cover.	C	C	C	C	C
10.6. Measures shall be taken to maintain or improve soil structure, fertility, and biological activity. The techniques and rate of harvesting, road and trail construction and maintenance, and the choice of species shall not result in long-term soil degradation or adverse impacts on water quality, quantity, or substantial deviation from stream course drainage patterns.	C	C	C	C	C
10.7. Measures shall be taken to prevent and minimize outbreaks of pests, diseases, fire, and invasive plant introductions. Integrated pest management shall form an essential part of the management plan, with primary reliance on prevention and biological control methods rather than chemical pesticides and fertilizers. Plantation management should make every effort to move away from chemical pesticides and fertilizers, including their use in nurseries. The use of chemicals is also covered in Criteria 6.6 and 6.7.	C	C	C	C	MINOR
10.8. Appropriate to the scale and diversity of the operation, monitoring of plantations shall include regular assessments of potential on-site and off-site ecological and social impacts (e.g., natural regeneration, effects on water resources and soil fertility, and impacts on local welfare and social well-being), in addition to those elements addressed in principles 8, 6, and 4. No species should be planted on a large scale until local trials and/or experience have shown that they are ecologically well-adapted to the site, are not invasive, and do not have significant negative ecological impacts on other ecosystems. Special attention will be paid to social issues of land acquisition for plantations, especially the protection of local rights of owner- ship, use or access.	C	C	C	C	C

Principles and Criteria (FSC National Indicators)	LFSU	ANF	MHNF	CNNF	NFF
10.9. Plantations established in areas converted from natural forests after November 1994 normally shall not qualify for certification. Certification may be allowed in circumstances where sufficient evidence is submitted to the certification body that the manager/owner is not responsible directly or indirectly for such conversion	C	C	C	C	C



**Appendix 5.1b.** Identified SFI non-conformances (C=Conformance; MIN= Minor Non-Conformance; MAJ=Major Non-conformance).

<b>SFI Objectives and Performance Measures (SFIS 2004 – 2009)</b>	<b>LFSU</b>	<b>ANF</b>	<b>MHNF</b>	<b>CNNF</b>	<b>NFF</b>
<b>Objective 1: To broaden the implementation of sustainable forestry by ensuring long-term harvest levels based on the use of the best scientific information available.</b>					
1.1 Program Participants shall ensure that long-term harvest levels are sustainable and consistent with appropriate growth and-yield models and written plans.	C	C	MAJ	C	MAJ (1.1.1)
<b>Objective 2: To ensure long-term forest productivity and conservation of forest resources through prompt reforestation, soil conservation, afforestation and other measures.</b>					
2.1. Program Participants shall reforest after final harvest, unless delayed for site-specific environmental or forest health considerations, through artificial regeneration within two years or two planting seasons, or by planned natural regeneration methods within five years.	C	C	C	C	C
2.2. Program Participants shall minimize chemical use required to achieve management objectives while protecting employees, neighbors, the public and the forest environment.	C	C	C	C	C
2.3. Program Participants shall implement management practices to protect and maintain forest and soil productivity.	C	C	C	C	C
2.4 Program Participants shall manage so as to protect forests from damaging agents such as environmentally or economically undesirable wildfire, pests and diseases to maintain and improve long-term forest health, productivity and economic viability.	MAJ	MIN	MAJ	C	MIN (2.4.2)
2.5. Program Participants that utilize genetically improved planting stock including those derived through biotechnology shall use sound scientific methods and follow all applicable laws and other internationally applicable protocols.	C	C	C	C	C
<b>Objective 3: To protect water quality in streams, lakes and other water bodies.</b>					
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 EPA-approved state water quality programs other applicable federal, provincial, state or local programs.	C	C	C	C	C
3.2. Program Participant shall have or develop, implement, and document, riparian protection measures based on soil type, terrain, vegetation and other applicable factors.	C	C	C	C	C

<b>SFI Objectives and Performance Measures (SFIS 2004 – 2009)</b>	<b>LFSU</b>	<b>ANF</b>	<b>MHNF</b>	<b>CNNF</b>	<b>NFF</b>
<b>Objective 4: 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 fauna.</b>					
4.1. Program participants shall have programs to promote biological diversity at stand- and landscape- scales.	C	C	C	C	C
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.	C	C	C	C	C
<b>Objective 5: To manage the visual impact of harvesting and other forest operations.</b>					
5.1. Program Participants shall manage the impact of harvesting on visual quality.	C	C	C	C	C
5.2. Program Participants shall manage the size, shape, and placement of clearcut harvests.	NA	C	NA	C	C
5.3. Program Participants shall adopt a green-up requirement or alternative methods that provide for visual quality.	NA	C	C	C	C
<b>Objective 6: To manage Program Participant lands that are ecologically, geologically, historically, or culturally important in a manner that recognizes their special qualities.</b>					
6.1. Program Participants shall identify special sites and manage them in a manner appropriate for their unique features.	C	C	C	C	C
<b>Objective 7: To promote the efficient use of forest resources.</b>					
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.	C	C	C	C	C
<b>Objective 8: To broaden the practice of sustainable forestry through procurement programs</b>	NA	NA	NA	NA	NA
<b>Objective 9: To improve forestry research, science, and technology, upon which sound forest management decisions are based.</b>					

<b>SFI Objectives and Performance Measures (SFIS 2004 – 2009)</b>	<b>LFSU</b>	<b>ANF</b>	<b>MHNF</b>	<b>CNNF</b>	<b>NFF</b>
9.1. Program Participants shall individually, through cooperative efforts, or through associations provide in-kind support or funding, in addition to that generated through taxes, for forest research to improve the health, productivity, and management of forest resources.	C	C	C	C	C
9.2. Program Participants shall individually, through cooperative efforts, or through associations develop or use state, provincial, or regional analyses in support of their sustainable forestry programs.	C	C	C	C	C
<b>Objective 10: To improve the practice of sustainable forest management by resource professionals, logging professionals, and contractors through appropriate training and education programs.</b>					
10.1. Program Participants shall require appropriate training of personnel and contractors so that they are competent to fulfill their responsibilities under the SFI Standard.	MAJ	MAJ	MAJ	MAJ	MAJ
10.2. Participants shall work closely with state logging or forestry associations, or appropriate agencies or others in the forestry community, to foster improvement in the professionalism of wood producers.	C	C	MAJ	C	MAJ
<b>Objective 11: Commitment to comply with applicable federal, provincial, state, or local laws and regulations.</b>					
11.1. Program Participants shall take appropriate steps to comply with applicable federal, provincial, state, and local forestry and related environmental laws and regulations.	C	C	C	C	MIN (11.1.2)
11.2. 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 Participant operates.	C	C	C	C	C
<b>Objective 12: 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.</b>					
12.1. Program Participants shall support and promote efforts by consulting foresters, state and federal agencies, state or local groups, professional societies, and the American Tree Farm System® and other landowner cooperative programs to apply principles of sustainable forest management.	C	C	C	C	MAJ (12.1.1)
12.2. Program Participants shall support and promote, at the state, provincial or other appropriate levels, mechanisms for public outreach, education, and involvement related to forest management.	C	C	C	C	MAJ (12.2.1)
12.3. Program Participants with forest management responsibilities on public lands shall participate in the development of public land planning and management processes.	C	C	C	C	C

<b>SFI Objectives and Performance Measures (SFIS 2004 – 2009)</b>	<b>LFSU</b>	<b>ANF</b>	<b>MHNF</b>	<b>CNNF</b>	<b>NFF</b>
12.4. Program Participants with forest management responsibilities on public lands shall confer with affected indigenous peoples.	C	C	C	C	C
12.5. Program Participants shall establish, at the state, provincial, or other appropriate levels, procedures to address concerns raised by loggers, consulting foresters, employees, the public, or Program Participants regarding practices that appear inconsistent with the SFI Standard .	C	C	MAJ	C	MAJ (12.5.1)
12.6. Program Participants shall report annually to the SFI on their compliance with the SFI Standard.	MAJ	MAJ	MAJ	MAJ	MAJ
<b>Objective 13: To promote continual improvement in the practice of sustainable forestry and monitor, measure, and report performance in achieving the commitment to sustainable forestry.</b>					
13.1. 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.	MAJ	MAJ	MAJ	MIN	MAJ

**Appendix 5.2. Conformance with additional considerations reported by FSC auditors.** “C” – conformance, “NC” – non-conformance, “NJ” – no judgment.

ADDITIONAL CONSIDERATIONS	LFSU	ANF	MHNF	CNNF	NFF
AC 1.1.1. By policy and action, managers of National Forests demonstrate a pattern of compliance with applicable federal laws and administrative requirements (e.g. NEPA, ESA, Clean Water Act, NFMA, MUSYA, The Wilderness Act, Wild and Scenic Rivers Act, Organic Act, CFR, Title 7, applicable sections of the US Code, the Forest Service Manual, and Forest Service Handbooks).	C	C	C	C	NJ
AC 1.1.2. Managers of National Forests shall comply with state, county, local and municipal laws except where federal law preempts state, county and local laws. When federal laws preempt compliance with those of other jurisdictions, corresponding statutes or regulations shall be specifically referenced and described.		C		C	
AC 1.5.1. National Forest managers assure that motorized recreational access opportunities and use patterns do not lead to significant adverse environmental impacts. A variety of approaches are used to manage and limit both authorized and unauthorized ATV/OHV activity and related damage. (Note: Examples of such approaches include: <ul style="list-style-type: none"> <li>Deploying law enforcement resources at a scale that is commensurate with the scale and intensity of motorized recreation use activity occurring on the Forest;</li> <li>Establishing and enforcing penalties for unauthorized use sufficient to act as effective deterrents;</li> <li>Ensuring that users are clear about closures through improved signage and other information sharing means;</li> <li>Engaging in active and focused outreach/communications with user groups;</li> <li>Fostering collaborative efforts with ATV/OHV clubs that promote ecologically and socially responsible use of recreational vehicles.)</li> </ul>	C		NC		
AC 1.6. Managers of National Forests shall provide written statements of commitment to the FSC Principals and Criteria, approved at an administrative level with authority to ensure compliance to the full breadth of this standard.					NJ
AC 3.3.1. Solicitation of tribal collaboration is designed around culturally sensitive approaches that honor nation-to-nation relationships.	C	C	C	NC	
AC 3.3.2. Affirmative methods of tribal outreach in accordance with cultural protocols (e.g., in-person meetings, order of contact) are attempted in order to generate substantive tribal response.	C	C	C	C	
AC 4.1.1. Non-local and migrant worker conditions (including transit to and from work sites) are actively monitored by both contractors and Forest Service personnel.	C	C	C	C	
AC 4.1.1. A comprehensive listing of all applicable laws, regulations and administrative requirements and their applicability to USFS forest management shall be maintained with listed documents made accessible to all employees.		C		C	
AC 4.4.1. Where they exist, forest managers participate in and contribute to local community fire protection planning and organizations, such as Fire Safe Councils.			C		
AC 4.4.2. Forest managers develop and implement guidelines for appropriate public involvement that incorporate best practices for stakeholder consultation. The guidelines are distinct from legal timelines for soliciting public comments.			C		
AC 4.5.1. Managers of National Forests establish a policy and mechanism for informally resolving disputes and make it readily available to the public.	C		C		
AC 5.2.1. Forest Service personnel utilize available contracting authorities (e.g., Stewardship and Best-Value contracts) in affording preference for local, financially competitive service providers, value-added processing and manufacturing facilities.			C		

AC 6.1.1. Managers of National Forests use the best available science and information to prepare, at the scale of watersheds or larger, a written description of the historic range of variability of forest conditions and disturbance regimes, including: <ul style="list-style-type: none"> <li>• Description of the intensity, distribution, frequency, size, resulting landscape patterns, and residual stand structures of the major disturbance regimes.</li> <li>• Description of the historic range of variability of estimated composition of forest cover types, typical age class distribution, and estimated stand structures;</li> <li>• Estimates of average fire return intervals for low, medium, and high (stand replacing) intensity fires.</li> </ul>	C	C	C	C	
AC 6.1.2. The description of the historic range of variability of forest conditions is afforded external expert review as well as general public review. Comments received during such reviews are addressed in the final draft of the description of the historic range of variability.	NC	C	NC	C	
AC 6.1.3. Current forest conditions are compared, at appropriate scales, with the historic range of variability of forest conditions. Measures of current forest condition include, but are not limited to: <ul style="list-style-type: none"> <li>• Area, composition (e.g., species and age class distribution), patch size and spatial representation of ecological types including old growth and late seral forests;</li> <li>• Composition and distribution of snags, den trees, mast trees, coarse woody debris and other habitat-related structural elements.</li> </ul>	C	NC	C	NC	
AC 6.1.4. National Forest managers include considerations of the effects (both direct and cumulative) of management activities on neighboring lands as part of the scope of environmental impact assessments.	C	NC	C	NC	
CAC 6.1.5: Intensive (e.g. results in significant alteration to the ecosystem) uses and forest management activities are allocated to those lands with relatively lower ecological sensitivity.				C	
AC 6.2.1. A comprehensive list of the species of interest and species of concern (e.g., species with notable conservation need) is maintained for each National Forest. Managers demonstrate through policies and actions that said species are duly considered in the course of forest management.	NC	C	C	C	
AC 6.3.1. On National Forests, a desired future condition is defined and measurable targets are established for restoring forest composition and structure that are under-represented relative to the historic range of variability (as per analysis from AC 6.1.1-6.1.3). Targets are established with consideration of existing social, environmental and economic factors; management policies and actions demonstrate progress in achieving these targets and do not retard the natural rate of recovery of ecosystems.	NC		C		
AC 6.3.2. Connectivity between important wildlife habitats and key landscape features (such as HCVFs) is retained while implementing even-aged timber management on National Forests.	NA	C	C		
AC 6.3.3. In the absence of overriding ecological considerations, even-aged rotations (for planned “green sales”) on National Forests are at least as long as the culmination of mean annual increment, measured in board feet at the stand level.	NA		C		
AC 6.3.a.1: Climate trends and associated effects on assemblages of flora and fauna are considered when developing strategies for retention of endemic species.				NC	
AC 6.5.1. Forest managers, as part of their transportation system planning effort, complete a review of all legacy roads in the National Forest and develop a management strategy to plan for continued use, necessary upgrades for continued use, or abandonment. This review prioritizes the schedule of road management activities in order to minimize the impact of the overall road system.			NC		
AC 6.5. Where local or Forest Service management guidelines do not specifically reference applicable state BMPs, the land manager shall demonstrate the consistency of protocols and practice with the requirement to “meet or exceed” state BMPs.					NJ
AC 6.5.1. Where federal, state, county and local BMP guidelines, recommendations, and regulations provide several options, the most effective measure is applied.		C		C	

AC 6.5.2. Forest management practices, such as management of cattle grazing, maintain or restore aquatic ecosystems and habitat features, wetlands, and forested riparian areas (including springs, seeps, fens, and vernal pools).	C	C	C	C	
AC 6.9.1. Managers of National Forests identify high risk activities by which invasive exotic plants become established in and/or spread through the Forest. Control mechanisms are implemented for high risk activities associated with Forest Service management responsibilities.	C	C	C	C	
AC 7.1.a.1. Provisions for outdoor recreation are integrated with other uses and appropriately incorporated into management objectives and planning documents.				C	
AC 9.1.1. National Forest managers use either the FSC HCVF Tool Kit, Canadian National Framework for HCVF, Proforest HCVF Tool Kit or develop their own comparable approach for identifying HCVF. The adapted mechanism/methodological approach is made available for external expert review and broad stakeholder comment.	NC	C	NC	NC	
AC 9.1.2. By policy and action, managers of National Forests demonstrate compliance with Section 2(c) of the Wilderness Act and the Wild and Scenic Rivers Act in the course of identifying and designating HCVF.	NC	NC	NC	C	