



# Standard Practice for Categorizing Wood and Wood-Based Products According to Their Fiber Sources<sup>1</sup>

This standard is issued under the fixed designation D7612; the number immediately following the designation indicates the year of original adoption or, in the case of revision, the year of last revision. A number in parentheses indicates the year of last reapproval. A superscript epsilon ( $\epsilon$ ) indicates an editorial change since the last revision or reapproval.

## 1. Scope

1.1 This practice sets forth minimum criteria and evaluation requirements for products employing the use of different systems to trace wood fiber to sources operating under different forest management or forest certification systems.

1.2 The purpose of this practice is to provide wood products manufacturers, distributors, and retailers with a system to provide clear, objective information to communicate to consumers regarding product conformance to different wood fiber tracing systems within specific forest management or forest certification programs. It provides a structure that segregates the different types of labels and tracing systems in use among major forest certification standards and other voluntary and regulatory standards governing the production of forest products.

NOTE 1—The principles in this practice apply internationally, provided that the required information is available to support categorization. For example, products certified to the globally recognized forest certification standards will meet the “Certified Sources” category regardless of their origin, and documented risk assessments (noted in [Appendix X5](#)) provide the basis upon which raw materials sourced from Canada and the United States can be deemed to meet the “Legal Sources” category. To categorize raw materials sourced outside of Canada and the United States as “Legal Sources,” it is recommended that the adopting entity develop supplemental provisions to address country-specific issues as needed.

1.2.1 This practice provides an objective basis to differentiate among:

1.2.1.1 Non-controversial (that is, legal) sources of forest products,

1.2.1.2 Responsible sources of forest products (that is, non-controversial sources together with certified procurement systems or from forests managed using responsible practices), and

1.2.1.3 Certified sources of forest products (that is, non-controversial sources together with certified chain of custody).

1.2.2 This practice is intended to provide a framework to help wood product vendors identify the competent and reliable

evidence needed to substantiate product claims as required by the U.S. Federal Trade Commission’s Guides for the Use of Environmental Marketing Claims (also known as “The Green Guides”).

1.2.3 Products from unknown sources are not covered by this practice.

1.2.4 This practice is intended for voluntary use by manufacturers, distributors, retailers, consumers, and standards developers in the wood products sector.

1.3 The category structure of this practice is derived from publicly available sources or based on the provisions of various forest management or forest certification standards. Documentation of compliance with specific category requirements is the responsibility of the user. The objective of this categorization is to provide a concise and easily communicated description based on grouping of significant practices. It is possible that this grouping will result in some consolidation of concepts and practices of individual programs. Details of these practices or categorization of products complying with more than one program are beyond the scope of this practice.

1.4 *This standard does not purport to address all of the safety concerns, if any, associated with its use. It is the responsibility of the user of this standard to establish appropriate safety and health practices and determine the applicability of regulatory limitations prior to use.*

## 2. Referenced Documents

2.1 *ASTM Standards:*<sup>2</sup>

[D9 Terminology Relating to Wood and Wood-Based Products](#)

[D7480 Guide for Evaluating the Attributes of a Forest Management Plan](#)

2.2 *Other References:*

[FAO Global Forest Resources Assessment 2005, Annex 2](#)  
[Federal Trade Commission, Commercial Practices, Chapter I, Subchapter B; Guides and Trade Practice Rules,](#)

<sup>1</sup> This practice is under the jurisdiction of ASTM Committee [D07](#) on Wood and is the direct responsibility of Subcommittee [D07.08](#) on Forests.

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<sup>2</sup> For referenced ASTM standards, visit the ASTM website, [www.astm.org](http://www.astm.org), or contact ASTM Customer Service at [service@astm.org](mailto:service@astm.org). For *Annual Book of ASTM Standards* volume information, refer to the standard’s Document Summary page on the ASTM website.

Part 260—Guides for the Use of Environmental Marketing Claims  
International Finance Corporation Indigenous Peoples, Guidance Note 7<sup>3</sup>  
PEFC Technical Document: 2005  
Standards Development Organization Advancement Act of 2004, Pub. L. No. 108–237, Section 102(5) (2004)  
U.S. Customs and Border Patrol discussion of the Lacey Act ([www.cbp.gov](http://www.cbp.gov))  
USDA Forest Service, NRS-INF-06-08, “Who Owns America’s Forests,” 2008

### 3. Terminology

3.1 *Definitions*—For definitions of general terms used in this practice related to wood, refer to Terminology **D9**, and for terms related to forestry, forest certification, and traceability, refer to Guide **D7480**.

#### 3.2 *Definitions of Terms Specific to This Standard:*

3.2.1 *chain of custody (COC), n*—a system of procedures and documentation that tracks the custodianship of forestry materials or wood-based products through one or more stages of its life cycle from the forest to the end-use. See **X1.7** for a discussion of COC under forest certification standards.

3.2.1.1 *Discussion*—Once a product receives a permanent label (such as a gradestamp) and is not subsequently remanufactured, this practice accepts the on-product label as proof of chain of custody.

3.2.2 *consensus-based programs/standards, n*—programs/standards developed using the principles of openness, balance, transparency, consensus decision-making, and due process.<sup>4</sup>

3.2.3 *non-controversial sources, n*—sources that do not come from illegal or unauthorized harvesting.

3.2.3.1 *Discussion*—Examples of illegal or unauthorized harvesting include harvesting in forest areas protected by law as well as in forest areas officially published by government authorities (or the body with the legal authority to do so) as planned to become strictly protected by law, without the government authorities (or the body with the legal authority to do so) giving permission to harvest.

3.2.3.2 *Discussion*—Source is Annex 4 PEFC Technical Document: 2005, 1.3.4 *controversial sources*, modified by establishing the contradictory concept “*non-controversial sources*” with a negation of the essential characteristics of the definition of *controversial sources*.

3.2.4 *procurement system, n*—a system requiring organizations buying raw materials to have an auditable procurement process designed, at a minimum, to require compliance with best management practices to protect water quality on all suppliers’ lands and ensure all fiber comes from known and legal sources.

<sup>3</sup> Available from International Finance Corporation (IFC), 2121 Pennsylvania Avenue, NW Washington, DC 20433, <http://www.ifc.org>.

<sup>4</sup> From the Standards Development Organization Advancement Act of 2004, Pub. L. No. 108–237, Section 102(5) (2004). This definition is similar to those found in various ASTM documents.

### 4. Summary of Practice

4.1 This practice describes a category-based method for evaluating broad differences between forest management standards. The rationale underlying the categories is provided in **Appendix X2**.

4.2 In providing rules for undertaking an evaluation of different forest management standards, this practice (1) establishes three broad categories to distinguish between programs with different levels of tracing and documentation, and (2) eliminates from consideration any products from unknown sources.

NOTE 2—The standard also provides a conceptual basis to describe the category of protective forestry sources. Since this is conceptual and requires the development of an underlying database, it is included within **Appendix X3** and **Appendix X4** for information only.

4.3 This practice is guided by the following principles:

4.3.1 Its use is intended to promote the growth of responsible forest management.

4.3.2 Any marketing claims based on or related to this practice are accurate, verifiable, relevant and not misleading.

4.3.2.1 Any marketing claims based on or related to this practice are in compliance with the Federal Trade Commission’s Guides for the Use of Environmental Marketing Claims and other U.S. consumer protection laws.

4.3.3 In the categories, differences in system governance that are legally relevant to federal and state or provincial government agencies are addressed specifically as to whether they are governed through consensus-based processes.

4.3.4 Decisions based on the categories avoid restraining trade; that is, they enable consumer choice among products produced under comparable conditions.

4.4 It is possible that the differentiation between various forest practices, regulatory and certification-type systems will require in-depth examination beyond the scope of this practice. This practice does not rank, rate, or differentiate among the efficacy of these systems for either forest practice or application to specific forest products. Such a differentiation requires detailed information specifically focused on the intended end-use. See **Appendix X5** for links to aid users who require more detailed differentiation.

### 5. Significance and Use

5.1 Voluntary forest certification systems have become an important factor in promoting sustainable forest management. The standards in use are highly variable, however. Even within a family of standards with a common label there is the potential for wide variations in practices. This prevents producers and consumers from using a certification label to characterize products according to a specific set of qualities or values. This practice creates a framework to differentiate products based on a set of qualities and values identified as important in the market for wood products.

5.2 This practice is intended to be used by producers, distributors, retailers, or consumers who wish to understand where a product fits within three categories. At a minimum, the user will need to know the geographic origin of the wood going into a product and whether it is labeled or otherwise certified to

**TABLE 1 Summary of Criteria for Categorizing Products with Fiber Procurement Systems  
Conforming to Different Forest Certification or Management Standards**

Requirements	Products from		
	Legal Sources	Responsible Sources	Certified Sources
A) Fiber is from jurisdictions with a low risk of illegal activity or from controlled wood standards, stair-step standards, legality assessments, or other proprietary standards	A	A	A
System governance: B) Public legislative or regulatory processes; C) Proprietary Standards; D) Consensus-based	B or C	B or C or D	D
Content: E) Requires compliance with best management practices to protect water quality and ensures all fiber comes from known and legal sources F) Provides for Forest Management Plans in substantial compliance with relevant portions of Guide <b>D7480 – 08</b> or equivalent	—	E or F	F <sup>A</sup>
Documentation includes traceability: G) To the applicable jurisdiction H) By a certified procurement system I) By a chain of custody system <sup>B</sup>	G	G or H or I	I

<sup>A</sup> See **Appendix X3** for discussion of additional concepts related to sub-categorization of certified sources.

<sup>B</sup> For the purposes of categorizing products under this practice, distributors and retailers can rely on “on-product” labels for chain of custody or a certified procurement system if they are not engaged in significant value-added processing or remanufacture. In lieu of an on-product label, a certificate of compliance indicating conformance with the applicable chain of custody or certified procurement system is permitted.

a procurement system or chain of custody based on a voluntary forest management or certification standard. Producers who want to use this practice must be able to identify the geographic origin of the wood to at least the level needed to support the claims to consumers associated with a given category and described in **6.1**.

## 6. Criteria

6.1 The criteria differentiating wood products into three categories based on the wood fiber tracing systems, forest certification and other standards that apply to their production are provided in this section and are summarized in **Table 1**.

6.1.1 *Non-Controversial (That is, Legal) Sources of Forest Products:*

6.1.1.1 Products from non-controversial (that is, legal) sources are produced with wood fiber from jurisdictions with a low risk of illegal activity or from controlled wood standards, stair-step standards, legality assessments, or other proprietary standards. Products from non-controversial sources shall be traceable to the applicable jurisdiction, or chain of custody.

6.1.2 *Responsible Sources of Forest Products:*

6.1.2.1 Products from responsible sources are produced with wood fiber acquired according to an independently certified procurement standard or are from a proprietary forestry standard or from jurisdictions with regulatory or quasi-regulatory programs to implement best management

practices. These standards or programs are typically consensus-based proprietary certification standards or public legislative and regulatory processes. To qualify for this category, the applicable standard or forest governance in the applicable geography shall document a system designed to require compliance with best management practices to protect water quality and ensure all fiber comes from known and legal sources.

6.1.3 *Certified Sources of Forest Products:*

6.1.3.1 Products from certified sources are produced with wood fiber acquired in accordance with, and independently certified to, an internationally recognized voluntary forest certification standard or equivalent. See **Appendix X1** for discussion of globally recognized programs that satisfy the requirements of this practice.

6.1.3.2 Equivalent standards, where used, shall document substantial compliance with and effective implementation of applicable portions of the Sustainable Forest Management provisions of Guide **D7480** and shall be verified by an accredited independent third party.

## 7. Keywords

7.1 certified sources; fiber procurement system; forests; forest certification; forest management; legal sources; protective forestry sources; responsible sources

APPENDIXES

(Nonmandatory Information)

**X1. BACKGROUND DISCUSSION OF FOREST MANAGEMENT AND PROMINENT FOREST CERTIFICATION PROGRAMS**

X1.1 In North America, professional foresters have traditionally been the leaders in developing and improving forest management practices. Conversely, best forest management practices are not always followed in some regions of the world. In some regions, illegal logging and other undesirable practices are not uncommon. In an attempt to curb these practices, governmental and non-governmental organizations have developed regulatory requirements and certification programs that delineate sustainable forest management practices.

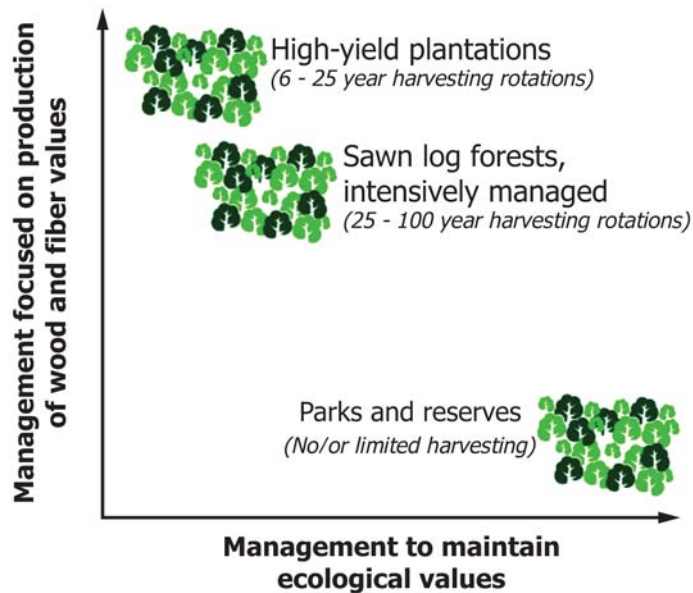
X1.2 After basic issues of legal and responsible sourcing are addressed, forest management and certification programs must address the philosophical question regarding their bias toward production forestry or protection forestry. As illustrated in Fig. X1.1 (reprinted with permission from World Resources Institute), forests can be managed across a broad spectrum of philosophies—from high-yield “crop style” plantations at one extreme to parks and preserves at the other.

X1.3 Organizations promulgating the most prominent forest certification programs throughout the world are the American Tree Farm System (ATFS) ([www.treefarmssystem.org](http://www.treefarmssystem.org)), the Canadian Standards Association Sustainable Forest Management Standard Z-809 (CSA-SFM) ([www.csasfmforests.ca](http://www.csasfmforests.ca)), the Forest Stewardship Council (FSC) ([www.fsc.org](http://www.fsc.org)), the Programme for the Endorsement of Forest Certification schemes (PEFC) ([www.pefc.org](http://www.pefc.org)), and the Sustainable Forestry Initiative (SFI) ([www.sfiprogram.org](http://www.sfiprogram.org)).

X1.4 Forest certification and forest management programs continue to evolve. X4.2.1.1 and X4.2.1.2 are intended to ensure that claims related to compliance with this practice are based only on standards that are officially approved by their promulgators (that is, not “draft” or “interim” standards) and that their limits of geographic applicability are clearly defined. X4.2.1.3 provides for compliance with well-accepted methods of sustainable forest management. X4.2.3 requires that any program claiming compliance with protective forestry practices provide evidence and documentation of that claim.

X1.5 Although these forest certification programs are growing, certified acreage worldwide is still a relatively small fraction of total forest acreage (Fig. X1.2).

X1.6 Some issues related to forest management and certification in the United States are somewhat different than in other countries. In some countries, such as Canada, the forest resource is predominantly government-owned. In other countries, such as Brazil, most commercially managed forest acreage is owned by corporations. In the United States, nearly one-fourth of forest acreage is owned by millions of small producers (so-called “family forest owners”), approximately one-third is owned by the federal government, one-third owned by large (that is, “corporate”) producers, and the remaining portion (roughly one-tenth) owned by state and local governments (Fig. X1.3). Each of these diverse ownership types operates within a variety of regulatory frameworks and chooses



NOTE 1—Reprinted with permission from World Resources Institute.

NOTE 2—From “Sustainable Procurement of Wood and Paper-Based Products,” World Resources Institute, 2009 ([http://pdf.wri.org/sustainable\\_procurement\\_guide.pdf](http://pdf.wri.org/sustainable_procurement_guide.pdf)).

**FIG. X1.1 Differentiation of Forest Management Practices**



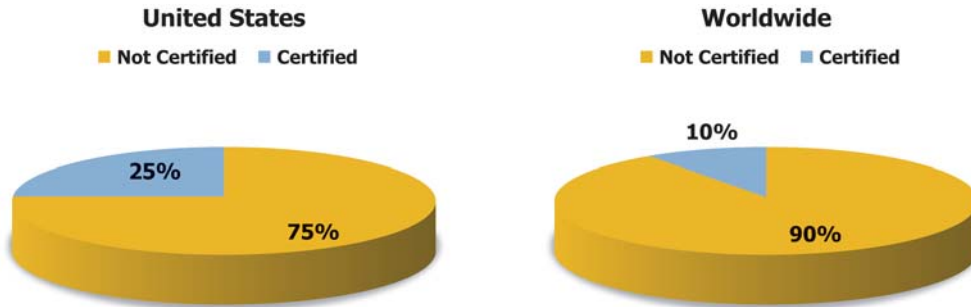
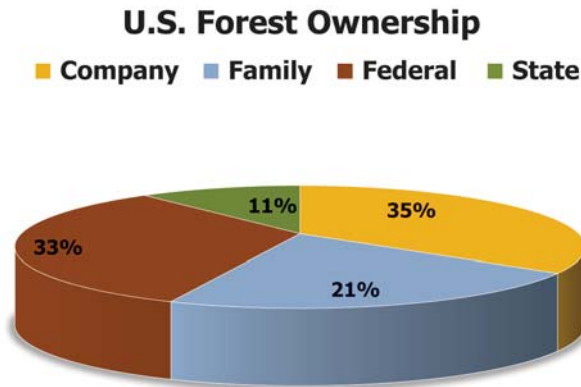


FIG. X1.2 Forest Certification is Still a Small Fraction of Total Forest Acreage (data from ATFS, FSC, PEFC, SFI (2008))



10 million family-forest owners (USDA-FS, 2008)

FIG. X1.3 U.S. Forest Ownership Patterns are Distinctly Different from Other Countries (data from USDA Forest Service; USDA Forest Service, NRS-INF-06-08, “Who Owns America’s Forests,” 2008)

forest certification and other management programs to meet its own forest management needs.

X1.7 In forest certification, chain of custody allows companies to make claims about how much of the fiber in their product or product line comes from certified forests and how much fiber comes from other acceptable sources. COC is third-party audited in accordance with the forest certification programs. All of the globally recognized forest certification standards commonly allow the use of credits for the volume of raw material obtained from a certified forest to be allocated to a proportionate volume of product during a specified time period (known as a “volume credit method” of accounting). Thus, with the exception of specific labels signifying actual certified content, COC in forest products does not mean a certified product can be traced to a specific certified forest or

even that the product necessarily contains any content from a certified forest. COC claims should be accompanied with accurate claims about uncertified content, that is, whether it comes from non-controversial sources, responsible sources, or both. Given these limits on COC as applied in forest certification, a product categorized under this practice as coming from certified sources does not necessarily come from better managed forests than a product categorized as coming from responsible sources. Depending on the amount of wood available from certified sources in a supply chain, a given product may be far more likely to come from non-certified than from certified sources. Thus users of this practice must be cautious that any claims they make comparing certified to responsible sources are properly substantiated for a specific product line.

## X2. EVALUATION SYSTEM METHODOLOGY

X2.1 A discussion of the rationale underlying the categories in [Table 1](#) is provided herein.

X2.2 The minimum level of documentation permitted by this practice provides reasonable assurance that the material for the product was not sourced illegally and originates from otherwise non-controversial sources. Forest certification programs provide extensive requirements related to this topic. Additionally, the 2008 amendments to the Lacey Act provide additional documentation requirements in this area.

X2.3 The Lacey Act, as amended in 2008, expands its scope to cover forest products. Section 8204 is titled “Prevention of Illegal Logging Practices.” As described on the CBP website, “The Act extends the statute’s reach to include a broader range of plants and plant products, including timber deriving from illegally harvested plants. Illegal logging robs countries, destroys forests, and competes with the legal production and trade. This Act provides the legal authority to take action when products stemming from the practice of illegal logging enter the United States.” Declaration forms are required for all forest products imported into the United States that specify the country of origin or, if it cannot be specified, then all potential countries of origin. If the country of origin is known, then references are available to identify jurisdictions at low risk of providing products from illegal sources. See [Appendix X5](#) for links to additional information.

X2.4 In addition to products traceable to jurisdictions with a low risk of illegal activity, these criteria can be met by products verified or certified to credible proprietary standards providing for legality assessments, stair-step approaches to certification, and controlled wood, such as FSC’s Controlled Wood

Standard, those of the Global Forest and Trade Network and the Tropical Forest Trust, or equivalent.

X2.5 Additional documentation is required for products complying with the responsible sources requirements of this practice. Documentation of compliance is satisfied if products are independently certified as acquired in accordance with a voluntary procurement standard or conform to a proprietary forestry standard. Additionally, compliance is satisfied if the raw material in products is traceable to jurisdictions with regulatory or quasi-regulatory programs to implement forestry best management practices. A variety of such programs is in place in the United States and Canada.<sup>5</sup> They include state and provincial law, as well as laws governing the management of federal forest land, state or provincial forest land, and provincial license requirements. At this point information is not sufficient to qualify jurisdictions outside of the United States and Canada.

X2.6 Documentation of compliance with the certified sources level is satisfied in accordance with the requirements of recognized forest certification systems. These systems comply with the major worldwide guidelines in this area (for example, Montreal Process). Examples include ATFS, CSA, FSC, PEFC, and SFI certification, all using chain of custody.

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<sup>5</sup> See National Council for Air and Stream Improvement, Compendium of Forestry Best Management Practices for Controlling Nonpoint Source Pollution in North America, Technical Bulletin No. 966, September 2009. In a regulatory program the law provides legal sanctions for non-compliance. A “quasi-regulatory” program may not impose direct legal sanctions, but state law has defined explicitly legal implications for non-compliance. See also C. McDermott, B. Cashore, and P. Kanowski, *Global Environmental Forest Policies: An International Comparison*, August 2009.

## X3. CONCEPTUAL DISCUSSION OF PROTECTIVE FORESTRY PRACTICES

X3.1 As part of the goal of simplifying the categorization of forest products based on differences in the standards or practices used in their fiber procurement system, the subcommittee discussed various levels of refinement. In response to questions from consumers and confusion within some standards development groups, the three proposed categories were developed. These categories answered the most common questions. This practice covers only products using fiber from known sources and legal sources. It provides differentiation for sources meeting common definitions of responsible practices and for sources that meet the requirements of certification programs. In its development phase, this practice also provided differentiation for another category that extended the concepts of certification. This category, which differentiated products using fiber from so-called protective forestry sources, attempted to address programs that are limited in product availability due to their unusually restrictive provisions. Because full implementation of this concept requires compilation of data that are not yet available, this category is not included

in the mandatory portions of this practice. This nonmandatory appendix includes this concept as proposed by the subcommittee. As other portions of this practice achieve adoption by various user groups, the subcommittee will assess whether or not this concept should be balloted for adoption in the body of the standard.

X3.2 Documentation of compliance with the certified protective forestry level requires additional evidence that either the program as applied in a given forest certification region or a certified forest management unit within a given forest certification region meets the requirements described in [Appendix X4](#). This documentation can thus be provided at the level of a certification standard, if the standard applies to family and community forest owners or the market uptake of the standard in a forest certification region is less than 20 % and the standard does not permit the use of the certain forest practices as described in [Section X4.4](#). More commonly, however, the documentation will be provided by a forest

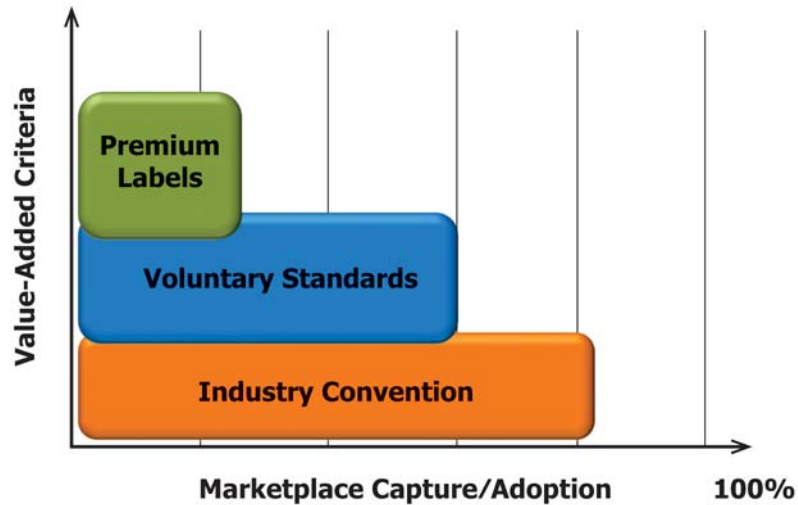


FIG. X3.1 Marketplace Capture/Adoption is Correlated with Value-added Features (adapted from Consumers Union, 2009)

manager showing the requirements are met on a specific, certified forest.

X3.3 Products will qualify for the protective forestry category only if the products (or an equivalent volume of raw material, if the volume credit method of chain of custody is in use) are traceable through chain of custody to a qualifying voluntary forest certification standard or specific, certified forest. Regulatory systems will not qualify.

X3.4 The market uptake path is a conceptual extension of a framework to differentiate products based on certain qualities, applied in some cases to environmental attributes. Consumers Union<sup>6</sup> has proposed that a common feature of many markets is a correlation between marketplace capture or adoption and added consumer value. The relative scarcity of products with one set of qualities may justify higher prices by consumers. On the other hand, widespread adoption by manufacturers of another set of qualities may translate over into environmental benefits without an increase in costs to consumers. In the context of forest products this practice provides a basis to communicate clearly and objectively about both cases.

X3.5 The evaluation of market uptake will be verified through independent research. The evaluation is straightforward.

X3.6 The geographic boundaries are those described in Section X4.5. These roughly correspond to those already in

<sup>6</sup> Adapted from a presentation by Urvashi Rangan, Consumers Union, at the ANSI Legal Issues Forum 2009, Bethesda, MD.

place from the Forest Stewardship Council. They consist primarily of national boundaries. Within some large countries (the United States, Canada), there are regional boundaries reflecting regional variations in some standards.

X3.7 Data are publicly available on the total forest acreage being managed or certified under each program. Data on the volume of certified products are not readily available, however. Additional analysis is also needed to locate certifications within regions, address certifications that cross boundaries, and address dual certifications.

X3.8 Percent market uptake for each standard by forest certification region will be made available. Further research will monitor whether market uptake serves as a reliable surrogate for standards reflecting different goals and values and, if so, whether 20 % is the appropriate percentage. Research will also monitor whether family and community-owned forests remain disadvantaged in the market for certified forest products, and merit the presumption of low market uptake made in this practice. Depending on the results, other research questions will be identified as needed.

X3.9 When identifying products according to any of the three different categories described in this practice, a manufacturer or distributor may use a credit-based method to allocate inputs—categorized raw material or semi-finished products—to categorized outputs. Credit-based methods are used for labeling by all of the major forest certification systems, and those standards should be consulted in documenting use of credit-based methods for non-certified products.

## **X4. EXAMPLE PROVISIONS RELATED TO PROTECTIVE FORESTRY PRACTICES**

### **X4.1 Related Definitions**

X4.1.1 *family or community forest owners, n*—an individual, couple, family partnership, or other grouping of unincorporated individuals or indigenous peoples, whether or not incorporated, who own or control land that has trees on at least 10 percent.

NOTE X4.1—General source is USDA Forest Service, NRC-INF-06-08, “Who Owns America’s Forests: 2008.” The designation and definition are derived from general information referenced in the USDA source.

X4.1.2 *forest certification region, n*—area within national or regional certification boundaries defining geographical limits as a reference in certification or evaluation of forest management practices.

NOTE X4.2—Section X4.5 provides information on the forest certification regions established within the United States and Canada. For other countries, forest certification regions are identified by the national boundaries.

X4.1.3 *indigenous peoples, n*—a distinct social and cultural group possessing in varying degrees the characteristics of (1) self-identification as members of a distinct indigenous cultural group and recognition of this identity by others; (2) collective attachment to geographically distinct habitats or ancestral territories and to the natural resources in these habitats and territories; (3) customary cultural, economic, social, or political institutions that are separate from those of the dominant society or culture; and (4) an indigenous language.

NOTE X4.3—Source is the International Finance Corporation, Indigenous Peoples, Guidance Note 7 (<http://www.ifc.org>).

X4.1.4 *protective forestry practices, n*—practices used in forests managed primarily for provision of environmental services, including soil and water protection, pest control, and conservation of biological diversity, or social services, including recreation, tourism, education, or conservation of cultural/spiritual sites, or any combination thereof, and foregoing the use of silvicultural techniques maximizing the production and extraction of forest goods, including wood and non-wood products.

NOTE X4.4—Source is FAO Global Forest Resources Assessment 2005, Annex 2, “Designated Functions of Forest and Other Wooded Land.” The FAO differentiates “protective forests” from “productive” forests, which are managed primarily for production and extraction of forest goods, including both wood and non-wood products, and “multiple purpose” forests, which are designated for any combination of production of goods, protection of soil and water, conservation of biodiversity and provision of socio-cultural services, and where none of these alone can be considered as being significantly more important than the others. The use of the term protective forestry practices in this practice is intended for categorization purposes and not to imply that “productive” or “multiple purpose” forests are not also protective of soil, water, wildlife habitat, conservation of biodiversity, and socio-cultural services.

X4.2 The concept of “protective forestry practices” is based on the FAO Global Forest Resources Assessment 2005, Annex 2, “Designated Functions of Forest and Other Wooded Land.” Documentation of compliance will typically be provided to the appointed authority having jurisdiction supporting a claim that a product meets the following criteria:

X4.2.1 The product is certified to a voluntary forest certification standard or an official variation within a forest certification standard that:

X4.2.1.1 Is a completed, written document, approved by its governing body with a publication date and available to the public;

X4.2.1.2 Includes clearly defined geographic boundaries that can be compared to the forest certification regions defined in Section X4.5; and

X4.2.1.3 Is an internationally recognized forest certification program or otherwise provides for sustainable forest management in accordance with Guide D7480 – 08.

X4.2.2 The voluntary forest certification standard (or official variation) described in X4.2.1 is either:

X4.2.2.1 Limited to family and community forest owners; or

X4.2.2.2 Available to all forest owners but has market uptake within a forest certification region for the previous calendar year less than 20 %.

X4.2.3 An independent 3rd party will typically verify compliance with the “Prohibited Practices” list (Section X4.4). Compliance with the Prohibited Practices list can be verified at the level of a voluntary forest certification standard (or official variation) or at the level of an individual forest management unit within a voluntary forest certification standard if the standard does not comply at the standard level.

### **X4.3 Market Uptake**

X4.3.1 Based on statistics for production volume managed under each program within a forest certification region, market uptake will be computed by comparing the volume managed under the specific forest certification program (standard or official variation) of interest in that region divided by the total production volume in that region certified to internationally recognized voluntary forest certification standards.

X4.3.2 This concept will be supported by the annual compilation of information about the status of different forest management and forest certification standards. Data will be extracted from publicly available sources or provided by forest management and forest certification organizations. For North America, the database will be assembled and maintained by an academic or governmental institution with expertise in forest management. For adoption outside of North America, it is recommended that the adopting entity enlist an appropriate impartial institution to assemble and maintain country-specific data.

NOTE X4.5—The USDA Forest Products Laboratory may be available to compile data from each of the forest management programs and to develop the criteria used to calculate the market uptake statistics, including forest acreage with dual certifications ([www.fpl.fs.fed.us](http://www.fpl.fs.fed.us)).

### **X4.4 Practices Disqualifying Categorization as Protective Forestry Practices**

X4.4.1 Forests managed with the use of any two or more of the practices described in X4.4.1.1 and X4.4.1.2 maximizing



the production and extraction of forest goods are not consistent with the intent of protective forestry practices and will typically not qualify as forests managed with protective forestry practices.

X4.4.1.1 Practices related to tree species selection:

- (1) Cultivation of exotic species;
- (2) Cultivation of clonally propagated, nursery-raised tree seedlings;
- (3) Silviculture practices that change the dominant tree species (from the native ecosystem) or limit stands to a single species on sites normally occupied by multiple species.

X4.4.1.2 Practices related to rate of tree growth:

- (1) Even-aged silviculture for native ecosystems that do not naturally regenerate as even-aged stands;
- (2) Systematic use of and reliance on chemical herbicides, pesticides and fertilizers;
- (3) Systematic elimination of natural in-growth of native trees and ground cover.

X4.5 Because forest certification and management programs are often significantly different by geographical region,

evaluation of protective forestry practices will be optimal if it is conducted on a regional basis. To assist with this process, this section includes maps related to typical regional breakdowns.

X4.5.1 For purposes of this practice, the United States can be divided into 12 forest certification regions that correspond to U.S. Forest Service ecological regions (Fig. X4.1) or similar regions that correspond to regional requirements of specific forest certification programs.

NOTE X4.6—Users of this practice are permitted to develop statistics based on the closely-related geographic boundaries corresponding to the regional standards of or official variations in specific forest certification and/or management programs.

X4.5.2 For purposes of this practice, Canada can be divided into 4 regions that correspond to the Natural Resources Canada forest region map (Fig. X4.2).

X4.5.3 For purposes of this practice, all other forest certification regions are identified by the national boundaries of the country of origin.

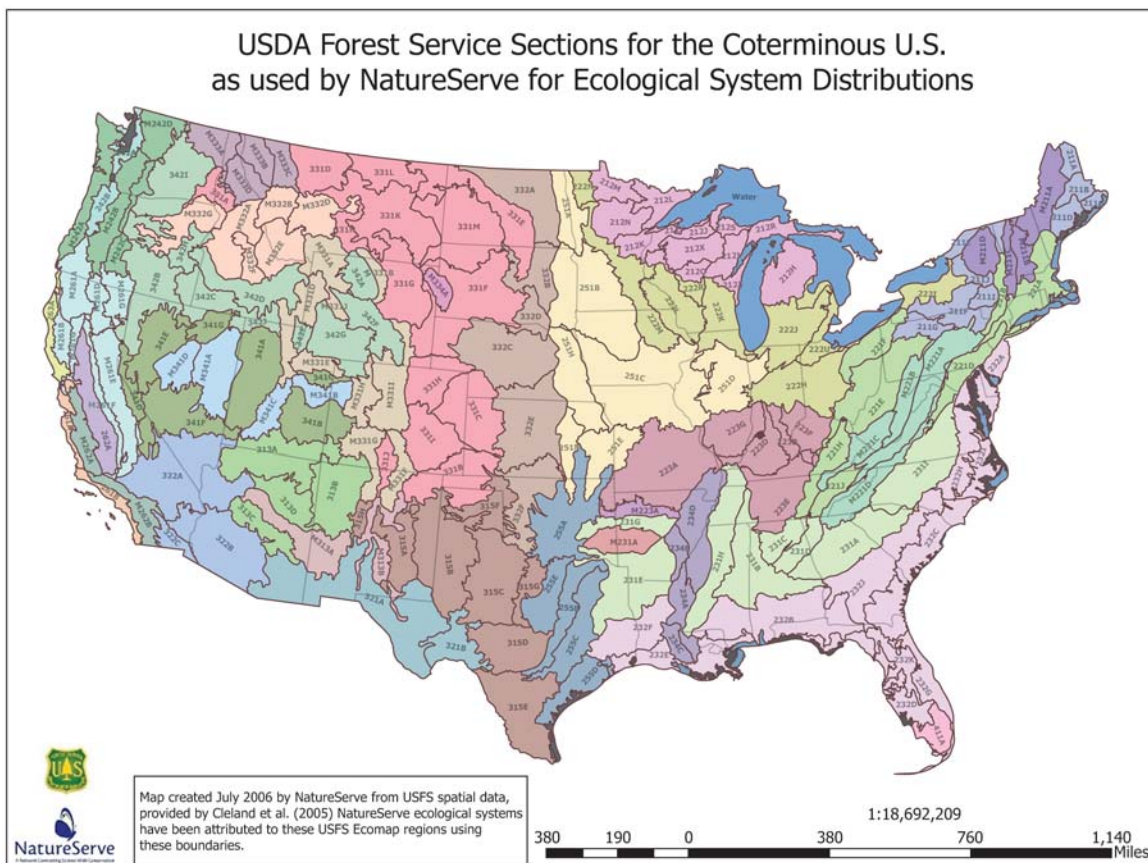


FIG. X4.1 Map of Ecological Regions in the United States



Source: Natural Resources Canada, found at [http://atlas.nrcan.gc.ca/site/english/learningresources/theme\\_modules/borealforest/forest\\_regions.jpg/image\\_view](http://atlas.nrcan.gc.ca/site/english/learningresources/theme_modules/borealforest/forest_regions.jpg/image_view)

**FIG. X4.2 Map of the Forest Regions of Canada**

## X5. LINKS TO ADDITIONAL INFORMATION

X5.1 FAO Global Forest Resources Assessment 2005, Annex 2 (<http://www.fao.org>)

X5.2 Federal Trade Commission, Commercial Practices, Chapter I, Subchapter B; Guides and Trade Practice Rules, Part 260—Guides for the Use of Environmental Marketing Claims (<http://www.ftc.gov/bcp/gmrule/guides980427.htm>)

X5.3 U.S. Customs and Border Patrol discussion of the Lacey Act ([www.cbp.gov](http://www.cbp.gov))

X5.4 USDA Forest Service, NRS-INF-06-08, “Who Owns America’s Forests,” 2008 (<http://nrs.fs.fed.us>)

X5.5 Standards Development Organization Advancement Act of 2004, Pub. L. No. 108–237, Section 102(5) (2004) (<http://www.law.cornell.edu>)

X5.6 Annex 4 of PEFC Technical Document–1.3.4 (<http://www.pefc.org>)

X5.7 American Tree Farm System (ATFS) ([www.treefarmssystem.org](http://www.treefarmssystem.org))

X5.8 Canadian Standards Association Sustainable Forest Management Standard Z-809 (CSA-SFM) ([www.csasfmforests.ca](http://www.csasfmforests.ca))

X5.9 Forest Stewardship Council (FSC) ([www.fsc.org](http://www.fsc.org))

X5.10 Programme for the Endorsement of Forest Certification schemes (PEFC) ([www.pefc.org](http://www.pefc.org))


X5.11 Sustainable Forestry Initiative (SFI) ([www.sfiprogram.org](http://www.sfiprogram.org))

X5.12 Sustainable Procurement of Wood and Paper-based Products, World Resources Institute, 2009 ([http://pdf.wri.org/sustainable\\_procurement\\_guide.pdf](http://pdf.wri.org/sustainable_procurement_guide.pdf))

X5.13 National Council for Air and Stream Improvement, Compendium of Forestry Best Management Practices for Controlling Nonpoint Source Pollution in North America, Technical Bulletin No. 966, September 2009 (<http://www.ncasi.org>)

X5.14 C. McDermott, B. Cashore, and P. Kanowski, *Global Environmental Forest Policies: An International Comparison*, London: Earthscan Publications Ltd., August 2009 (<http://www.earthscan.co.uk>)

X5.15 Presentation by Urvashi Rangan, Consumers Union, at the ANSI Legal Issues Forum 2009, Bethesda, MD ([http://www.ansi.org/meetings\\_events/events/legal\\_issues09\\_proceedings.aspx?menuid=8](http://www.ansi.org/meetings_events/events/legal_issues09_proceedings.aspx?menuid=8))

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