

FOREST MANAGEMENT AND STUMP-TO-FOREST GATE CHAIN-OF-CUSTODY SURVEILLANCE EVALUATION REPORT

*Indiana Department of Natural Resources,
Division of Forestry, State Forest Properties*
Indiana, USA

SCS-FM/COC-00099N
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Brenda Huter
<http://www.in.gov/dnr/forestry/>

CERTIFIED	EXPIRATION
27 June 2017	26 June 2022

DATE OF FIELD EVALUATION
15-18 October 2019
DATE OF REPORT FINALIZATION
11 th February 2020

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Foreword

Cycle in annual surveillance evaluations				
<input type="checkbox"/> 1 st annual evaluation	<input type="checkbox"/> 2 nd annual evaluation	<input checked="" type="checkbox"/> 3 rd annual evaluation	<input type="checkbox"/> 4 th annual evaluation	<input type="checkbox"/> Other (<i>expansion of scope, Major CAR audit, special audit, etc.</i>):
Name of Forest Management Enterprise (FME) and abbreviation used in this report:				
Indiana Department of Natural Resources, DNR or INDNR; Division of Forestry, DOF or DoF				

All certificates issued by SCS under the aegis of the Forest Stewardship Council (FSC) require annual evaluations to ascertain ongoing conformance with the requirements and standards of certification. A public summary of the initial evaluation is available on the FSC Certificate Database <http://info.fsc.org/>.

Pursuant to FSC and SCS guidelines, annual / surveillance evaluations are not intended to comprehensively examine the full scope of the certified forest operations, as the cost of a full-scope evaluation would be prohibitive and it is not mandated by FSC evaluation protocols. Rather, annual evaluations are comprised of three main components:

- A focused assessment of the status of any outstanding conditions or Corrective Action Requests (CARs; see discussion in section 4.0 for those CARs and their disposition as a result of this annual evaluation);
- Follow-up inquiry into any issues that may have arisen since the award of certification or prior to this evaluation; and
- As necessary given the breadth of coverage associated with the first two components, an additional focus on selected topics or issues, the selection of which is not known to the certificate holder prior to the evaluation.

Organization of the Report

This report of the results of our evaluation is divided into two sections. Section A provides the public summary and background information that is required by the Forest Stewardship Council. This section is made available to the public and is intended to provide an overview of the evaluation process, the management programs and policies applied to the forest, and the results of the evaluation. Section A will be posted on the FSC Certificate Database (<http://info.fsc.org/>) no less than 90 days after completion of the on-site evaluation. Section B contains more detailed results and information for required FSC record-keeping or the use by the FME.

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SECTION A – PUBLIC SUMMARY

1. General Information

1.1 Evaluation Team

Auditor name:	Ciara McCarthy	Auditor role:	FSC Lead Auditor
Qualifications:	<p>Ciara McCarthy holds a BSc (Hons) Agroforestry from the University of Wales, UK and Oregon State University. She has accumulated over 17 years’ experience working in all aspects of operational forestry in the UK, Ireland, Australia and United States. Ciara is a Senior Lead auditor for FSC Chain of Custody, a lead auditor for FSC Forest Management Certification and the Sustainable Biomass Program. She has successfully completed audits in the states of Oregon, Washington, California, Georgia, North Carolina, Virginia, Arkansas; British Columbia and New Brunswick, Canada; Latvia, North Eastern Europe; Malaysia and Japan.</p> <p>Ciara is a staff member of SCS Global Services as a Senior Lead Auditor, Technical Associate and FSC Controlled Wood Program Manager.</p>		
Auditor name:	Ruthann M. Schultz	Auditor role:	FSC Team Auditor
Qualifications:	<p>For decades Ruthann has worked on issues related to landscape management, wildlife management, and the long-term stewardship of private forest and ranch lands. Over her career, she has coordinated forest certification programs for private industry. Ruthann holds a B.S. in Biology from Siena Heights College in Adrian, Michigan and a Master of Biology from the University of Louisville in Louisville, Kentucky. She is an ISO 14001 accredited auditor and has served on internal audit teams for ISO 9001. Ms. Schulte is an auditor for the SCS Forest Management and Chain of Custody programs.</p>		

1.2 Total Time Spent on Evaluation

A. Number of days spent on-site for evaluation:	3
B. Number of auditors participating in on-site evaluation:	2
C. Number of days spent by any technical experts (in addition to amount in line A):	0
D. Additional days spent on preparation, stakeholder consultation, and follow-up:	2
E. Total number of person days used in evaluation:	7

1.3 Standards Used

All standards used are available on the websites of FSC International (www.fsc.org) or SCS Global Services (www.SCSglobalServices.com). All standards are available on request from SCS Global Services via the comment form on our website. When no national standard exists for the country/region, SCS Interim Standards are developed by modifying SCS’s Generic Interim Standard to reflect forest management in the region and by incorporating relevant components of any Draft Regional/National Standard and comments from stakeholders. More than one month prior to the start of the field evaluation, SCS Draft Interim Standards are provided to stakeholders identified by FSC International, SCS, forest managers under evaluation, and the FSC National or Regional Office for comment. SCS’s COC indicators for FMEs are based on the most current versions of the FSC Chain of Custody Standard, FSC Standard for Group Entities in Forest Management Groups (FSC-STD-30-005), and FSC Accreditation Requirements.

Standards applicable <i>NOTE: Please include the full standard name and Version number and check all that apply.</i>	<input checked="" type="checkbox"/> Forest Stewardship Standard(s), including version: FSC-US Forest Management Standard (v1.0, 8 July 2010)
	<input checked="" type="checkbox"/> FSC Trademark Standard (FSC-STD-50-001 V2-0)
	<input checked="" type="checkbox"/> SCS COC indicators for FMEs, V7-0
	<input type="checkbox"/> FSC standard for group entities in forest management groups (FSC-STD-30-005), V1-1
	<input type="checkbox"/> Other:

2. Certification Evaluation Process

2.1 Evaluation Itinerary, Activities, and Site Notes

Date: Wednesday, October 16, 2019	
FMU: Owen Putnam State Forest	
Auditors: Schulte and McCarthy	
FMU / location / sites visited	Activities / notes
Owen-Putnam State Forest Office	Opening Meeting: Introductions, client update, review scope of evaluation, audit plan, intro/update to SFI, FSC and SCS standards, confidentiality and public summary, conformance evaluation methods, emergency and security procedures for evaluation team, final site selection.
Pleasant Grove Nature Preserve	The site was identified as a potential Nature Preserve because of its circumneutral seeps (pH very near neutral). It was designated about 3 or 4 years ago by the Division of Nature Preserves who maintains the preserve. There is an old cemetery immediately adjacent to the preserve that is not part of the preserve. Discussion of EAB and gypsy moth. The Division Archaeologist described a number of the indicator species for cemeteries and old homesteads.
Near horse campground	A summer intern assigned to Owen-Putnam was working on treating invasive species under the direction and applicators license of the Resource Specialist. In this area multiflora rose was sprayed. The treatment seemed effective. The multiflora rose spraying was a linear strip along the roadside and dieback was visible. The chemical mix included a 2% rate of glyphosate. The primitive horse campground is on an old home site and the spring now feeds a trough for the horses.
Haul road prepped for sale	In preparation for a sale being developed, a haul road was rocked and a culvert placed. The culvert drains headwall flow. The rocked area included a small, shallow ford. The channel was dry and, by all indications, carries only a small amount of water when flowing. An old landing from the last harvest (about 18 years ago) will be reused. There is a cultural site in the sale area that neighbors were concerned about so the staff Archeologist met with the neighbors. The sale will be marked outside the burial site and it will be given a

	<p>larger buffer in order to take advantage of natural boundaries (skid trail).</p> <p>As is typical practice the out of bounds area will be discussed during the preharvest meeting.</p> <p>Entrance to the future timber sale had a cable gate and signage.</p>
Sale in C5T6	<p>114 acre harvest of individual and group selection. Improvement cut for declining yellow-poplar and ash. Goal to enhance oak, cherry, and walnut in the stand. Harvest was finished this summer. Sale closed out and BMP monitoring completed. Reviewed RMZ at the bottom of the sale. RMZ BMPs followed. Pre- and post-harvest vine control.</p> <p>Discussion of use of Natural Heritage Database and mitigation for RTE species. Discussion on staff training and resources available to foresters. Mandatory training occurs at the annual division meeting. The Division’s Wildlife Biologist sends out updates and new information directly to foresters in each office.</p>
C5T2 invasives treatment	<p>Spot treatment by the summer intern for multiflora rose and Ailanthus. Used the sprayer on the ATV. Resource Specialist’s chemical applicator’s license observed. Access road had effective BMPs applied.</p> <p>Boom spray and spot spray application with good effectiveness. Chemical mix was 2% glyphosate, 0.5% surfactant and 0.5% triclopyr.</p>
Sale in C7T8	<p>81 acre harvest of selective thinning and improvement cut. Closed out 2017. Access was under powerlines. Power company requested that the yard be moved from under lines. Request was accommodated. BMPs applied on steep area down to ephemeral. Observed well marked boundary (in purple) with adjacent landowner. 5 temporary bridge crossings were used to extract timber from this sale.</p>
Sale in C8T9	<p>71 acre stand marked and sold in spring of 2019. No work done yet. Large pine component. Observed snags, shagbark hickory, and den trees that were left unmarked for wildlife. Sale had a previously identified cultural site in it. As with all such sites, it was avoided.</p> <p>Discussion of snag policy and monitoring as well as goals for wildlife trees. Snag density is created either through leave trees or created through timber stand improvement. The state has a target density across compartments.</p>
<p>Date: Thursday, October 17, 2019 FMU: Morgan-Monroe & Yellowwood State Forests Auditors: Schulte and McCarthy</p>	
FMU / location / sites visited	Activities / notes
Low Gap Nature Preserve	One of the three Nature Preserves on Morgan-Monroe. There is no specific feature in this Nature Preserve – it could be considered an RSA. The Tecumseh trail, that is 42 miles long, runs through it. It is

	<p>jointly managed with the Division of Nature Preserves. Most of the management is for invasives and prescribed burns. Discussion of the Nature Preserve system.</p>
C13 T2, 3, & 4	<p>299 acre single tree selection in back country area. Salvage harvest from windthrow and mortality. One area of the sale has remnants of old apple orchards. Relocated the recreational trail during harvest. Resource specialist laid out skid trails. Harvest was frequently inspected.</p>
C13 T2, 3, & 4 IN bat	<p>The Indiana Forest Alliance did an “Ecoblitz” to collect inventory data on wildlife and plant presence between 2014 and 2018. An Indiana bat maternity roost tree was located by radio tagging a bat that was caught during data collection. Tree was identified and retained. No falling of the roost tree and no falling of any trees that could fall onto the tree. Resource Specialist supervised falling of the tree closest to the roost tree. Bat restrictions applied to the sale. No trees were felled within 2 tree lengths of the bat roost, and any harvesting close to this threshold was supervised by the harvesting forester. Invasive treatment was undertaken pre-harvest and post harvest for Japanese Stilt Grass along skid trails.</p>
<p>Date: Thursday, October 17, 2019 FMU: Morgan-Monroe State Forest Auditor: Schulte</p>	
FMU / location / sites visited	Activities / notes
Gose Creek	<p>100 acre prescribed fire in spring 2019. Originally envisioned a 400 acre prescribed burn but it bordered the control tracts of the Hardwood Ecosystem Experiment, a dedicated long-term research area, and researchers requested no burning adjacent this site. Goal to reduce the understory for oak/hickory. Burned sassafras, beech, sugar maple, spice bush. Had a good oak overstory and a good acorn crop last year so anticipate good oak regeneration. Plan to burn one more time before harvest. The AmeriCorps crew cut the fire lines for this and three other burn areas. Only had appropriate conditions to burn two of the four units this year. The burn plans are presented at the open house.</p>
C12 T5&6	<p>221 acre single tree selection with openings. Regen openings created by removing the Virginia pine and red pine that had been planted in old fields. Preharvest work to remove grape vines. TSI planned for openings. Observed marked boundary indicating opening. Cultural site buffer observed. Used a timber mat to cross the intermittent stream. Removed and bermed crossing. Discussion of policy regarding opening size. Discussion of community involvement in the form of Cliff Bar employees planting an opening. They will be back to do another planting this fall. Have had school groups out to do plantings. These are usually coupled with education programs.</p>

	Description of experiment with fencing small planting areas ~ 4 acres.
Old Far Road	About an acre of Autumn olive was treated by the AmeriCorps group. Working under the Resource Specialist's supervision and chemical applicators license. Used brush cutters and daubers.
C13 T2	136 acre single tree selection. Sale closed March 2017. Has been sprayed for stilt grass post-harvest. Harvested remaining ash. Rerouted trail while sale was active. Minor rutting. Discussion of rutting policy.
C8 T8	60 acre hardwood improvement harvest. Marked and not yet offered for bid. Resource Specialist had the dozer cut a skid trail given the unusual layout. Marked for silviculture but also topography given the steeper slopes in some areas. Walked the sale to review skid trail and marking.
Date: Thursday, October 17, 2019 FMU: Yellowwood State Forest Auditor: McCarthy	
FMU / location / sites visited	Activities / notes
Bear Wallow Tree Planting	4 acre afforestation site sponsored by the Clif Bar & Co Bakery. Site planted with a mixture of Red Oak, Walnut and White Oak that appeared to be establishing well. The site had an 8 ft fence to prevent deer access. The planting involved approximately 30 community members from the local Clif Bar Bakery.
C12 T8	Timber sale site that produced approximately 540,000 board feet. Boundaries were clearly marked and mapped. Orange paint was used to mark boundaries with private land owners. Good neighbor letters were sent to the adjacent property owners prior to harvest. No comments were received for this particular timber sale. Clear buffers were maintained on riparian zones where intermittent streams were mapped. The protected areas included rare plant values such as Yellow Lady Slippers. A section of the harvest was shut down as the contractor had deviated from the harvest plan and caused extensive rutting. This was a good example of harvest supervision and taking the correct actions to remedy the issue. A number of Shagbark Hickories were retained, along with other species. The Tecumseh trail was re-routed for the duration of the harvest, and signage outlined the detour.
Acquisition site – Girl Scout Camp	The acquisition was in excess of 300 acres in 3 parcels over the course of 10 years. The site includes known bat roosting sites for two federally listed species (Indiana bat and Northern long-eared bat). The State has plans to improve the site. Currently researchers associated with the Hardwood Ecosystem Experiment have accommodation in the camp. There is scope to increase the recreation on site to include mountain bike access. In spring 2019, there was a shelterwood harvest and burn.

	Discussion regarding Indigenous affairs and considerations. The Director of the Department of Natural Resources sits on the Native American and Indian Affairs Commission. The Division of Forestry's staff Archaeologist serves as the liaison between the division and DHPA and attends meetings as necessary.
Cultural Site	Turn of the century Milk Barn. This was located within a mile of adjacent harvest tract. Site contained the plant indicator species such as periwinkle and spice bush. Discussion on soil probe and soil sifting prior to any disturbance to ensure no sites with archaeological significance are damaged.
C315 and C319	Two salvage harvest tracts adjacent to each other. The salvage harvest was post a 2017 storm. A small volume was extracted from a steep slope. Steep skid trail was well managed and the soil was largely undisturbed.
HCVF site - Yellowwood	591 acre site with a 20 and 30 acre section in a Nature Preserve. Indiana DNR (INDNR) will harvest to manage the Yellowwood as it is a rare and imperiled tree. The work to date to release the saplings has shown a good response rate. Each of the 819 yellowwood trees in the area are flagged and GPS'd. Yellowwood are shade intolerant and much work is being undertaken at a research level to enhance the presence of this species. Hack and squirt chemical application was not considered so no collateral damage occurs through tree collapse.
AmeriCorps Restoration Project	60 acre section of forest abutting the roadway, whereby invasive species were extracted. The species included Autumn olive and burning bush. A good neighbor letter was sent to adjacent landowners on 10/31/18 notifying them of the invasive control.
Date: Friday, October 18, 2019	
FMU: Greene-Sullivan State Forest	
Auditors: Schulte and McCarthy	
FMU / location / sites visited	Activities / notes
C1 T5 Gamball Lake	85 acre salvage sale/clearcut removal for highwall removal. Completed highwall reclamation. Highwalls are the steep vertical slopes/cliffs created by coal mining. Since these are human created hazards they must be removed from the landscape. Funding comes from Indiana Division of Reclamation. Harvested spring 2017. Followed by the highwall reclamation. The site is now completed. Slopes have been laid back, the lake has been restored (including adding fish structures and stocking with fish), the bare soil planted with grasses right after work and planted with trees mid-2018. Chipped the tree tops and distributed to incorporate organics into the bare mineral soil to rebuild the nutrients. Public education was necessary to gain support from the local community. Indiana DNR conducted a number of open houses for the reclamation project.

C6 T8	<p>Clearcut and single tree selection. Area has been harvested but no reclamation work has been done yet. That is slated for January 2020.</p> <p>The selective harvest area was marked as an improvement cut and general thinning to release trees. Saw the boundary marked between the clearcut and the single tree selection.</p> <p>The neighboring landowner wanted trees left at the top of the highwall. The request was able to be accommodated.</p> <p>Discussion of wildlife use in the area.</p>
C7 T2	<p>Highwall reclamation just post reclamation. Has been planted with grasses. Slated to be planted with trees in 2020. This was an extra stop to show highwall projects in various stages.</p>
C3 T6	<p>61 acre shelterwood regeneration harvest. Only a portion of the tract was included in the sale due to inaccessibility, not being ready for harvest, and cultural site. Pine removed. The sale was marked by the previous Resource Specialist but the buyer never cut it. He released the sale to be resold. When it was re-marked the goal was to release the walnuts.</p> <p>Treated Ailanthus that was in the sale area.</p>
Dugger Unit	<p>Prescribed burn on about 100 areas to knock back invasives and induce regen. Goal to get rid of Autumn Olive. Recreation is the main use in the Dugger Unit. Fishing and birding. Birding is particularly good because of the diverse surrounding habitats (mature timber, lakes, and river).</p>
<p>Date: Tuesday, October 22, 2019 at FMUs: Francis Slocum (FSSF) and Salamonie (SSF) State Forests Auditor: Schulte</p>	
FMU / location / sites visited	Activities / notes
Deveny/Chute Farm	<p>About 400 acres that was sold to the State under a Life Estate arrangement where the current landowner maintains the property until death and then ownership is transferred to the Division of Forestry. The purchase was made through funding from the Indiana Heritage Trust (funded by environmental license plates), the Bicentennial Trust (was a State trust), and a sportsman's group.</p>
Frances Slocum State Forest	<p>FSSF is situated along the dammed Mississinewa River. Army Corps of engineers maintains the dam. There is a horse trail day use parking lot to access the horse trails that are maintained in FSSF.</p>
FSSF C2 T1	<p>The area has previously been harvested in 1986. A future sale is being planned. Review of Nature Heritage database has been conducted as well as the cultural review. A cultural site will be avoided with a 100' buffer. Seep area will receive buffer. The planted walnut is not doing well in the area with all walnut.</p> <p>Improvement cut in mixed hardwood stand. Thinning of the over-mature red and white pine. Perennial streams greater than 40' wide get a buffer of 200' which will apply to the Mississinewa River. Some invasives present. Observed property boundary.</p>

Salamonie State Forest	<p>SSF has a primitive family campground and a horse campground that is maintained in conjunction with horse groups. There was a portable CCC Camp 1933-1936 in Salamonie. No full structures remain, just a few foundations.</p> <p>Areas of SSF have been planted with Conservation Reserve Program funds. A harvest about 10 years ago removed ash at the beginning of the decline.</p>
SSF C1T3	<p>121 acres of natural hardwood forest and pine plantation. Improvement cut/thinning. Marked not sold. Will remove some of the pine planting. However, will leave white pine along horse trail. A group petitioned the Natural Resources Commission to transfer this property and FSSF to State Parks. In July 2018 the Commission unanimously denied the petition.</p> <p>The Forest Archeologist reviewed the landings. Invasive treatments have occurred. Steep slope down to intermittent was avoided. There was a walnut research area that will be harvested. The research is over and the walnuts are declining. Observed buffer along Salamonie river and mapped intermittent. Winter only harvest with frozen ground.</p>

2.2 Evaluation of Management Systems

SCS deploys interdisciplinary teams with expertise in forestry, social sciences, natural resource economics, and other relevant fields to assess an FME’s conformance to FSC standards and policies. Evaluation methods include reviewing documents and records, interviewing FME personnel and contractors, implementing sampling strategies to visit a broad number of forest cover and harvest prescription types, observing implementation of management plans and policies in the field, and collecting and analyzing stakeholder input. When there is more than one team member, each member may review parts of the standards based on their background and expertise. On the final day of an evaluation, team members convene to deliberate the findings of the assessment jointly. This involves an analysis of all relevant field observations, interviews, stakeholder comments, and reviewed documents and records. Where consensus among team members cannot be achieved due to lack of evidence, conflicting evidence or differences of interpretation of the standards, the team is instructed to report these in the certification decision section and/or in observations.

3. Changes in Management Practices

- There were no significant changes in the management and/or harvesting methods that affect the FME’s conformance to the FSC standards and policies.
- Significant changes occurred since the last evaluation that may affect the FME’s conformance to FSC standards and policies (*describe*):

4. Results of Evaluation

4.1 Definitions of Major CARs, Minor CARs and Observations

Major CARs: Major nonconformances, either alone or in combination with nonconformances of all other applicable indicators, result (or are likely to result) in a fundamental failure to achieve the objectives of the relevant FSC Criterion given the uniqueness and fragility of each forest resource. These are corrective actions that must be resolved or closed out before a certificate can be awarded. If Major CARs arise after an operation is certified, the timeframe for correcting these nonconformances is typically shorter than for Minor CARs. Certification is contingent on the certified FME’s response to the CAR within the stipulated time frame.

Minor CARs: These are corrective action requests in response to minor nonconformances, which are typically limited in scale or can be characterized as an unusual lapse in the system. Most Minor CARs are the result of nonconformance at the indicator-level. Corrective actions must be closed out within a specified time period of award of the certificate.

Observations: These are subject areas where the evaluation team concludes that there is conformance, but either future nonconformance may result due to inaction or the FME could achieve exemplary status through further refinement. Action on observations is voluntary and does not affect the maintenance of the certificate. However, observations can become CARs if performance with respect to the indicator(s) triggering the observation falls into nonconformance.

4.2 History of Findings for Certificate Period

FM Principle	Cert/Re-cert Evaluation (year)	1 st Annual Evaluation (year)	2 nd Annual Evaluation (year)	3 rd Annual Evaluation (year)	4 th Annual Evaluation (year)
No findings	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
P1					
P2					
P3					
P4	Obs 4.4.a; 8.1				
P5		Obs 5.1.a			
P6					
P7		Obs 7.3.a, Obs 7.4.a			
P8					
P9					
P10					
COC for FM		Obs 1.15			
Trademark					
Group					
Other					

4.3 Existing Corrective Action Requests and Observations

No non-conformities issued at 2018 audit.

4.4 New Corrective Action Requests and Observations

No non-conformities issued at 2019 audit.

5. Stakeholder Comments

In accordance with SCS protocols, consultation with key stakeholders is an integral component of the evaluation process. Stakeholder consultation takes place prior to, concurrent with, and following field evaluations. Distinct purposes of such consultation include:

- To solicit input from affected parties as to the strengths and weaknesses of the FME's management, relative to the standard, and the nature of the interaction between the FME and the surrounding communities.
- To solicit input on whether the forest management operation has consulted with stakeholders regarding identifying any high conservation value forests (HCVFs).

Stakeholder consultation activities are organized to give participants the opportunity to provide comments according to general categories of interest based on the three FSC chambers, as well as the SCS Interim Standard, if one was used.

5.1 Stakeholder Groups Consulted

Principal stakeholder groups are identified based upon results from past evaluations, lists of stakeholders from the FME under evaluation, and additional stakeholder contacts from other sources. Stakeholder groups who are consulted as part of the evaluation include FME management and staff, consulting foresters, contractors, lease holders, adjacent property owners, local and regionally-based social interest and civic organizations, purchasers of logs harvested on FME forestlands, recreational user groups, tribal members and/or representatives, members of the FSC National Initiative, members of the regional FSC working group, FSC International, local and regionally-based environmental organizations and conservationists, and forest industry groups and organizations, as well as local, state, and federal regulatory agency personnel and other relevant groups.

5.2 Summary of Stakeholder Comments and Evaluation Team Responses

The table below summarizes the major comments received from stakeholders and the assessment team's response. Where a stakeholder comment has triggered a subsequent investigation during the evaluation, the corresponding follow-up action and conclusions from SCS are noted below.

<input checked="" type="checkbox"/> FME has not received any stakeholder comments from interested parties as a result of stakeholder outreach activities during this annual evaluation.	
Stakeholder Comment	SCS Response
??	??

6. Certification Decision

The certificate holder has demonstrated continued overall conformance to the applicable Forest Stewardship Council standards. The SCS annual evaluation team recommends that the certificate be sustained, subject to subsequent annual evaluations and the FME’s response to any open CARs.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Comments:	

7. Annual Data Update

<input type="checkbox"/> No changes since previous evaluation.	
<input checked="" type="checkbox"/> Information in the following sections has changed since previous evaluation.	
<input type="checkbox"/> Name and Contact Information <input type="checkbox"/> FSC Sales Information <input type="checkbox"/> Scope of Certificate <input type="checkbox"/> Non-SLIMF FMUs <input checked="" type="checkbox"/> Social Information	<input checked="" type="checkbox"/> Pesticide and Other Chemical Use <input checked="" type="checkbox"/> Production Forests <input type="checkbox"/> FSC Product Classification <input checked="" type="checkbox"/> Conservation & High Conservation Value Areas <input checked="" type="checkbox"/> Areas Outside of the Scope of Certification

Name and Contact Information

Organization name	Indiana DNR, Division of Forestry		
Contact person	Brenda Huter		
Address	Indiana Department of Natural Resources Division of Forestry 402 W. Washington, Room W-296 Indianapolis, IN 46204, USA	Telephone	317-232-0142
		Fax	317-233-3863
		e-mail	bhuter@dnr.in.gov
		Website	www.in.gov/dnr/forestry

FSC Sales Information

<input checked="" type="checkbox"/> FSC Sales contact information same as above.
--

FSC salesperson	-		
Address	-	Telephone	-
		Fax	-
		e-mail	-
		Website	-

Scope of Certificate

Certificate Type	<input checked="" type="checkbox"/> Single FMU		<input type="checkbox"/> Multiple FMU
	<input type="checkbox"/> Group		
SLIMF (if applicable)	<input type="checkbox"/> Small SLIMF certificate	<input type="checkbox"/> Low intensity SLIMF certificate	
	<input type="checkbox"/> Group SLIMF certificate		
# Group Members (if applicable)	-		
Number of FMUs in scope of certificate	-		
Geographic location of non-SLIMF FMU(s)	<i>Latitude & Longitude:</i>		
Forest zone	<input type="checkbox"/> Boreal	<input checked="" type="checkbox"/> Temperate	
	<input type="checkbox"/> Subtropical	<input type="checkbox"/> Tropical	
Total forest area in scope of certificate:	158,264		
Total forest area in scope of certificate which is: Units: <input type="checkbox"/> ha or <input checked="" type="checkbox"/> ac			
privately managed	-		
state managed	158,264		
community managed	-		
Number of FMUs in scope that are:			
less than 100 ha in area	-	100 - 1000 ha in area	-
1000 - 10 000 ha in area	-	more than 10 000 ha in area	1
Total forest area in scope of certificate which is included in FMUs that: Units: <input type="checkbox"/> ha or <input type="checkbox"/> ac			
are less than 100 ha in area	0		
are between 100 ha and 1000 ha in area	0		
meet the eligibility criteria as <i>low intensity</i> SLIMF FMUs	0		
Division of FMUs into manageable units:			
The Division of Forestry (DoF) is a unit of the Department of Natural Resources (DNR), a state agency within the executive branch of the Indiana state government. DoF divides the FMU into State Forests (Properties). Each property is then divided into compartments, the next scale of land organization is tracts. Tracts are the primary land administration unit for management activity planning, monitoring and recordkeeping. Tracts may be composed of multiple forest stands for management, inventory and modeling purposes.			

Non-SLIMF FMUs (Group or Multiple FMU Certificates)

Name	Contact information	Latitude/ longitude of Non-SLIMF FMUs	
NA	NA	NA	NA

Social Information

Number of forest workers (including contractors) working in forest within scope of certificate (differentiated by gender):		
Male workers: 120	Female workers: 23	
Number of accidents in forest work since previous evaluation:	Serious: 0	Fatal: 0

Pesticide and Other Chemical Use

<input type="checkbox"/> FME does not use pesticides.				
Commercial name of pesticide / herbicide	Active ingredient	Quantity applied since previous evaluation (kg or lbs.)	Total area treated since previous evaluation (ha or ac)	Reason for use
Milestone	Aminopyralid	0.7 gal	35.86 acres	Invasives
Clethodim 2E	Clethodim	9.1 gal	313.7 acres	Invasives
Nautique	Copper ethylenediamine complex	10 gal	3 acres	Aquatic weed control, algae
Aquathol K	Copper ethanolamine complex	20 gal	3 acres	Aquatic weed control, algae
Citrine Plus	Dipotassium salt of endothall	15 gal	3 acres	Aquatic weed control, algae
Accord	Glyphosate	18.25 gal	235.4 acres	FSI, nvasives, tree planting
Aquaneat	Glyphosate	1.5 gal	7.93 acres	Invasive, weed control
Buccaneer	Glyphosate	14.63 gal	204.25 acres	FSI, invasives, weed control
Drexel	Glyphosate	9.5 gal	15.7 acres	Invasives
Helosate Plus	Glyphosate	0.89 gal	1 acres	Invasives, weed control
Mad Dog Plus	Glyphosate	47.9 gal	395.6 acres	Invasives, weed control
Razor	Glyphosate	43.44 gal	23 acres	Invasives, weed control
Rodeo	Glyphosate	22.74 gal	110.6 acres	Invasives
Roundup	Glyphosate	9.15 gal	43 acres	Invasives
Plateau	Imazipic	5.38 gal	122.9 acres	Invasives
Pathway	Picloram, 2,4-D	1.8 gal	15 acres	FSI
Tordon	Picloram, 2,4-D	8 gal	111.75 acres	FSI, invasives
Poast	Sethoxydim	2.55 gal	117.65 acres	Invasives
Element 4	Triclopyr	29.5 gal	219.45 acres	Invasives
Garlon 3a	Triclopyr	5.55 gal	155.2 acres	Invasives
Garlon 4	Triclopyr	56.68 gal	502.8 acres	Invasives

Remedy Ultra	Triclopyr	1.6 gal	290 acres	FSI, invasives
Vastlan	Triclopyr	2.38 gal	86.47 acres	Invasives
Crossbow	Triclopyr, 2,4-D	5.94 gal	20.6 acres	Invasives, weed control

Production Forests

Timber Forest Products	Units: <input type="checkbox"/> ha or <input checked="" type="checkbox"/> ac
Total area of production forest (i.e. forest from which timber may be harvested)	152,626
Area of production forest classified as 'plantation'	0
Area of production forest regenerated primarily by replanting or by a combination of replanting and coppicing of the planted stems	0
Area of production forest regenerated primarily by natural regeneration, or by a combination of natural regeneration and coppicing of the naturally regenerated stems	0
Silvicultural system(s)	Area under type of management
Even-aged management	
Clearcut (clearcut size range)	
Shelterwood	
Other:	
Uneven-aged management	
Individual tree selection	95,391
Group selection	
Other:	
<input type="checkbox"/> Other (e.g. nursery, recreation area, windbreak, bamboo, silvo-pastoral system, agro-forestry system, etc.)	-
Non-timber Forest Products (NTFPs)	
Area of forest protected from commercial harvesting of timber and managed primarily for the production of NTFPs or services	-
Other areas managed for NTFPs or services	-
Approximate annual commercial production of non-timber forest products included in the scope of the certificate, by product type	-
Species in scope of joint FM/COC certificate: (Scientific / Latin Name and Common / Trade Name)	
Acer spp	Maple: sugar, red, black, silver, boxelder
Aesculus spp	Ohio, yellow
Ailanthus altissima	tree of heaven
Asimina triloba	pawpaw
Betula nigra	river birch
Carya spp	Hickory: bitternut, mockernut, shagbark, red, pignut, shellbark, pecan
Carpinus caroliniana	Hornbeam
Catalpa speciosa	catalpa
Celtis occidentalis	hackberry
Cercis canadensis	eastern redbud

Cladrastis kentukea	yellowwood
Cornus florida	flowering dogwood
Crataegus spp	hawthorns
Diospyros virginiana	persimmon
Fagus grandifolia	American beech
Fraxinus spp.	Ash: white, green, pumpkin, black, blue
Gleditsia triacanthos	honey locust
Gymnocladus dioica	Kentucky coffee-tree
Juglans spp	black walnut, butternut
Juniperus virginiana	red cedar
Larix laricina	tamarack
Liquidamber styraciflua	sweet gum
Liriodendron tulipifera	yellow-poplar
Maclura pomifera	Osage orange
Magnolia acuminata	cucumber magnolia
Morus spp	mulberry
Nyssa sylvatica	black gum
Ostrya virginiana	Eastern hophornbeam (ironwood)
Paulownia tomentosa	royal paulownia
Picea abies	
Pinus spp	Norway spruce
	Pine: white, red, Scotch, Virginia, shortleaf, jack, loblolly
Plantanus occidentalis	sycamore
Populus spp.	large-toothed aspen, quaking aspen, cottonwood
Prunus serotina	black cherry
Quercus spp.	Oaks: white, red, black, scarlet, post, bur, swamp chestnut, swamp white, chestnut, chinkapin, shingle, black jack, cherry bark, pin, shumard, overcup, northern pin
Robinia pseudoacacia	black locust
Salix nigra	black willow
Sassafras alfidum	sassafras
Taxodium distichum	bald cypress
Tilia Americana	basswood
Tsuga Canadensis	eastern hemlock
Ulmus spp	elms

FSC Product Classification

Timber products		
Product Level 1	Product Level 2	Species

W1 Rough Wood	W1.1 Roundwood	All
W1 Rough Wood	W1.2 Fuelwood	
W3 Wood in chips or particles	W3.1 Wood chips	
Non-Timber Forest Products		
Product Level 1	Product Level 2	Product Level 3 and Species
None		

Note: W1, W2, and W3 product groups usually do not require a separate evaluation to FSC-STD-40-004 (COC) if processing occurs in the field for FM/COC and CW/FM certificate types. N1-N10 (NTFPs) are eligible to be sold with FSC claims under FM/COC certification if reported here. Bamboo and NTFPs derived from trees (e.g. cork, resin, bark) may be eligible for FM/COC and CW/FM certification. NTFPs used for food and medicinal purposes are not eligible for CW/FM certification. Check with SCS if you have any products intended to be sold with an FSC claim outside of any of these categories.

Conservation and High Conservation Value Areas

Conservation Area	Units: <input type="checkbox"/> ha or <input checked="" type="checkbox"/> ac
Total amount of land in certified area protected from commercial harvesting of timber and managed primarily for conservation objectives (includes both forested and non-forested lands).*	3,446.44

*Note: Total conservation and HCV areas may differ since these may serve different functions in the FME’s management system. Designation as HCV may allow for active management, including commercial harvest. Conservation areas are typically under passive management, but may undergo invasive species control, prescribed burns, non-commercial harvest, and other management activities intended to maintain or enhance their integrity. In all cases, figures are reported by the FME as it pertains local laws & regulations, management objectives, and FSC requirements.

High Conservation Value Forest / Areas			Units: <input type="checkbox"/> ha or <input checked="" type="checkbox"/> ac
Code	HCV Type	Description & Location	Area
HCV1	Forests or areas containing globally, regionally or nationally significant concentrations of biodiversity values (e.g. endemism, endangered species, refugia).	Virginia Pine-Chestnut Oak, Clark SF, (19.4 ac) Alum Cave Hollow, Clark SF, (164.2 ac) Batwing Cave, Harrison-Crawford SF, (10.5 ac) Deam’s Bluff, Harrison-Crawford SF, (251.9 ac) Scout Ridge, Morgan-Monroe SF, (15.1 ac) Crooked Creek, Yellowwood SF, (34.3 ac) Greenbrier Knob/River’s Ledge, Harrison-Crawford SF, (144.2 ac) Pleasant Grove Valley, Owen Putnam SF, (64.2 ac), Outbrook Ravine, Clark SF (518.57 ac) Coal Hollow, Covered Bridge – Green Sullivan SF (153.05 ac)	1375.42

HCV2	Forests or areas containing globally, regionally or nationally significant 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.	-	-
HCV3	Forests or areas that are in or contain rare, threatened or endangered ecosystems.	White Oak , Clark SF,(133.7 ac) Post Oak-Cedar, Harrison-Crawford SF, (275.5 ac); Scout Mountain, Harrison-Crawford SF, (47.7 ac) Leavenworth Barrens, Harrison-Crawford SF, (761.3 ac) Blue River Gravel Wash Barrens, Harrison-Crawford SF, (77.6 ac) Indian Bitter, Jackson-Washington SF, (36.7 ac) Knobstone Glades, Jackson-Washington SF, (58.8 ac) Henshaw Bend, Martin SF, (82.5 ac) Tank Spring, Martin SF, (62.9 ac) Low Gap, Morgan-Monroe SF, (320 ac) Miller Ridge, Yellowwood SF, (30.6 ac) Countyline Glades, Harrison-Crawford SF, (84.6 ac) Section 9 Seep Springs, Owen-Putnam SF, (46.72 ac) Ravinia Seeps, Morgan-Monroe SF, (52.4 ac)	2,071.02
HCV4	Forests or areas that provide basic services of nature in critical situations (e.g. watershed protection, erosion control).	-	-
HCV5	Forests or areas fundamental to meeting basic needs of local communities (e.g. subsistence, health).	-	-

HCV6	Forests or areas critical to local communities' traditional cultural identity (areas of cultural, ecological, economic or religious significance identified in cooperation with such local communities).	-	-
Total area of forest classified as 'High Conservation Value Forest / Area'			3,247.37

Areas Outside of the Scope of Certification (Partial Certification and Excision)

<input type="checkbox"/> N/A – All forestland owned or managed by the applicant is included in the scope.		
<input type="checkbox"/> Applicant owns and/or manages other FMUs not under evaluation.		
<input checked="" type="checkbox"/> Applicant wishes to excise portions of the FMU(s) under evaluation from the scope of certification. Note: Excision cannot be applied to CW/FM certificates.		
Explanation for exclusion of FMUs and/or excision:	The Division of Forestry removed the developed campground areas at Starve Hollow State Recreations Area, Deam Lake State Recreation Area, and Greene-Sullivan State Forests. These areas have family cabins that are under integrated pest management. Heat treatments and insecticides are used. Several of the most effective bedbug insecticides are not allowed under FSC. All applications occur within the cabins.	
Control measures to prevent mixing of certified and non-certified product (C8.3):	The Division of Forestry developed maps delineating the excised areas. Probability of a timber sale in the excised areas is low for reasons including: high recreation use, low timber value due to risk of imbedded material, and poor form species with low value in area. Any removed trees would either be used for internal use (wood heating) or in the case of a salvage sale the excised area would be sold separately (uncertified) from the remainder of the State Forest property. Boundaries of sale area would be marked.	
Description of FMUs excluded from, or forested area excised from, the scope of certification:		
Name of FMU or Stand	Location (city, state, country)	Size (<input type="checkbox"/> ha or <input checked="" type="checkbox"/> ac)
Stave Hollow State Recreation Area, Jackson- Washington SF	Vallonia, IN, USA	11
Deam Lake State Recreation Area, Clark SF	Borden, IN, USA	73
Greene-Sullivan SF	Dugger, IN, USA	30

SECTION B – APPENDICES (CONFIDENTIAL)

Appendix 1 – List of FMUs Selected for Evaluation

- FME consists of a single FMU
- FME consists of multiple FMUs or is a Group

Appendix 2 – Staff and Stakeholders Consulted

List of FME Staff Consulted

To protect privacy, only FME staff who have expressly provided written permission are listed. **These records are retained by SCS and subject to FSC or ASI examination.**

Name	Title	Contact Information	Consultation method
Brenda Huter	Stewardship Coordinator	bhuter@dnr.IN.gov	In person
Brad Schneck	Assistant State Forester	bschneck@dnr.IN.gov	In person
Rob Duncan	Forest Resource Specialist	rduncan@dnr.IN.gov	In person
AJ Ariens	Forest Archaeologist	aariens@dnr.IN.gov	In person
Scott Haulton	Wildlife Biologist	shaulton@dnr.IN.gov	In person
Bill Gallogly	Owen Putnam State Forest Property Manager	bgallogly@dnr.IN.gov	In person
John Friedrich	Property Specialist	jfriedrich@dnr.IN.gov	In person
John Seifert	State Forester	jseifert@dnr.IN.gov	In person

List of other Stakeholders Consulted*

To protect privacy, only stakeholders who have expressly provided written permission are listed. **These records are retained by SCS and subject to FSC or ASI examination.**

List of other Stakeholders Consulted*

Name	Title	Contact Information	Consultation method	Requests Stakeholder Notification? (Y/N)
??				

* Note: SCS may maintain additional records of stakeholder consultation activities (e.g., email notifications) in its recordkeeping system. Anonymous stakeholders may have provided comments as a part of stakeholder outreach activities.

Appendix 3 – Additional Evaluation Techniques Employed

- None.
- Additional techniques employed (*describe*):

Appendix 4 – Required Tracking

Pesticide Derogations

- There are no active pesticide derogations for this FME.

Progressive HCVF Assessments

- FME does not use partial or progressive HCVF assessments.

Note: In the case the FME is not operating in the entire management unit, it is permissible to only complete an HCVF assessment for the portion of the unit in which they are operating under special conditions. In such cases, the HCVF assessment must be extended if new areas are entered without an existing, appropriate HCVF assessment having been completed. An example includes a large forest concession where harvesting is initially limited to a smaller geographic scope.

Special Instructions or Scoping Notes for Next Regularly Scheduled Annual Audit

<input checked="" type="checkbox"/>	Not applicable; no significant issues identified that may impact the next audit.
Some issues were identified during this audit that the next audit team could consider in the next audit, such as:	
<input type="checkbox"/>	Scope of certificate:
<input type="checkbox"/>	Audit sampling:
<input type="checkbox"/>	Audit time:
<input type="checkbox"/>	Audit season:
<input type="checkbox"/>	Travel time between sites or FMUs:
<input type="checkbox"/>	Audit frequency:
<input type="checkbox"/>	Suggested audit team competency for next audit:
<input type="checkbox"/>	Suggested requirements to include during the next audit:
<input type="checkbox"/>	Suggested issues investigate during the next audit:
<input type="checkbox"/>	Suggested sites for inspection:
<input type="checkbox"/>	Stakeholders to be consulted:
<input type="checkbox"/>	Other(s) – please describe:

Appendix 5 – Forest Management Standard Conformance Table

Criteria required by FSC at every surveillance evaluation (<i>check all situations that apply</i>)	<input type="checkbox"/> NA – all FMUs are exempt from these requirements. <input type="checkbox"/> Plantations > 10,000 ha (24,710 ac): 2.3, 4.2, 4.4, 6.7, 6.9, 10.6, 10.7, and 10.8 <input checked="" type="checkbox"/> Natural forests > 50,000 ha (123,553 ac) ('low intensity' SLIMFs exempt): 1.5, 2.3, 3.2, 4.2, 4.4, 5.6, 6.2, 6.3, 8.2, and 9.4 <input checked="" type="checkbox"/> FMUs containing High Conservation Values ('small forest' SLIMFs exempt): 6.2, 6.3, 6.9 and 9.4
Documents and records reviewed for FMUs/sites sampled	<input checked="" type="checkbox"/> All applicable documents and records as required in audit plan were reviewed; or <input type="checkbox"/> The following documents and records as required in the audit plan were NOT reviewed (<i>provide explanation</i>):

Requirements Reviewed in Annual Evaluation

Evaluation Year	Requirements Reviewed (FSC P&C Reviewed, FM/COC Indicators, Trademark Indicators, Group Standard Indicators, etc.)
2016	All – (Re)certification Evaluation
2017	P1, P5, 6.3, P9
2018	P4, P5, P8, Group Std: C6, C7, C8; FSC-STD-50-001, 1.15
2019	P2, P3, COC and TM standard
2020	

C= Conformance with Criterion or Indicator
NC= Nonconformance with Criterion or Indicator
NA = Not Applicable
NE = Not Evaluated

REQUIREMENT	C/NC	COMMENT/CAR
Principle #1: Compliance with Laws and FSC Principles Forest management shall respect all applicable laws of the country in which they occur, and international treaties and agreements to which the country is a signatory, and comply with all FSC Principles and Criteria.		

<p>1.5. Forest management areas should be protected from illegal harvesting, settlement and other unauthorized activities.</p>	<p>C</p>	<p>-</p>
<p>1.5.a. The forest owner or manager supports or implements measures intended to prevent illegal and unauthorized activities on the <i>Forest Management Unit</i> (FMU).</p>	<p>C</p>	<p>Evidence of conformance includes:</p> <ul style="list-style-type: none"> • Active marking of property boundaries with all boundaries flagged or painted approximately every 10 years. For properties where boundary is uncertain, DoF works with their division surveyor to establish boundary. • DoF gates access roads. • ATV's are prohibited on State Forests, except for disabled hunters. • DoF maintains a "good neighbor database" and invites the public to yearly open houses. • DoF maintains a close working relationship with Law Enforcement. • DoF does a good job posting state forest regulations and trail closures. <p>Through interviews, document review, and field inspection the auditors confirmed all of the above occurring on the Yellowwood, Morgan Monroe, Owen-Putnam, and Greene-Sullivan State Forests during the 2019 audit.</p> <p>To ensure that State Forest timber harvests are aboveboard, post-sale audits are used to count stumps and verify that the final harvest conformed to the sale contract. Ten percent of closed sales are inspected annually in audits. The audits are intended to deter illegal harvest and avoid any allegations that foresters might be allowing loggers to take additional trees on the side. The 2018 Audit report is available here, https://www.in.gov/dnr/forestry</p> <p>DoF works closely with law enforcement officers to curtail illegal activities. No signs of significant illegal activities were found at the sites visited during the 2019 audit.</p> <p>DNR does allow some exceptions to access regulations. Notably for allowing disabled access via</p>

		<p>motorized vehicles in designated non-motorized area for recreational hunting.</p> <p>DNR's Law Enforcement Division (LED), https://secure.in.gov/dnr/lawenfor/, employs conservation officers who serve the public and protect the natural heritage of the state of Indiana. The division operates 10 law enforcement districts throughout the state. The Law Enforcement Division is Indiana's oldest state law enforcement agency, and one of the most diverse.</p> <p>The Law Enforcement Division also has an Investigations Section. These investigations are primarily focused on exploited or commercialized wildlife. They use a variety of techniques including specialized surveillance and undercover operations.</p> <p>Interviews with forestry staff in 2019 confirm that LED works in close cooperation to protect the state's natural resources from unauthorized and illegal use.</p>
<p>1.5.b. If illegal or unauthorized activities occur, the forest owner or manager implements actions designed to curtail such activities and correct the situation to the extent possible for meeting all land management objectives with consideration of available resources.</p>	<p>C</p>	<p>DoF works closely with law enforcement officers to curtail illegal activities. No signs of significant illegal activities were found at the sites visited during the 2019 audit.</p> <p>No ATV activity was observed during the assessment. DoF attempts to deal with unauthorized horse trails by hindering entrances to them and repairing existing authorized trails.</p> <p>Yellowwood, Owen-Putnam and Greene-Sullivan State Forests had horse trails inspected during the 2019 audit. All were in conformance with the standard.</p>

<p>Principle #2: Long-term tenure and use rights to the land and forest resources shall be clearly defined, documented and legally established.</p>		
<p>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.</p>	<p>C</p>	<p>-</p>
<p>2.1.a The forest owner or manager provides clear evidence of <i>long-term</i> rights to use and manage the FMU for the purposes described in the management plan.</p>	<p>C</p>	<p>DoF was established through legislation in 1901. The ownership of State Forests can be verified through county records and at the central office. DoF tracks legal ownership through State Land Office with online</p>

		GIS mapping system and deed links for each parcel. Internally, DoF has a managed-land database.
2.1.b The forest owner or manager identifies and documents legally established use and access rights associated with the FMU that are held by other parties.	C	Lease agreements are maintained at the DoF Central Office and are the responsibility of John Friedrich. On previous visits to Central Office SCS auditors have found lease agreements to be well documented.
2.1.c Boundaries of land ownership and use rights are clearly identified on the ground and on maps prior to commencing management activities in the vicinity of the boundaries.	C	DoF is taking significant actions to reduce the risk of unauthorized activities by periodically (every 10 years) reviewing all property boundaries which may include repainting, flagging or installation of carsonite marker posts of lines. DoF maps include property boundaries and information on other use rights (e.g., rights-of-way). These maps are prepared during the planning phase prior to timber sales and other contracted management activities going out to bid. Timber sales visited in 2019 audit with external boundaries were marked.
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. <i>Applicability Note: For the planning and management of publicly owned forests, the local community is defined as all residents and property owners of the relevant jurisdiction.</i>	C	-
2.2.a The forest owner or manager allows the exercise of tenure and use rights allowable by law or regulation.	C	Tenure and use rights are well respected by DoF. Customary recreational uses are accommodated and managed in an exemplary manner. Observed numerous examples of recreational uses being promoted, made accessible, and improved for use by future generations.
2.2.b In FMUs where tenure or use rights held by others exist, the forest owner or manager consults with groups that hold such rights so that management activities do not significantly impact the uses or benefits of such rights.	C	The primary mechanism for consulting with concerned and affected stakeholders is an annual open house. “Good Neighbor” letters are sent prior to timber harvests per page P-5, http://www.in.gov/dnr/forestry/files/manual/fo-P.pdf . This was confirmed by review of 2019 documents provided upon request by state forester. Interviews with staff in 2019 confirm consistent knowledge of, and routine use of these letters.

		<p>Considerable efforts are made to get attendance at the open house, such as drawings, free food, free saplings, and education.</p> <p>Confirmed through interviews with DoF staff that they maintain regular contact with permittees and other people with rights to use of resources on the FMU.</p>
<p>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.</p>	C	-
<p>2.3.a If <i>disputes</i> arise regarding tenure claims or use rights then the forest owner or manager initially attempts to resolve them through open communication, negotiation, and/or mediation. If these good-faith efforts fail, then federal, state, and/or local laws are employed to resolve such disputes.</p>	C	<p>DoF maintains an open door policy both at the level of the central office and each state forest. Confirmed open door policy is used at Yellowwood, Owen-Putnam, Morgan-Monroe and Greene-Sullivan State Forests during the 2019 audit.</p> <p>DoF staff regularly check and mark boundaries for timber sales that abut other ownerships. Additionally, they apply a no-harvest buffer zone to these types of sales.</p>
<p>2.3.b The forest owner or manager documents any significant disputes over tenure and use rights.</p>	C	<p>DoF tracks legal ownership and boundary disputes through the State Land Office. Most issues deal with timber theft and unauthorized installation of septic lines or other utilities or residential uses (examples: gardens, yards, dog houses, sheds) into state lands.</p>
<p>Principle #3: The legal and customary rights of indigenous peoples to own, use and manage their lands, territories, and resources shall be recognized and respected.</p>		
<p>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.</p>	NA	<p>The FMU does not include any tribal lands or enterprises, as confirmed in record review in C2.1.</p>
<p>3.2. Forest management shall not threaten or diminish, either directly or indirectly, the resources or tenure rights of indigenous peoples.</p>	C	-
<p>3.2.a During management planning, the forest owner or manager consults with American Indian groups that have legal rights or other binding agreements to the FMU to avoid harming their resources or rights.</p>	C	<p>The DoF sends letters to both federally recognized and unrecognized tribes with ancestral connections to the State of Indiana.</p>

<p>3.2.b Demonstrable actions are taken so that forest management does not adversely affect tribal resources. When applicable, evidence of, and measures for, protecting tribal resources are incorporated in the management plan.</p>	<p>C</p>	<p>DoF continues to identify and protect archaeological sites on DoF lands. Over several years the DoF has identified and appropriately documented several sites as confirmed by documentation review and interviews with staff foresters and Forestry Archaeologist. Forestry staff made available documentation for pre-management activity reviews for all sites visited during the audit (see Audit Itinerary for detailed listing of Compartment/Tracts and State Forests visited). In all case, with no exceptions, these reviews were completed prior to commencement of management activities.</p>
<p>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.</p>	<p>C</p>	<p>-</p>
<p>3.3.a. The forest owner or manager invites consultation with tribal representatives in identifying sites of current or traditional cultural, archeological, ecological, economic or religious significance.</p>	<p>C</p>	<p>The DNR holds a position on the Indiana Native American Indian Affairs Commission (INAIAC). Established under Indiana Code 4-23, the Commission meets quarterly to discuss, study, and make recommendations to the appropriate federal, state, and local governmental agencies in areas of concern of the State’s Native and non-Native people and communities. Currently the Commission includes seventeen individuals (8 representing various Native Tribes/Nations, 7 representing State agencies, the Present Pro Tempore appointee, and the Speaker of the House appointee). The objective of the Commission is to bring together Native communities, to assist in identifying and providing opportunities to the community, and to enhance social, cultural, community, and economic development in Indiana.</p> <p>The Director of the DNR is one of the members of the Commission. The Division of Forestry will work through the Commission to seek guidance in regards to consultation with tribal representatives when circumstances are brought to the Division’s attention concerning known sites of current or traditional cultural, archaeological, ecological, economic, or religious significance. The Commission also thus serves as a means for Native American tribes or individuals to express concern or interests to the DNR regarding the Division’s activities, procedures, and/or land holdings.</p> <p>SCS staff reviewed and confirmed The Indiana Native American Indian Affairs Commission (INAIAC) was</p>

		<p>established by Section 3 of Chapter 32 under Indiana Code 4-23. (A copy of this statute may be found here, http://in.gov/inaiac/files/INAIAC_IC_4-23-32.pdf.) Additional information regarding links to upcoming events, resources, news releases, public meetings, information about the Commissioners may be found on the INAIAC website, http://in.gov/inaiac/2345.htm. The Forest Archaeologist has also attended meetings on behalf of Indiana DNR if the topic is pertinent to their expertise.</p>
<p>3.3.b In consultation with tribal representatives, the forest owner or manager develops measures to protect or enhance areas of special significance (see also Criterion 9.1).</p>	<p>C</p>	<p>If notices or consultation with tribal groups yields no protective information, the DoF has developed protection measures for areas of special significance in the absence of protection measures provided for archaeological sites by tribal representatives. The definition and process for protection of cultural resources may be found here, http://www.in.gov/dnr/forestry/files/manual/fo-M.pdf. Projects are submitted to the state Forestry Archaeologist using this form, http://www.in.gov/dnr/forestry/files/manual/fo-II-M-1.pdf. Additional forms and procedures relevant to protection of special areas may be found on the state forestry procedures manual page here, http://www.in.gov/dnr/forestry/5197.htm.</p>
<p>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 shall be formally agreed upon with their free and informed consent before forest operations commence.</p>	<p>NA</p>	<p>- DOF does not employ any traditional knowledge in its forest management, as confirmed via review of the FMP and field-level management practices.</p>
<p>4.2. Forest management should meet or exceed all applicable laws and/or regulations covering health and safety of employees and their families.</p>	<p>C</p>	<p>-</p>
<p>4.2.a The forest owner or manager meets or exceeds all applicable laws and/or regulations covering health and safety of employees and their families (also see Criterion 1.1).</p>	<p>C</p>	<p>DoF takes active steps to ensure safety, such as:</p> <ul style="list-style-type: none"> • safety inspections from a DNR Safety Officer occur at each state forest; • safety meetings take place once per month;

		<ul style="list-style-type: none"> • safety training classes are offered, e.g., chainsaw safety for DoF employees; • DoF provides insect repellent and safety boots for staff; • DoF is an active support of logger education in Indiana. <p>The Indiana Occupational Safety and Health Administration (IOSHA) is dedicated to ensuring workplace safety and health. IOSHA's Whistleblower Protection Unit works to maintain the integrity of the Indiana Occupational Safety and Health Act by protecting the rights that law gives to employees. Among these rights are the ability to file, without reprisal, safety and health complaints with a government agency or company management and the freedom to participate in an IOSHA inspection.</p>
<p>4.2.b The forest owner or manager and their employees and contractors demonstrate a safe work environment. Contracts or other written agreements include safety requirements.</p>	C	<p>DoF's timber sale agreement (C13 T2, 3, 4 Timber Sale Agreement includes several items related to safety (see items 12, 13, 15, 16, 18, and 19), http://www.in.gov/dnr/forestry/files/manual/fo-II-G-2.pdf.</p>
<p>4.2.c The forest owner or manager hires well-qualified service providers to safely implement the management plan.</p>	C	<p>DoF's timber sale agreement, see 4.2.b above, requires that at least one logger on each job site have at least complete Game of Logging (GOL) Level 1 training, and Best Management Practices (BMPs). Auditors confirmed these records are available in a database maintained and available online here, https://www.in.gov/forestryexchange/INForestryX/default.aspx.</p>
<p>4.4. Management planning and operations shall incorporate the results of evaluations of social impact. Consultations shall be maintained with people and groups (both men and women) directly affected by management operations.</p>	C	-
<p>4.4.a The forest owner or manager understands the likely social impacts of management activities, and incorporates this understanding into management planning and operations. Social impacts include effects on:</p>	C	<p>DoF uses the following approaches to understand social impacts and incorporate into management:</p> <ol style="list-style-type: none"> 1. Ongoing archaeological review of projects.

<ul style="list-style-type: none"> • Archeological sites and sites of cultural, historical and community significance (on and off the FMU); • Public resources, including air, water and food (hunting, fishing, collecting); • Aesthetics; • Community goals for forest and natural resource use and protection such as employment, subsistence, recreation and health; • Community economic opportunities; • Other people who may be affected by management operations. <p>A summary is available to the CB.</p>		<ol style="list-style-type: none"> 2. Open houses for public to review planned management. 3. Posting of management plans for public review on website. 4. Timber sales are offered at different scales (volumes) for different businesses. 5. Public resources, including air, water, and soil, have been evaluated for both ‘direct’ and ‘indirect’ effects of management activities as well as the cumulative effect of said activities on these public resources. The results of this analysis are located within the 2008-2027 Environmental Assessment (EA) document. <p>The Indiana Forestry Strategic Directions planning documents and process address social impacts.</p>
<p>4.4.b The forest owner or manager seeks and considers input in management planning from people who would likely be affected by management activities.</p>	<p>C</p>	<p>State Forest planning documents and resource management plans are open to public comment for at least 30 days prior to finalization. Additionally, DoF holds several public meetings and open houses throughout the state each year to solicit and address public comments.</p> <p>The following were examined during the 2019 audit:</p> <ol style="list-style-type: none"> 1. For the <i>Indiana Division of Forestry Strategic Plan</i>, http://www.in.gov/dnr/forestry/files/fo-State_Forest_Strategic_Plan_2015_2019.pdf: Public Plan Input Process: The DoF goal is update the strategic plan approximately every 5 years. The DoF has a public input procedure, https://in.gov/dnr/forestry/files/fo-Public_Input_Procedure.pdf that describes the stakeholder solicitation process. This document provided detailed formats, public meetings, online access and other means by which the public could provide input for the proposed strategic plan. The 2019 auditors confirmed this process was followed. DoF also provided a summary of comments, and responses.

		<p>2. The State Forests hold Open Houses: The properties provide information about upcoming property projects including timber sales. Guests can ask questions and/or provide comment directly to property staff. Comment cards are also available for people who prefer to provide a written statement or comment. Forestry staff will respond to specific questions. DoF provided for review the 2018 State Forest Open House Summary https://www.in.gov/dnr/forestry/files/fo-Open_House_Summary2018.pdf</p> <p>These schedules are posted online once approved. The 2018, and past open house schedules to 2006, are provided here, http://www.in.gov/dnr/forestry/3644.htm</p> <p>3. Forest Stewardship Coordinating Committee: At least once a year the Forest Stewardship Coordinating Committee convenes. Description of this group is here, http://in.gov/dnr/forestry/6252.htm The annual meeting is open to all groups with an interest in the forests of Indiana. The meeting attracts representatives from a range of organizations: professional forester groups, trail groups, environmental groups, wildlife groups, state and federal agencies. Topics for the meetings vary, but there is always time for groups to report on activities they are planning or items of concern.</p> <p>4. The Division of Forestry also has a place to ask questions or provide comment on the website: http://www.in.gov/dnr/forestry/2856.htm. When comments are received, they are forwarded to the appropriate staff member to respond. Finally, each State Forest property page provides an email address as well as a property-specific newsletter. For example, the Owen-Putnam property page may be found here, http://www.in.gov/dnr/forestry/4815.htm.</p>
<p>4.4.c People who are subject to direct adverse effects of management operations are apprised of relevant activities in advance of the action so that they may</p>	<p>C</p>	<p>There are two principal ways that people are apprised of relevant activities: 1) timber sales & state forest management guides are on the website and</p>

<p>express concern.</p>		<p>stakeholders can provide comments; and 2) Open houses (at open house will have list of planned activities). DoF also attempts to prepare news releases to advertise events. For adjacent landowners, a notification letter or other communication on upcoming timber sales is a common practice. This letter may be found here, http://www.in.gov/dnr/forestry/files/manual/fo-P.pdf.</p>
<p>4.4.d For <i>public forests</i>, consultation shall include the following components:</p> <ol style="list-style-type: none"> 1. Clearly defined and accessible methods for public participation are provided in both long and short-term planning processes, including harvest plans and operational plans; 2. Public notification is sufficient to allow interested stakeholders the chance to learn of upcoming opportunities for public review and/or comment on the proposed management; 3. An accessible and affordable appeals process to planning decisions is available. <p>Planning decisions incorporate the results of public consultation. All draft and final planning documents, and their supporting data, are made readily available to the public.</p>	<p>C</p>	<p>In Indiana, stakeholders are free to use the legal system to appeal planning decisions. However, DoF’s notification to adjacent landowners of upcoming activities, open door policies, annual open houses, and State Forest Stewardship Committee meetings are avenues for resolving grievances prior to legal action.</p> <p>Management planning documents, including upcoming timber sales, are made available to the public online. The public can also access publications and data on the website or upon request.</p> <p>Anyone can put in a public information request at any time per DoF’s policy. The requests are reviewed on case by case basis. Unless there is some legal reason (RTE species, archaeological site, etc.) or the document is a draft not ready for public comment, the information is typically released. There may be a cost to the requestor for copying or other document production. In general, if someone really wants a disclosable document, they will get it from DoF.</p>
<p>5.6. The rate of harvest of forest products shall not exceed levels which can be permanently sustained.</p>	<p>C</p>	<p>-</p>
<p>5.6.a In FMUs where products are being harvested, the landowner or manager calculates the sustained yield harvest level for each sustained yield planning unit, and provides clear rationale for determining the size and layout of the planning unit. The sustained yield harvest level calculation is documented in the Management Plan.</p>	<p>C</p>	<p>DoF current harvest target is 10 mmbf/annually, which is approximately 50% of gross annual growth. The current growth estimate is based on the current State Forest CFI program implemented in 2008. Annual gross growth is estimated at 22 million board feet.</p> <p>The overall harvest goal for the system (10 mmbf) is allocated proportionally to the properties based on standing volume percentages, with adjustments for special situations such as variations driven in large part by forest health issues. Allowable cut is based on</p>

<p>The sustained yield harvest level calculation for each planning unit is based on:</p> <ul style="list-style-type: none"> • documented growth rates for particular sites, and/or acreage of forest types, age-classes and species distributions; • mortality and decay and other factors that affect net growth; • areas reserved from harvest or subject to harvest restrictions to meet other management goals; • silvicultural practices that will be employed on the FMU; • management objectives and desired future conditions. <p>The calculation is made by considering the effects of repeated prescribed harvests on the product/species and its ecosystem, as well as planned management treatments and projections of subsequent regrowth beyond single rotation and multiple re-entries.</p>		<p>previous growth/yield data as described above and is allocated to each forest based on the most current inventory figures with the intent being to not over harvest any particular forest. These figures are then adjusted based on special circumstances such as the need for salvage cuts (e.g., salvage after tornado on Clark State Forest). The Indiana Division of Forestry has developed a robust forest inventory system.</p> <p>A continuous forest inventory where 1/5 of the land base is inventoried each year is in the 8th year. After the 5th year was completed, DoF started to re-measure the plots allowing for growth computation. A preliminary comparison is being calculated, but another year of inventory is needed to come close to a statistically-reliable growth estimate. The system design is based on 10 years to develop a reliable growth estimate.</p> <p>State Forest harvest target is 10,mmbf. Actual harvest 2018/2019: 2.64 mmbf due to internal reevaluation period.</p>												
<p>5.6.b Average annual harvest levels, over rolling periods of no more than 10 years, do not exceed the calculated sustained yield harvest level.</p>	<p>C</p>	<p>Note that calculations of growth rates and related harvest rates are continuously monitored through forest inventory data that is also informed by Continuous Forest Inventory (CFI) from across the State Forest lands.</p> <p>A CFI is where 1/5 of the land base is inventoried each year. After every 5 years are completed, DoF will start to re-measure the plots. This data enables robust analysis of growth computation. Comparisons may then be calculated. Over time, this data set will enable more precise and statistically-reliable growth estimate. The IDNR’s CFI system is considered robust. The system design is based on 10 year periods to inform reliable growth estimates.</p> <p>Timber Sale Volumes Sold & Target Volumes in the Past Years:</p> <table border="1" data-bbox="883 1759 1528 1894"> <thead> <tr> <th>Fiscal Year</th> <th>Sale Volume (mmbf)</th> <th>Target Volume (mmbf)</th> </tr> </thead> <tbody> <tr> <td>2018-2019</td> <td>2.64</td> <td>10</td> </tr> <tr> <td>2017-2018</td> <td>7.33</td> <td>10</td> </tr> <tr> <td>2016-2017</td> <td>10.3</td> <td>10</td> </tr> </tbody> </table>	Fiscal Year	Sale Volume (mmbf)	Target Volume (mmbf)	2018-2019	2.64	10	2017-2018	7.33	10	2016-2017	10.3	10
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<p>5.6.c Rates and methods of timber harvest lead to achieving desired conditions, and improve or maintain health and quality across the FMU. Overstocked stands and stands that have been depleted or rendered to be below productive potential due to natural events, past management, or lack of management, are returned to desired stocking levels and composition at the earliest practicable time as justified in management objectives.</p>	C	<p>Harvest records for the sites visited show that DoF does not exceed the calculated harvest rate; the average annual harvest rate 2005-2015 was 12.4 mmbf. 2015/2016 harvest target was 14.34 mmbf. For 2016/2017, this was reduced to 10.0 mmbf, based on CFI growth estimates, which remained unchanged for 2017/2018 and 2018/2019.</p> <p>The combination of even- and uneven-aged management is used to produce mixed age classes and species. Regeneration harvests are used to generate young age classes of oak-hickory type. The goal of maintaining 10% of the FMU in late seral conditions is consistent with some site characteristics, particularly on more mesic to wet-mesic sites with few oak-hickory species and associates.</p> <p>Because DoF is harvesting approximately 50% of estimated growth, there is room to allow additional salvage operations without cutting beyond sustainable levels. Actual harvesting levels will be monitored and compared with projections through time. It is anticipated that the final cycle of fixed-plot continuous forest inventory will enable more accurate estimates of growth patterns across the resource base.</p>																																								
<p>5.6.d For NTFPs, calculation of quantitative sustained yield harvest levels is required only in cases where products are harvested in significant commercial operations or where traditional or customary use rights may be impacted by such harvests. In other situations, the forest owner or manager utilizes</p>	NA	<p>DoF does not have any significant commercially harvested NTFPs.</p>																																								

<p>available information, and new information that can be reasonably gathered, to set harvesting levels that will not result in a depletion of the non-timber growing stocks or other adverse effects to the forest ecosystem.</p>		
<p>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.</p>	C	-
<p>6.2.a If there is a likely presence of RTE species as identified in Indicator 6.1.a then either a field survey to verify the species' presence or absence is conducted prior to site-disturbing management activities, or management occurs with the assumption that potential RTE species are present.</p> <p>Surveys are conducted by biologists with the appropriate expertise in the species of interest and with appropriate qualifications to conduct the surveys. If a species is determined to be present, its location should be reported to the manager of the appropriate database.</p>	C	<p>DoF has a program to protect threatened and endangered species. Training is periodically provided on endangered species identification and management, most notably for Indiana bat habitat. There are 101 state-listed Threatened and Endangered (T and E) animal species (on Indiana State Forest lands the Indiana Bat, the Gray bat, and the Northern long-eared bat have the only endangered or threatened designation for fauna at the federal level).</p> <p>DoF participates in state and federal programs to research and protect T and E species.</p> <p>DoF actively uses the Division of Nature Preserves' Natural Heritage Database to screen for T and E species in management areas. T and E species locations are identified as part of the process of writing the resource management guide prior to management activities. If a species is detected in a database query management occurs with the assumption that potential RTE species are present, except in rare circumstances. One example of the exception was a 40 year old detection of a RTE species and nothing since. The detection was still acknowledged in the management guide developed for the tract.</p>

		<p>The 2008-2027 Environmental Assessment developed for the State Forests identifies threats to RTE species on the property.</p> <p>DoF employs a wildlife biologist who is engaged when a forester has a questions or experiences an unusual wildlife issue.</p>
<p>6.2.b When RTE species are present or assumed to be present, modifications in management are made in order to maintain, restore or enhance the extent, quality and viability of the species and their habitats. Conservation zones and/or protected areas are established for RTE species, including those S3 species that are considered rare, where they are necessary to maintain or improve the short and long-term viability of the species. Conservation measures are based on relevant science, guidelines and/or consultation with relevant, independent experts as necessary to achieve the conservation goal of the Indicator.</p>	<p>C</p>	<p>When RTE species are known to occur (by querying the Natural Heritage Database), staff will determine appropriate steps to protect the species. These steps may include a consultation with the biologist or ecologist or written species- specific management plans to accommodate individual species requirements. Staff consult NatureServe web site to search for management guidelines for T and E species.</p>
<p>6.2.c For medium and large public forests (e.g. state forests), forest management plans and operations are designed to meet species’ recovery goals, as well as landscape level biodiversity conservation goals.</p>	<p>C</p>	<p>DoF follows its interim guidelines for the conservation of federally listed bats (i.e. Indiana bat and Northern long-eared bat). These guidelines were developed by its biologist in consultation with federal agencies. DoF is close to receiving approval for its Habitat Conservation Plan (HCP) to address Indiana Bat conservation. Research is showing that management of State Forests is compatible with conservation goals for Indiana Bat.</p> <p>Other species recovery efforts are:</p> <ul style="list-style-type: none"> - Native Virginia pine at Clark SF - Chestnut – Cooperative project with American Chestnut Foundation and Purdue - Cucumber Magnolia at Jackson Washington SF - Short’s Goldenrod at Harrison-Crawford SF (1 of 2 locations in the world) - Yellowwood at Yellowwood SF <p>The 2015-2019 Strategic Plan identified the goal to: Work toward a long term balance in forest stand ages</p>

		<p>and structure with 10% of forest acreage in or developing older forest conditions (e.g. nature preserves and high conservation forests) as well as 10% in early successional, young forests (0-20 years old). Many areas within the state forests have been designated for the development of older forest conditions, such as nature preserves and research sites. A similar level of commitment to the equally important establishment of early successional habitat is not currently available on state forest properties. A state forest early-successional habitat management program will be developed to strategically identify areas where the management priority is to both regenerate oak-hickory dominated stands and provide a consistent availability of young forest habitat.</p> <p>Three Back Country areas, totaling over 6,000 acres across the State, are managed to develop late seral conditions.</p>
<p>6.2.d Within the capacity of the forest owner or manager, hunting, fishing, trapping, collecting and other activities are controlled to avoid the risk of impacts to vulnerable species and communities (See Criterion 1.5).</p>	<p>C</p>	<p>DoF field staff regularly patrol the FMU to detect unauthorized activities and work with interested user groups to avoid adverse impacts to flora, fauna, and soil resources. For example, SCS observed signage at district offices regarding ginseng harvesting. SCS also noted that district offices were working with horse rider groups on maintaining established trails.</p> <p>When planning new trails to be developed they are routed to exclude areas of concern.</p>
<p>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.</p>	<p>C</p>	<p>-</p>
<p>6.3.a. Landscape-scale indicators</p> <p>6.3.a.1 The forest owner or manager maintains, enhances, and/or restores under-represented successional stages in the FMU that would naturally occur on the types of sites found on the FMU. Where old growth of different community types that would naturally occur on the forest are under-represented</p>	<p>C</p>	<p>DoF has a goal to maintain 10% of the forest in the underrepresented early successional stage.</p> <p>Nature Preserves are being identified and protected on DoF property and across the State. DoF strategic plan is to maintain 10% of the forest in an older forest condition. Areas designated for older forest condition include:</p>

<p>in the landscape relative to natural conditions, a portion of the forest is managed to enhance and/or restore old growth characteristics.</p>		<ul style="list-style-type: none"> • Nature Preserves on State Forests • Control units (no harvest) of Hardwood Ecosystem Experiment (HEE). Three units at about 200 acres each. • ‘No harvest zone’ around active Indiana bat hibernacula entrances on state forests • Back Country Areas (BCA) located on Morgan-Monroe/Yellowwood, Jackson-Washington, and Clark state forests
<p>6.3.a.2 When a <i>rare ecological community</i> is present, modifications are made in both the management plan and its implementation in order to maintain, restore or enhance the viability of the community. Based on the vulnerability of the existing community, <i>conservation zones</i> and/or <i>protected areas</i> are established where warranted.</p>	<p>C</p>	<p>Most rare ecological communities have been protected as Nature Preserves. Once a Nature Preserve is established, management decisions are made by or in consultation with the Division of Nature Preserves.</p> <p>DoF has a policy to allow management to occur in rare ecological communities if it maintains or enhances the viability of the community.</p>
<p>6.3.a.3 When they are present, management maintains the area, structure, composition, and processes of all <i>Type 1</i> and <i>Type 2 old growth</i>. Type 1 and 2 old growth are also protected and buffered as necessary with conservation zones, unless an alternative plan is developed that provides greater overall protection of old growth values.</p> <p>Type 1 Old Growth is protected from harvesting and road construction. Type 1 old growth is also protected from other timber management activities, except as needed to maintain the ecological values associated with the stand, including old growth attributes (e.g., remove exotic species, conduct controlled burning, and thinning from below in dry forest types when and where restoration is appropriate).</p> <p>Type 2 Old Growth is protected from harvesting to the extent necessary to maintain the area, structures,</p>	<p>C</p>	<p>DoF has developed procedures to assess and identify Type 1 and Type 2 old growth on state forests. This guidance includes definitions of old growth classifications consistent with indicator 6.3.a.1, and a continuous assessment protocol used in the routine development of tract management guides. DoF has a process to identify and evaluate potential old forest. Some areas are being evaluated, but none have been identified as Type 1 or 2. DoF has other areas on the forests that are being managed for late serial conditions, but do not yet meet the definition of Type 2.</p>

<p>and functions of the stand. Timber harvest in Type 2 old growth must maintain old growth structures, functions, and components including individual trees that function as refugia (see Indicator 6.3.g).</p> <p>On public lands, old growth is protected from harvesting, as well as from other timber management activities, except if needed to maintain the values associated with the stand (e.g., remove exotic species, conduct controlled burning, and thinning from below in forest types when and where restoration is appropriate).</p> <p>On American Indian lands, timber harvest may be permitted in Type 1 and Type 2 old growth in recognition of their sovereignty and unique ownership. Timber harvest is permitted in situations where:</p> <ol style="list-style-type: none"> 1. Old growth forests comprise a significant portion of the tribal ownership. 2. A history of forest stewardship by the tribe exists. 3. High Conservation Value Forest attributes are maintained. 4. Old-growth structures are maintained. 5. Conservation zones representative of old growth stands are established. 6. Landscape level considerations are addressed. 7. Rare species are protected. 		
<p>6.3.b To the extent feasible within the size of the ownership, particularly on larger ownerships (generally tens of thousands or more acres), management maintains, enhances, or restores habitat conditions suitable for well-distributed populations of animal species that are characteristic of forest ecosystems within the landscape.</p>	<p>C</p>	<p>IDNR DIVISION OF FORESTRY STRATEGIC DIRECTION 2015-2019 includes the following goals:</p> <ul style="list-style-type: none"> - Work toward a long term balance in forest stand ages and structure with 10% of forest acreage in or developing older forest conditions (e.g. nature preserves and high conservation forests) as well as 10% in early successional, young forests (0-20 years old)

		- Conserve and manage wildlife habitats, cultural resources and high conservation value forests
<p>6.3.c Management maintains, enhances and/or restores the plant and wildlife habitat of Riparian Management Zones (RMZs) to provide:</p> <ul style="list-style-type: none"> a) habitat for aquatic species that breed in surrounding uplands; b) habitat for predominantly terrestrial species that breed in adjacent aquatic habitats; c) habitat for species that use riparian areas for feeding, cover, and travel; d) habitat for plant species associated with riparian areas; and, e) stream shading and inputs of wood and leaf litter into the adjacent aquatic ecosystem. 	C	<p>Indiana Logging and Forestry Best Management Practices: BMP Field Guide (BMP Field Guide) is used by field foresters to guide the protection of RMZs. The buffer zones established in RMZs ensure upland-lowland connectivity (a, b, and c) and maintenance of riparian vegetation and soils (d and e).</p>
<p>Stand-scale Indicators</p> <p>6.3.d Management practices maintain or enhance plant species composition, distribution and frequency of occurrence similar to those that would naturally occur on the site.</p>	C	<p>Indiana DoF has an increased emphasis on management and sustainability of oak-hickory communities due to their decline on the landscape (Indiana State Forests Environmental Assessment 2008-2027).</p>
<p>6.3.e When planting is required, a local source of known provenance is used when available and when the local source is equivalent in terms of quality, price and productivity. The use of non-local sources shall be justified, such as in situations where other management objectives (e.g. disease resistance or adapting to climate change) are best served by non-local sources. Native species suited to the site are normally selected for regeneration.</p>	C	<p>Seedlings planted in the forest are grown in a local state (DoF) tree nursery. The exception would be at times of low acorn production when regionally local stock would be sought.</p>
<p>6.3.f Management maintains, enhances, or restores habitat components and associated stand structures, in abundance and distribution that could be expected from naturally occurring processes. These components include:</p> <ul style="list-style-type: none"> a) large live trees, live trees with decay or declining health, snags, and well-distributed coarse down 	C	<p>DoF has an excellent guide “Management guidelines for compartment-level wildlife habitat features” that field foresters use to maintain or enhance site-level habitat components, such as large live trees, declining trees, and snags.</p> <p>During 2019 audit, confirmed guidelines are being followed.</p>

<p>and dead woody material. Legacy trees where present are not harvested; and</p> <p>b) vertical and horizontal complexity.</p> <p>Trees selected for retention are generally representative of the dominant species found on the site.</p>		
<p>6.3.g.1 In the Southeast, Appalachia, Ozark-Ouachita, Mississippi Alluvial Valley, and Pacific Coast Regions, when even-aged systems are employed, and during salvage harvests, live trees and other native vegetation are retained within the harvest unit as described in Appendix C for the applicable region.</p> <p>In the Lake States Northeast, Rocky Mountain and Southwest Regions, when even-aged silvicultural systems are employed, and during salvage harvests, live trees and other native vegetation are retained within the harvest unit in a proportion and configuration that is consistent with the characteristic natural disturbance regime unless retention at a lower level is necessary for the purposes of restoration or rehabilitation. See Appendix C for additional regional requirements and guidance.</p>	<p>C</p>	<p>DoF primarily employs uneven-aged management practices, such as individual tree selection and group selection. Even-aged management practices include clearcuts and shelterwood systems. A clearcut to convert non-native pine to hardwood on Yellowwood State Forest included sufficient retention within islands.</p> <p>DoF was previously practicing even-aged management on an experimental basis as documented in the HEE report.</p> <p>The IDNR DIVISION OF FORESTRY STRATEGIC DIRECTION 2015-2019 includes a goal to:</p> <p>Continue to use the uneven-aged system as the primary silvicultural system on the state forests while increasing the use of shelterwood and other even aged regeneration practices and management prescriptions.</p>
<p>6.3.g.2 Under very limited situations, the landowner or manager has the option to develop a qualified plan to allow minor departure from the opening size limits described in Indicator 6.3.g.1. A qualified plan:</p> <ol style="list-style-type: none"> 1. Is developed by qualified experts in ecological and/or related fields (wildlife biology, hydrology, landscape ecology, forestry/silviculture). 2. Is based on the totality of the best available information including peer-reviewed science regarding natural disturbance regimes for the FMU. 	<p>C</p>	<p>There are no even-aged management restrictions in the Lake States/ Central Hardwood region or otherwise imposed by state/ local law or regulation.</p>

<ol style="list-style-type: none"> 3. Is spatially and temporally explicit and includes maps of proposed openings or areas. 4. Demonstrates that the variations will result in equal or greater benefit to wildlife, water quality, and other values compared to the normal opening size limits, including for sensitive and rare species. 5. Is reviewed by independent experts in wildlife biology, hydrology, and landscape ecology, to confirm the preceding findings. 		
<p>6.3.h The forest owner or manager assesses the risk of, prioritizes, and, as warranted, develops and implements a strategy to prevent or control <i>invasive species</i>, including:</p> <ol style="list-style-type: none"> 1. a method to determine the extent of invasive species and the degree of threat to native species and ecosystems; 2. implementation of management practices that minimize the risk of invasive establishment, growth, and spread; 3. eradication or control of established invasive populations when feasible: and, 4. monitoring of control measures and management practices to assess their effectiveness in preventing or controlling invasive species. 	C	<p>During the development of the management guide for a tract the Ecological Resource Review form is filled out which includes Section #5 Non-native Invasive Species where such species are listed including management actions. These species, along with management and monitoring actions, are most often also included in the management guide.</p> <p>In addition to the regular efforts, in 2019 Yellowwood and Morgan-Monroe State Forests hired interns to conduct invasive species control projects. The two properties identified problem areas that needed to be addressed. This crew was funded by grant funds.</p> <p>The Division received a federal Joint Chiefs grant along with NRCS and Hoosier National Forest with the overarching goal of oak restoration. DoF will be using its portion for invasive species control to enhance oak regeneration.</p> <p>DoF participates in the Southern IN Cooperative Weed Management Area.</p>
<p>6.3.i In applicable situations, the forest owner or manager identifies and applies site-specific fuels management practices, based on: (1) natural fire regimes, (2) risk of wildfire, (3) potential economic losses, (4) public safety, and (5) applicable laws and regulations.</p>	C	<p>When applicable, DoF maintains site-level fire plans that are primarily conducted in oak-hickory understories to control competing species. This regime mimics natural periodic ground fires that historically occurred in this habitat type.</p> <p>2019 site visit included a stop at a prescribed burn with the two objectives of reducing accumulated fuels and reduce litter and duff depth to allow for oak and hickory seedling establishment.</p>

<p>6.9. The use of exotic species shall be carefully controlled and actively monitored to avoid adverse ecological impacts.</p>	<p>C</p>	<p>-</p>
<p>6.9.a The use of <i>exotic species</i> is contingent on the availability of credible scientific data indicating that any such species is non-invasive and its application does not pose a risk to native biodiversity.</p>	<p>C</p>	<p>DOF has use of seed mixes detailed in its procedures manual and application in the BMP manual. DOF generally uses winter wheat or oats depending on the season (coldness) for closeouts. However, with the increased incidence of Japanese stiltgrass (exotic) on some State Forests, DOF has started using fescues (exotic), especially the shorter varieties as they are more competitive with the stiltgrass. There has been some research to show that Kentucky 31 fescue can crowd out stiltgrass. Winter wheat and oats application works well the first growing season, however as the seed does not cover the ground completely they just tend to make a very good cover for stiltgrass to seed in. The Division of Nature Preserve ecologists, would rather have the tradeoff for fescue persistence than the spread of more stiltgrass.</p>
<p>6.9.b If exotic species are used, their provenance and the location of their use are documented, and their ecological effects are actively monitored.</p>	<p>C</p>	<p>State Forest Procedure Manual Section W: Pest and Invasive Species Management with Appendix of recommended seeding mixtures (State Forest Procedure Manual Section W.doc).</p>
<p>6.9.c The forest owner or manager shall take timely action to curtail or significantly reduce any adverse impacts resulting from their use of exotic species</p>	<p>C</p>	<p>As the species used to re-seed landings and other exposed areas, they tend to remain at the planted location. Like many state agencies, DOF discontinued the use of some seed mixes once they were proven to be invasive.</p>
<p>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, and e) cost, productivity, and efficiency of forest management.</p>	<p>C</p>	<p>-</p>

<p>8.2.a.1 For all commercially harvested products, an inventory system is maintained. The inventory system includes at a minimum: a) species, b) volumes, c) stocking, d) regeneration, and e) stand and forest composition and structure; and f) timber quality.</p>	<p>C</p>	<p>DoF meets the breadth of this Indicator through its periodic system-wide inventory and CFI system, which together cover items a)-f).</p> <p>The process to evaluate regeneration in regeneration opening (group selection and clear-cuts) is described in the new form “State Forest Timber Sale Post-Harvest Evaluation”. The form includes Y/N answers for regeneration adequacy, presence of invasive species, and actions needed.</p>
<p>8.2.a.2 Significant, unanticipated removal or loss or increased vulnerability of forest resources is monitored and recorded. Recorded information shall include date and location of occurrence, description of disturbance, extent and severity of loss, and may be both quantitative and qualitative.</p>	<p>C</p>	<p>During active operations, monitoring generally includes at least weekly site inspections with the results documented on the Timber Sale Visitation and Evaluations. Each sale is also officially “closed out” with an inspection by a central office forester. Documentation was reviewed for a selection of sites visited during the audit.</p>
<p>8.2.b The forest owner or manager maintains records of harvested timber and NTFPs (volume and product and/or grade). Records must adequately ensure that the requirements under Criterion 5.6 are met.</p>	<p>C</p>	<p>Permits are not allowed for ginseng harvesting on State Forests. The Division of Nature Preserves is responsible for regulating the harvest and trade of ginseng in the State. Sales records are kept for each timber sale that allow for volume analysis at the district and whole-state forest system level. Current harvest data shows that harvest does not exceed growth.</p>
<p>8.2.c The forest owner or manager periodically obtains data needed to monitor presence on the FMU of:</p> <ol style="list-style-type: none"> 1) Rare, threatened and endangered species and/or their habitats; 2) Common and rare plant communities and/or habitat; 3) Location, presence and abundance of invasive species; 4) Condition of protected areas, set-asides and buffer zones; <p>High Conservation Value Forests (see Criterion 9.4).</p>	<p>C</p>	<ul style="list-style-type: none"> • Indiana DoF properties section wildlife biologist completes annual monitoring <u>snag and cavity trees</u>, and spring resident bird populations. Division of Fish & Wildlife, fisheries section conducts annual creel census. The State of Indiana has a breeding bird atlas. Periodic surveys are completed for bats in caves. Periodic surveys are completed for the wood rat. Ruffed Grouse drumming surveys are completed. Nature Preserves completes annual or biennial surveys on preserves. DoF completes monitoring of BMP’s annually. • T and E species that were previously undetected in other surveys are reported to the Natural Heritage Inventory Database.

		<ul style="list-style-type: none"> Monitoring of HCV occurs as part of site inspections and, if near an active harvest, as part of harvest monitoring. Should HCVs undergo active management, such as prescribed fire, DoF monitors the response (e.g., regeneration). The Division of Nature Preserves monitors each HCV either annually or biennially. DoF cooperates with the <u>Indiana Invasive Species Council</u> on monitoring and prevention. When management guides are updated, the invasive species section is also updated. Informal monitoring also occurs and since most field staff are licensed applicators, they may treat trouble spots quickly. As part of HCP development, extensive bat monitoring has occurred across Indiana State Forests. Results of this monitoring have been accepted in peer reviewed scientific journals.
<p>8.2.d.1 Monitoring is conducted to ensure that site specific plans and operations are properly implemented, environmental impacts of site disturbing operations are minimized, and that harvest prescriptions and guidelines are effective.</p>	<p>C</p>	<p>Evidence of monitoring includes the following reports and records:</p> <ul style="list-style-type: none"> Timber sale inspection reports Annual BMP monitoring report results Contract monitoring (TSI forms) <p>More fundamental to meeting this indicator, DoF inspects active timber sales and conducts post-harvest reviews to ensure that objectives and BMPs are being met. BMP audit reports from 2006-2018 are located here, http://www.in.gov/dnr/forestry/7532.htm.</p>
<p>8.2.d.2 A monitoring program is in place to assess the condition and environmental impacts of the forest-road system.</p>	<p>C</p>	<p>DoF monitors road construction and maintenance by tracking how many miles are completed each year per property. Informal inspections occur during and after timber harvests.</p>
<p>8.2.d.3 The landowner or manager monitors relevant socio-economic issues (see Indicator 4.4.a), including the social impacts of harvesting, participation in local economic opportunities (see Indicator 4.1.g), the creation and/or maintenance of quality job</p>	<p>C</p>	<p>Summary and Monitoring of Social Impacts of State Forest Management Activities</p>

<p>opportunities (see Indicator 4.1.b), and local purchasing opportunities (see Indicator 4.1.e).</p>		<p>State Forest Environmental Assessment: (http://www.in.gov/dnr/forestry/files/fo-StateForests_EA.pdf)</p>
<p>8.2.d.4 Stakeholder responses to management activities are monitored and recorded as necessary.</p>	<p>C</p>	<p>Strategic Direction and Environmental Assessment (EA) has stakeholder comments and responses recorded. Stakeholder comments and responses to Management Guides are summarized on DoF website.</p> <p>All stakeholder comments in regard to the 2015-19 Forestry Strategic Direction will be summarized and responses prepared as part of the planning process.</p>
<p>8.2.d.5 Where sites of cultural significance exist, the opportunity to jointly monitor sites of cultural significance is offered to tribal representatives (see Principle 3).</p>	<p>C</p>	<p>No tribes have expressed interest in monitoring sites of cultural significance.</p>
<p>8.2.e The forest owner or manager monitors the costs and revenues of management in order to assess productivity and efficiency.</p>	<p>C</p>	<p>Costs of arranging each timber sale is included in each site plan for later analysis. The budget office maintains information on all expenditures and income. DoF’s upper management analyses budgets for individual projects and the department as a whole to assess productivity and efficiency.</p>
<p>9.4 Annual monitoring shall be conducted to assess the effectiveness of the measures employed to maintain or enhance the applicable conservation attributes.</p>	<p>C</p>	<p>-</p>
<p>9.4.a The forest owner or manager monitors, or participates in a program to annually monitor, the status of the specific HCV attributes, including the effectiveness of the measures employed for their maintenance or enhancement. The monitoring program is designed and implemented consistent with the requirements of Principle 8.</p>	<p>C</p>	<p>Division of Nature Preserves undertakes monitoring of HCVF. DoF’s updated HCVF documents address Indicator 9.4.a. Monitoring is the responsibility of Nature Preserves. See State HCVF description in Appendix 7 of this Audit Report for detail.</p> <p>The Division of Nature Preserves monitors each HCV either annually or biennially. The monitoring includes threats to the preserve including invasive species, primary natural communities, and assessment of the health of the community. The ecologist will then share the information with the property owner (DoF in the case of the HCVs) and discuss any problems and potential solutions.</p>

<p>9.4.b When monitoring results indicate increasing risk to a specific HCV attribute, the forest owner/manager re-evaluates the measures taken to maintain or enhance that attribute, and adjusts the management measures in an effort to reverse the trend.</p>	<p>C</p>	<p>DoF has been working on an Indiana Bat HCP for some time. In the meantime, DoF applies its interim guidelines for federally listed species (including Indiana Bat). DoF wildlife specialist indicates that other bat species may be at risk due to White-nose syndrome and that it awaits further information from cooperating organizations and federal approval of its submitted HCP and EA.</p> <p>The Division of Nature Preserves monitors each HCV either annually or biennially and meets with DoF regarding the results.</p> <p>Adaptive management is currently being implemented to enhance the success of the Yellowwood tree (<i>Cladastis lutea</i>).</p>
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Appendix 6 – Chain of Custody Indicators for FMEs Conformance Table

Chain of Custody indicators were not evaluated during this evaluation.

REQUIREMENT	C/NC	COMMENT/CAR
1. Quality Management		
<p>1.1 The FME shall appoint a management representative as having overall responsibility and authority for the organization’s compliance with all applicable requirements of this standard.</p>	<p>C</p>	<p>The certification coordinator has overall responsibility and authority for FME compliance with all applicable requirements of this standard. Individual roles and responsibilities are noted in the COC operating procedures.</p>
<p>1.2 A system shall be implemented to track and trace all products that are sold with an FSC Claim. For group and multiple FMU certificates, this system shall also be documented.</p>	<p>C</p>	<p>FME describes its system for tracking and tracing all products that are sold with an FSC claim in written COC operating procedures, which were examined by the auditor.</p>
<p>1.3 The FME shall maintain complete records of all FSC-related COC activities, including sales and training, for at least 5 years.</p>	<p>C</p>	<p>As described in the COC operating procedures and verified through reviewing document samples, FME maintains complete records of all FSC-related COC activities for a period not less than 5 years.</p>

<p>1.4 The FME shall define its forest gate(s) (check all that apply): <i>The forest gate is defined as the point where the change in ownership of the certified-forest product occurs.</i></p>		<p><input checked="" type="checkbox"/> Stump <i>Stumpage sale or sales of standing timber; transfer of ownership of certified-forest product occurs <u>upon</u> harvest.</i></p> <p><input type="checkbox"/> On-site concentration yard <i>Transfer of ownership of certified-product occurs at concentration yard under control of FME.</i></p> <p><input checked="" type="checkbox"/> Off-site Mill/ Log Yard/ Port <i>Transfer of ownership occurs when certified-product is unloaded or paid for at purchaser's facility or a facility under the purchaser's control.</i></p> <p><input type="checkbox"/> Auction house/ Brokerage <i>Transfer of ownership occurs at a government-run or private auction house/ brokerage.</i></p> <p><input type="checkbox"/> Lump-sum sale/ Per Unit/ Pre-Paid Agreement <i>A timber sale in which the buyer and seller agree on a total price for marked standing trees or for trees within a defined area before the wood is removed — the timber is usually paid for <u>before</u> harvesting begins. Similar to a per-unit sale.</i></p> <p><input type="checkbox"/> Log landing <i>Transfer of ownership of certified-product occurs at landing/yarding areas.</i></p> <p><input type="checkbox"/> Other (Please describe):</p>
<p>1.5 The FME shall have sufficient control over its forest gate(s) to ensure that there is no risk of mixing of FSC-certified forest products covered by the scope of the FM/COC certificate with forest products from outside of the scope prior to the transfer of ownership.</p>	<p>C</p>	<p>Since the entire holdings of DoF are certified and no processing occurs prior to the transfer of ownership, all logs coming off their property are certified. There is virtually no risk of mixing prior to the transfer of ownership.</p>
<p>1.6 The FME and its contractors shall not process FSC-certified material prior to transfer of ownership at the forest gate without conforming to applicable chain of custody requirements. <i>NOTE: This does not apply to log cutting or de-barking units, small portable sawmills or on-site processing of chips/biomass originating from the FMU under evaluation.</i></p>	<p>C</p>	<p>No processing takes place prior to transfer of ownership.</p>

<p>1.7 The FME has supported transaction verification conducted by SCS and Accreditation Services International (ASI) by providing samples of FSC transaction data as requested by SCS.</p> <p><i>NOTE: Pricing information is not within the scope of transaction verification data disclosure.</i></p>		<p>N/A, no verification requested</p>
<p>2. Product Control, Sales and Delivery</p>		
<p>2.1. Products from the certified forest area shall be identifiable as certified at the forest gate(s).</p>	<p>C</p>	<p>All log loads are traced to FMUs; this ensures that such material is documented as being 100% FSC certified.</p>
<p>2.2 Information about all products sold shall be compiled and documented for all FMUs in the scope of certification, including:</p> <ol style="list-style-type: none"> 1) Common and scientific species name; 2) Product name or description; 3) Volume (or quantity) of product; 4) Information to trace the material to the source of origin harvest block; 5) Harvest date; 6) If basic processing activities take place in the forest, the date and volume/quantity produced; and 7) Whether or not the material was sold with an FSC Claim. 	<p>C</p>	<p>Items 1) through 7) are documented in a database used to track volumes, species, and other harvest-related information. For example, Annual Harvest Summary Reports are generated from a database maintained by the Accounting Log Clerk, which include monthly volume (MBF) of each FSC-certified product by species sold to each customer.</p>
<p>2.3. The FME shall ensure that all sales documents issued for outputs sold with FSC claims include the following information:</p> <ol style="list-style-type: none"> a) name and contact details of the FME; b) information to identify the customer, such as their name and address; c) date when the document was issued; d) product name or description, including common and scientific species name(s); e) quantity of products sold; f) the FME’s FSC Forest Management (FM/COC) or FSC Controlled Wood (CW/FM) code; g) clear indication of the FSC claim for each product item or the total products as follows: <ol style="list-style-type: none"> i. the claim “FSC 100%” for products from FSC 100% product groups; or ii. the claim “FSC Controlled Wood” for products from FSC Controlled Wood product groups. 	<p>C</p>	<p>All trip tickets are issued with the required information. Trip tickets correspond with contracts with loggers, providing an auditable stump-to-gate trail.</p>

<p>2.4 If the sales documentation issued by the FME is not included with the shipment of the product and this information is relevant for the customer to identify the product as being FSC certified, the related delivery documentation has included the same information as required in indicator 2.3 and a reference linking it to the sales documentation.</p> <p>Note: 2.3 and 2.4 above are based on FSC-STD-40-004 V3-0 Clauses 5.1 and 5.3</p>	<p>NA</p>	<p>The trip ticket arrives with the certified logs to the mill, so sales documentation issued by the FME is included with the shipment of the product.</p>
<p>2.5 If the FME is unable to include the FSC claim and/or certificate code in sales or delivery documents, the required information has been provided to the customer through supplementary documentation (e.g. supplementary letters). In this case, the FME has obtained permission from SCS to implement supplementary documentation in accordance with the following criteria:</p> <ol style="list-style-type: none"> a. there shall exist clear information linking the supplementary documentation to the sales or delivery documents; b. there is no risk that the customer will misinterpret which products are or are not FSC certified in the supplementary documentation; and c. where the sales documents contain multiple products with different FSC claims, each product shall be cross-referenced to the associated FSC claim provided in the supplementary documentation. 	<p>NA</p>	<p>The trip ticket arrives with the certified logs to the mill, so sales documentation issued by the FME is included with the shipment of the product.</p>
<p>2.6 The FME may identify products exclusively made of input materials from small or community producers by adding the following claim to sales documents: “From small or community forest producers.” This claim can be passed on along the supply chain by certificate holders.</p> <p><i>A forest management unit (FMU) or group of FMUs that meet(s) the small and low-intensity managed forest eligibility criteria (FSC-STD-1-003a) and addenda. A community FMU must comply with the tenure and management criteria defined in FSC-STD-40-004.</i></p>	<p>N/A</p>	<p>Not a small or community producer.</p>

3. Labeling and Promotion		N/A, FME does not use/ intend to use trademarks and no trademark uses were detected during the audit.
		N/A, CW/FM certificates are not allowed to use FSC trademarks and no trademark uses were detected during the audit (Note: it is a Major nonconformity to 3.1 if CW/FM certificates are found to be using trademarks).
3.1 The FME shall adhere to relevant trademark use requirements of FSC-STD-50-001 described in the <i>SCS Trademark Annex for FMEs</i> .	C	Refer to evidence cited in applicable trademark checklist(s) cited below.
4. Outsourcing		N/A, FME does not outsource any COC-related activities, as confirmed via interviews, sales documentation, and field observation.
	X	N/A, FME outsources low-risk activities such as transport and harvesting, as confirmed via interviews, sales documentation, and field observation.
5. Training and/or Communication Strategies		
5.1 All relevant FME staff and outsourcers shall be trained in the FME’s COC control system commensurate with the scale and intensity of operations and shall demonstrate competence in implementing the FME’s COC control system.	C	Interviews and review of records demonstrates that DoF staff and contracted loggers have been trained are competent in implementing the COC control system/
5.2 The FME shall maintain up-to-date records of its COC training and/or communications program, such as a list of trained employees, completed COC trainings or communications, the intended frequency of COC training (e.g., training plan), and related program materials (e.g., presentations, memos, contracts, employee handbooks, etc.).	C	The DoF maintains up-to-date records of its COC training for company personnel, as verified through document review.

Appendix 7 – Trademark Standard Conformance Table

PART I: General Requirements for Use of the FSC Trademarks

(FSC “checkmark-and-tree” logo, initials “FSC,” and/or name “Forest Stewardship Council”)

<p>Description of how the FME currently uses, or intends to use, FSC trademarks and/or labels, including but not limited to printed materials, Internet applications, on-product labeling, and other public-facing media:</p>	<p>The DoF currently uses the FSC trademark on the website and delivery load tickets.</p>
<p>1.2 Trademark License Agreement and valid certificate In order to use these FSC trademarks, the FME shall have a valid FSC trademark license agreement and hold a valid certificate. <i>Note: Consultations for certification Organizations applying for forest management certification or conducting activities related to the implementation of controlled wood requirements, may refer to FSC by name and initials for stakeholder consultation.</i></p>	<p><input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs</p>
<p>1.6 Product Group List The products intended to be labeled or promoted as FSC certified have been included in the FME’s certified product group list.</p>	<p><input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs</p>
<p>Section 1.2 and 1.6 Evidence: TLA signed on 11/11/19. All products have been included in the PGL (logs).</p>	
<p>1.3 Trademark License Code The FSC trademark license code assigned by FSC to the FME accompanies any use of the FSC trademarks. It is sufficient to show the code once per product or promotional material.</p>	<p><input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs</p>
<p>1.4 Trademark Symbol The FSC logo and the ‘Forests For All Forever’ marks shall include the trademark symbol ® in the upper right corner when used on products or materials to be distributed in a country where the relevant trademark is registered. For use in a country where the trademark is not yet registered, use of the symbol ™ is recommended. The Trademark Registration List document is available in the FSC trade-mark portal and marketing toolkit. The symbol ® shall also be added to ‘FSC’ and ‘Forest Steward-ship Council’ at the first or most prominent use in any text; one use per material is sufficient (e.g. website or brochure). <i>NOTE: The use of the trademark symbol is not required for FSC claims in sales and delivery documents, or for the disclaimer statement specified in requirement 6.2.</i></p>	<p><input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs <input type="checkbox"/> N/A, one or more noted exceptions apply</p>

<p>2.1 Restrictions on using FSC trademarks The FME has not used the FSC trademarks in the following ways:</p> <ul style="list-style-type: none"> a) in a way that could cause confusion, misinterpretation, or loss of credibility to the FSC certification scheme; b) in a way that implies that FSC endorses, participates in, or is responsible for activities performed by the FME, outside the scope of certification; c) to promote product quality aspects not covered by FSC certification; d) in product brand or company names, such as ‘FSC Golden Timber’ or website domain names; e) in connection with FSC controlled wood or controlled material – they shall not be used for labelling products or in any promotion of sales or sourcing of controlled material or FSC controlled wood; the initials FSC shall only be used to pass on FSC controlled wood claims in sales and de-livery documentation, in conformity with FSC chain of custody requirements. 	<table border="1"> <tr><td><input checked="" type="checkbox"/></td><td>C</td></tr> <tr><td><input type="checkbox"/></td><td>NC</td></tr> <tr><td><input type="checkbox"/></td><td>C w/Obs</td></tr> </table>	<input checked="" type="checkbox"/>	C	<input type="checkbox"/>	NC	<input type="checkbox"/>	C w/Obs		
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<p>2.2 Translations The name ‘Forest Stewardship Council’ has not been replaced with a translation. A translation may be included in brackets after the name, for example: Forest Stewardship Council® (translation)</p>	<table border="1"> <tr><td><input type="checkbox"/></td><td>C</td></tr> <tr><td><input type="checkbox"/></td><td>NC</td></tr> <tr><td><input type="checkbox"/></td><td>C w/Obs</td></tr> <tr><td><input checked="" type="checkbox"/></td><td>N/A, no translations</td></tr> </table>	<input type="checkbox"/>	C	<input type="checkbox"/>	NC	<input type="checkbox"/>	C w/Obs	<input checked="" type="checkbox"/>	N/A, no translations
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<p>Sections 1.3, 1.4, 2.1, and 2.2 Evidence: The correct symbol is located on the use the FSC and the trademark has been used correctly.</p>									
<p>Sections 8 and 9 Graphic Rules The FME has only used FSC logos that conform to the standard requirements governing:</p> <ul style="list-style-type: none"> • color and font (8.1-8.3); • format and size (8.4-8.9); • label placement (8.10); and • ‘Forests For All Forever’ marks (9.1-9.7). 	<table border="1"> <tr><td><input checked="" type="checkbox"/></td><td>C</td></tr> <tr><td><input type="checkbox"/></td><td>NC</td></tr> <tr><td><input type="checkbox"/></td><td>C w/Obs</td></tr> <tr><td><input type="checkbox"/></td><td>N/A, not using FSC logo</td></tr> </table>	<input checked="" type="checkbox"/>	C	<input type="checkbox"/>	NC	<input type="checkbox"/>	C w/Obs	<input type="checkbox"/>	N/A, not using FSC logo
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<input type="checkbox"/>	C w/Obs								
<input type="checkbox"/>	N/A, not using FSC logo								
<p>1.5 Trademark Use Approval The FME has submitted all intended uses of the FSC trademarks to SCS for approval. OR The FME has an approved trademark use management system in place. (If the FME has a trademark use management system, complete Annex A.)</p> <p>4.6 FSC trademarks may be used to identify FSC-certified materials in the chain of custody before the products are finished. It is not necessary to submit such segregation marks for approval. All segregation marks shall be removed before the products go to the final point of sale or are delivered to uncertified organizations.</p>	<table border="1"> <tr><td><input checked="" type="checkbox"/></td><td>C</td></tr> <tr><td><input type="checkbox"/></td><td>NC</td></tr> <tr><td><input type="checkbox"/></td><td>C w/Obs</td></tr> </table>	<input checked="" type="checkbox"/>	C	<input type="checkbox"/>	NC	<input type="checkbox"/>	C w/Obs		
<input checked="" type="checkbox"/>	C								
<input type="checkbox"/>	NC								
<input type="checkbox"/>	C w/Obs								
<p>Sections 1.5 Evidence: Correct logo and approval sought.</p>									

PART II: On-Product Use of FSC Trademarks

N/A, not using on-product trademarks (skip Part II)

PART III: Promotional Use of FSC Trademarks

N/A, not using promotional trademarks (skip Part III)

<p>6.1 Catalogues, Brochures, and Websites When the FSC trademarks have been used in catalogues, brochures, or websites, the following requirements apply:</p> <ul style="list-style-type: none"> • It is sufficient to present the promotional elements only once in catalogues, brochures, websites, etc. • If both FSC-certified and uncertified products are listed, then a text such as “Look for our FSC®-certified products” shall be used next to the promotional elements and the FSC-certified products shall be clearly identified. • If some or all the products are available as FSC certified on request only, this is clearly stated. 	<p><input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs <input type="checkbox"/> N/A, not using trademarks in catalogues/ brochures/websites</p>
<p>6.2 Sales and Delivery Documents When the FSC trademarks are included on sales or delivery document templates that may be used for both FSC and non-FSC products, the following or a similar statement is included: “Only the products that are identified as such on this document are FSC certified”.</p> <p><i>NOTE: Use of the FSC claim and certificate code on invoices does not qualify as FSC trademark use.</i></p>	<p><input type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs <input checked="" type="checkbox"/> N/A, not using trademarks on templates for FSC & non-FSC products</p>
<p>6.3 Promotional Items All promotional items (e.g., mugs, pens, T-shirts, caps, banners, vehicles, etc.) have displayed, at minimum, the FSC logo and FSC trademark license code.</p>	<p><input type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs <input checked="" type="checkbox"/> N/A, not labeling promotional items</p>
<p>6.5 Trade Fairs When the FSC trademarks are used for promotion at trade fairs, the FME has:</p> <ol style="list-style-type: none"> a) clearly marked which products are FSC certified, or b) add an add a visible disclaimer stating “Ask for our FSC®-certified products” or similar if no FSC-certified products are displayed. <p><i>NOTE: Use of text to describe the FSC certification of the FME does not require a disclaimer.</i></p>	<p><input type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs <input checked="" type="checkbox"/> N/A, not using trademarks at trade fairs</p>

<p>Section 6.6 and 6.7 Investment/Financial Claims When investment companies or others are making financial claims based on the FME’s FSC certified operations, the FME has taken full responsibility for the use of the FSC trademarks. Any such claims have been accompanied by the disclaimer, “FSC is not responsible for and does not endorse any financial claims on returns on investments.”</p>	<p><input type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs <input checked="" type="checkbox"/> N/A, not making financial claims about FSC status</p>
<p>7.1 and 7.2 Other Forestry Certification Scheme Logos The FSC trademarks have not been used together with the marks of other forest certification schemes in a way which implies equivalence, or in a way which is disadvantageous to the FSC trademarks in terms of size or placement.</p>	<p><input type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs <input checked="" type="checkbox"/> N/A, not using other scheme logos</p>
<p>7.3 Business Cards The FSC trademarks have not used on business cards to promote the FME’s certification. The FSC logo or ‘Forests For All Forever’ marks are not used on business cards for promotion. A text reference to the FME’s FSC certification, with license code, is allowed, for example “We are FSC® certified (FSC® C#####)” or “We sell FSC®-certified products (FSC® C#####)”.</p>	<p><input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs <input type="checkbox"/> N/A, approval granted prior to July 1, 2011</p>
<p>7.4 Promotion with CB Logo FSC certified products have not been promoted using only the SCS Kingfisher and/or SCS Global Services logo.</p>	<p><input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs</p>
<p>Sections 6.1 - 6.3, 6.5-6.7, 7.1-7. 4 Evidence: Per interview and assessing website.</p>	
<p>Number of trademark uses reviewed and rationale that sample choice is sufficient to confirm requirements are met: 1 of 1 that fall within the standard.</p>	

Appendix 8 – Group Management Program

This is not a group certificate, so this appendix is not applicable.