Indiana Division of Forestry

402 W. Washington Street, Rm 296 W
Indianapolis, IN 46204

6L841

SFI 2015-2019 Standards and Rules®, Section 2 - Forest Management

Surveillance Audit

Report Date: November 5, 2016
NSF International Forestry Program
Audit Report

A. Program Participant’s Name
Indiana Division of Forestry

NSF Customer Number (FRS)
6L841

B. Scope of Certification
The Sustainable Forestry Initiative program including land management operations on approximately 158,378 acres of Indiana State Forests and related sustainable forestry activities. SFI Objectives 1-15 are included. Fiber sold under this certificate counts as 100% SFI and PEFC certified forest content. The SFI Standard certification number is NSF-SFIS-6L841.

C. NSF Audit Team
Norman Boatwright - SFI Lead, Beth Jacqmain – FSC Lead Ruthanne Shulte – Team Auditor

D. Audit Dates
November 1-3, 2016

E. Reference Documentation
SFI 2015-2019 Standards and Rules®, Section 2 – Forest Management
Company Documentation
Indiana State Forest Strategic Plan 2015-2019
1. 10 Year Plan – Morgan Monroe
2. 10 Year Plan – Owen-Putnam State Forest
3. 10 Year Plan – Green-Sullivan State Forest

F. Audit Results: Based on the results of this assessment, the auditor concluded:
☒ Acceptable with no nonconformities
☐ The following nonconformities were identified and will require corrective action.
  Major: 0  Minor: 0
  In addition, 2 opportunities for improvement (OFIs) were identified
  Corrective actions and supporting documentation should be submitted to NSF through the NSF Online Customer Portal. For assistance, please contact your NSF Certification Project Manager.

G. Changes to Operations or to the Standard
Note: Were there any significant changes in operations, procedures, specifications, facility records, etc., from the previous visit?
☒ Yes (Please explain:
☐ No

H. Other Issues Reviewed
☒ Yes ☐ No ☐ N/A Public report from previous audit(s) is posted on the [SFI/SBP/etc.] website
☒ Yes ☐ No ☐ N/A Relevant industry specific logos or labels (SFI, PEFC, etc.) are utilized correctly.
☒ Yes ☐ No ☒ N/A Relevant accreditation logos (ANSI or ANAB) are utilized correctly and meet rules specified in AESOP 4876 sections 12-15 and AESOP 14680 section GP-59.
The implementation of the corrective action plan for the following nonconformance was reviewed: 2015 Transitional Minor Non-conformance: 8.1.1. Program Participants will provide a written policy acknowledging a commitment to recognize and respect the rights of Indigenous Peoples. The Indiana Division of Forestry does not include a policy statement acknowledging a commitment to recognize and respect the rights of Indigenous Peoples. Implementation included revising the State Forest Procedure Manual Section M Cultural Resources.

I. Future Audit Schedule
Following the initial registration audit, continued certification requires annual assessments commonly referred to as “Surveillance Audits”. Additionally, at the end of the certification period, maintaining certification requires the completion of a recertification or “Reassessment Audit”. The next audit is Recertification Audit scheduled to be conducted on the week of October 9, 2017.

J. Appendices
Appendix 1: Audit Notification Letter and Audit Agenda
Appendix 2: SFI Forest Management Public Summary Report
Appendix 3: Audit Standard Checklist - SFI Forest Management Standard
Appendix 4: Field Site Visits
Appendix 5: Meeting Attendance
Appendix 1
Audit Notification Letter and Audit Agenda
Brenda Huter, Forest Stewardship Coordinator
Indiana Division of Forestry
402 W. Washington Street, Rm 296 W
Indianapolis, IN 46204

Re: Confirmation of SFI 2016 Surveillance Annual Surveillance Audit, Indiana DNR

Dear Ms. Huter:

Thank you for sending me the final site selection list today. As agreed, the 2016 joint FSC and SFI audits of Indiana DNR are scheduled for November 1 - 3, 2016. Please confirm that these dates are still appropriate for the audit of your program’s conformance to the SFI 2015-2019 Standards and Rules®, Section 2 - Forest Management Standards and the FSC P&C.

As we discussed, I will be leading the SFI portion of your joint (with FSC) audit as described in the attached itinerary. This letter is intended to meet the SFI audit planning requirements and will therefore focus on the SFI part of the work. A separate FSC audit plan will be provided by SCS Global.

The audit team will consist of:
- Norman Boatwright, NSF-International – SFI Lead Auditor
- Beth Jacqmain, – FSC Lead Auditor
- Ruthanne Shulte – Team Auditor

The 2016 SFI Surveillance Audit is a partial review of your SFI Program to confirm that it is in conformance with selected parts of the above referenced Standard.

During the SFI audit the team will also:
1. Review the results of the management review of your SFI Program;
2. Review logo and/or label use;
3. Multi-site requirements;

**SFI Audit Scope**
The Sustainable Forestry Initiative program including land management operations on approximately 156,815 acres of Indiana State Forests and related sustainable forestry activities.

The audit will focus on the parts of the SFI FM Standard that were not audited in the 2015 Surveillance/Upgrade audit.

**Multi-Site Sampling Plan**
Indiana DNR qualifies for multi-site sampling as provided within the Requirements for the SFI 2015-2019 Program: Standards, Rules for Label Use, Procedures, and Guidance, Section 9 Auditing Requirements.
The Indianapolis (central) office has general control and authority over the separate state forests. As such the program is eligible for a sampling approach involving field reviews of two of the 10 administrative units. We have selected 2 state forests due to their proximity and the small size of 2. These forests were selected based on the time elapsed since previous audits, while most of the field sites to be reviewed within each forest will be selected randomly. Central office issues will be reviewed primarily on the drive down from Indianapolis.

INDNR 2016 State Forests to Audit

<table>
<thead>
<tr>
<th></th>
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<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Owen Putnam</td>
<td>x</td>
<td>x</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Greene Sullivan</td>
<td>x</td>
<td>x</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Pike/Ferdinand</td>
<td>x</td>
<td></td>
<td>x</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Morgan Monroe</td>
<td></td>
<td>x</td>
<td>x</td>
<td>x</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Jackson Washington</td>
<td>x</td>
<td></td>
<td>x</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Selmiier</td>
<td>x</td>
<td></td>
<td>x</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Martin</td>
<td></td>
<td>x</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Harrison Crawford</td>
<td>x</td>
<td></td>
<td></td>
<td></td>
<td>x</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Clark</td>
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<td>x</td>
<td></td>
<td></td>
<td></td>
<td>x</td>
<td></td>
</tr>
<tr>
<td>Yellowwood</td>
<td>x</td>
<td></td>
<td>x</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Salamonie/ Francis Slocum (Northern forests)</td>
<td></td>
<td></td>
<td></td>
<td></td>
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</table>

Audit Schedules and Travel Logistics

The overall schedule shown below was agreed to by all parties. More detailed daily schedules are to be developed by your team as they finalize the site selection process, based on preliminary selections provided separately. Final schedules should be emailed to all. The schedules will be reviewed and adjusted as needed during the opening meeting or in the field to accommodate any special circumstances.

Role of SFI Inc. Office of Label Use and Licensing

As a reminder, your organization is responsible for contacting SFI, Inc. and complying with all requirements before using or changing any SFI label or logo. Your contact is:

Rachel Dierolf, Manager of Statistics and Labeling
Sustainable Forestry Initiative, Inc.
900 17th Street NW, Suite 700, Washington, DC 20006
613-274-0124 rachel.dierolf@sfiprogram.org

Information Request

A formal information request has been sent from the SCS Global office; while this request is generally directed to FSC issues much of that information will be of value to during the SFI evaluation. In addition I
request that you assemble the evidence for meeting the SFI requirements. The audit will cover the parts of the Standard not audited in 2015 as well as Objectives 14 and 15.

While printed material provided to the audit team at the start of the audit can be quite useful, the team also requests electronic copies of documents where possible. Receiving some of these documents, notably management plans for units to be visited, several days prior to the audits would be helpful.

We look forward to visiting you and evaluating continual improvement in your SFI Program. If you have any questions regarding this planned audit, please contact us.

Best Regards,

Norman Boatwright

Norman Boatwright, Lead Auditor, NSF
843nboatwright12@gmail.com
203-229-1851

Enclosures:
- Agenda Overview
- Activities for 2016 audit Selections

<table>
<thead>
<tr>
<th>FOREST</th>
<th>Marking Forester/Administering Forester</th>
<th>Project Name</th>
<th>Comp./Tract</th>
<th>Acres</th>
<th>Status</th>
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<tr>
<td>Morgan-Monroe</td>
<td>Vadas/Spalding</td>
<td>timber harvest</td>
<td>1104_19</td>
<td>116</td>
<td>completed</td>
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<td>timber harvest</td>
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<td>86</td>
<td>completed</td>
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<td>Morgan-Monroe</td>
<td>Jones and Ramey</td>
<td>timber harvest</td>
<td>6371301</td>
<td>148</td>
<td>Now active, started October 2016</td>
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<td>Morgan-Monroe</td>
<td>Jones and Ramey</td>
<td>timber harvest</td>
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<td>140</td>
<td>Not active</td>
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<td>Morgan-Monroe</td>
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<td>timber harvest</td>
<td>6370701</td>
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<td>Morgan-Monroe</td>
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<td>invasives</td>
<td>809</td>
<td>7</td>
<td>ongoing</td>
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<td>Morgan-Monroe</td>
<td>Spalding</td>
<td>Grigsby tree planting prep</td>
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<td>Morgan-Monroe</td>
<td>Spalding/Potts/Jones/Ramey</td>
<td>Grigsby tree planting</td>
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<td>Project Name</td>
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<td>Status</td>
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<tr>
<td>----------------------------------</td>
<td>-------------</td>
<td>-------</td>
<td>------------</td>
<td></td>
<td></td>
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<tr>
<td>Owen-Putnam Duncan</td>
<td>C6T2</td>
<td>75</td>
<td>complete</td>
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<tr>
<td>Timber Stand Improvement</td>
<td>C7T4</td>
<td>107 &amp; 5</td>
<td>in progress</td>
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<td></td>
</tr>
<tr>
<td>Sales marked not yet sold</td>
<td>C8T5</td>
<td>61</td>
<td>in progress</td>
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<td></td>
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<tr>
<td>Marked timber sale and proposed HCVF - Wetland Seep</td>
<td>C6T7</td>
<td></td>
<td>proposed</td>
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<td>complete</td>
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<td>Past Timber Harvest</td>
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<td>Past Timber Harvest</td>
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<td>Invasive Species Treatment</td>
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<td>Greene-Sullivan</td>
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<td>done</td>
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<tr>
<td>Greene-Sullivan</td>
<td>C03T01</td>
<td>56</td>
<td>closed</td>
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</table>

**Forest Project Name**

**Comp./Tract**

**Acres**

**Status**

**Greene-Sullivan**

**Timber Sale**

**C05T09**

**93**

**Done**

**Greene-Sullivan**

**Timber Sale**

**C03T01**

**56**

**Closed**

**Greene-Sullivan**

**Invasive Treatment**

2016
## Agenda Overview

### 2016 Indiana State Forests FM Audit Proposed Agenda Overview – October 31, 2016

<table>
<thead>
<tr>
<th>Date</th>
<th>Activity</th>
<th>Notes</th>
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<tbody>
<tr>
<td><strong>Monday Oct. 31</strong></td>
<td></td>
<td>Note: The FSC audit is a recert so the FSC auditors arrived Sunday and are auditing the Yellowwood State Forest today.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Norman arrives IND 4:16 pm EST and is picked up by Brenda.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Lodging: McCormicks Creek State Park, Spencer, IN (Reservations made by DNR)</td>
</tr>
<tr>
<td><strong>Tuesday November 1st:</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8 am</td>
<td>Depart for Morgan Monroe</td>
<td>DNR provides transport</td>
</tr>
<tr>
<td>8:30 – 9:30 am</td>
<td>Opening Meeting</td>
<td>Document review</td>
</tr>
<tr>
<td>9 am to 5 pm</td>
<td>Field site visits</td>
<td></td>
</tr>
<tr>
<td><strong>Wednesday November 2nd</strong></td>
<td></td>
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<tr>
<td>8 am</td>
<td>Depart for Owen-Putnam</td>
<td>DNR provides transport</td>
</tr>
<tr>
<td>8:30 – 9:30 am</td>
<td>Opening Meeting</td>
<td>Document review</td>
</tr>
<tr>
<td>9:30 – 5:00 pm</td>
<td>Field site visits</td>
<td>Lodging: McCormicks Creek State Park, Spencer, IN (Reservations made by DNR)</td>
</tr>
<tr>
<td><strong>Thursday November 3rd</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8 am</td>
<td>Depart for Greene-Sullivan</td>
<td>DNR provides transport</td>
</tr>
<tr>
<td>8:30 – 9:30 am</td>
<td>Opening Meeting</td>
<td>Document review</td>
</tr>
</tbody>
</table>
Only those documents viewed through the AESOP system are officially controlled. All other copies, whether viewed through another computer program or a printed version, are not controlled and therefore NSF assumes no responsibility for accuracy of the document.

<table>
<thead>
<tr>
<th>Time</th>
<th>Event</th>
<th>Location</th>
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</thead>
<tbody>
<tr>
<td>12 pm</td>
<td>Lunch on-site</td>
<td></td>
</tr>
<tr>
<td>12:30 pm – 1:30 pm</td>
<td>Final Issues/Deliberations</td>
<td>Audit Team privately</td>
</tr>
<tr>
<td>1:30 pm</td>
<td>Closing Meeting</td>
<td></td>
</tr>
<tr>
<td>2:30 pm</td>
<td>End of Audit</td>
<td>Norman is transported to the IND airport</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Hilton Garden Inn by DNR</td>
</tr>
</tbody>
</table>
Appendix 2

SFI Forest Management Public Summary Report
Indiana Division of Forestry

SFI Forest Management Public Summary Report

The SFI Program of the Indiana Division of Forestry has achieved continuing conformance with the 2015-2019 SFI® Forest Management Standard according to the NSF SFIS Surveillance Audit Process.

NSF initially certified Indiana Division of Forestry to the SFIS in 2006 and recertified it in 2011 and in 2014, and upgraded it to the SFI 2015-2019 Forest Management Standard in 2015. This is the second annual surveillance audit. The audit was designed to focus on changes in operations, the management review system, and efforts at continuous improvement. In addition, a subset of SFI requirements were selected for detailed review. The program is being audited under the standard audit approach.

The Indiana Division of Forestry is responsible for management of the state forest system.

Forest Management on Indiana State Forests


“The State Forest system began with the establishment of Clark State Forest in 1903. Since then, the State Forest system has evolved into 13 State Forests containing more than 150,000 acres. State Forests have been managed for the many forest benefits that these lands are capable of providing. When the state acquired what is now State Forest property, almost every acre was comprised of eroding farm fields, pasture, or cutover timberland considered to have very little value to anyone. Most of the existing woodland had been high-graded, with the residual trees often exhibiting defects from forest fires and livestock grazing.

Many early management activities were aimed at stopping erosion and restoring the productive potential of the land. Tree planting to control erosion and reforest worn out fields was a primary management activity for many years. Early timber harvesting on state forests provided raw materials for projects of the Civilian Conservation Corps and utility poles for rural electrification projects. World War II saw the sustained use of timber sales from State Forests to provide needed wood materials for the war effort.

Techniques used to manage the forests evolved as the forests grew. Less emphasis was needed on tree planting and more emphasis was placed on managing new stands of trees. Management activities, such as timber stand improvement and selective harvesting, were used to upgrade the quality of the stands and increase tree growth. This emphasis on stand improvement techniques continues today, with the goal of improving not only timber production but also all of the various forest resource benefits. Increasing emphasis is being placed on creating early successional habitat, common in the early history of State Forests, but uncommon today.

Because the stands of trees on State Forests all began at about the same time, and because of the conservative nature of their management, most of the State Forests have matured at about the same rate, with little diversity among age classes and habitat types.

Based on current forest inventory data the State Forest system contains 1.379 billion board feet of standing sawtimber volume, and is growing 40.4 million board feet of volume per year. Because of the need to increase forest habitat diversity (increase young forest), reduce dependence on general fund allocations, and the desire to demonstrate a working forest concept, the annual harvest target for Indiana State Forests is set at removing 14 million board feet—less than half the annual growth. This rate ensures the sustainability of the forest resource while providing a steady, stable source of certified sustainable wood for the forest products industry and workers here in Indiana.

State Forests are being managed by professional foresters and resource specialists to demonstrate a working forest concept. A working forest is actively managed under a stewardship plan that guides its activities to accomplish the desired goals. The working forest can provide a variety of goods and services such as watershed protection, recreation, wildlife habitat, scenic beauty and wood products.”
SFIS Surveillance Audit Process

The Surveillance audit was performed by NSF on November 1-2, 2016 by an audit team headed by Norman Boatwright, Lead Auditor and Beth Jacqmain, FSC Lead Auditor. Audit team members fulfill the qualification criteria for conducting SFIS Certification Audits contained in SFI 2015-2019 Standards and Rules, Section 9 - Procedures and Auditor Qualifications and Accreditation.

The objective of the audit was to assess the continuing conformance of the firm’s SFI Program to the SFI 2015-2019 Standards and Rules®, Section 2 – Forest Management and a sample of the other existing requirements. The scope of the SFIS Audit included the entire state forest system, but this review included field sites at three state forests: Morgan-Monroe, Greene-Sullivan and Owen-Putnam. Forest practices that were the focus of field inspections included those that have been under active management over the past three years, in order to include planned, ongoing, and completed operations. Practices conducted earlier were also reviewed as appropriate (regeneration and BMP issues, for example).

The SFI Standard was used without modifying any requirements.

The following indicators are not applicable:

- Indicator 2.1.4: Indiana Division of Forestry doesn’t plant exotic trees.
- Indicator 2.1.6: Planting is not done to change forest composition but to maintain it.
- Indicator 15.2.2: Indiana does not have a logger certification program.

The review was governed by a detailed audit protocol designed to enable the audit team to determine conformance with the applicable SFI requirements. The process included the assembly and review of audit evidence consisting of documents, interviews, and on-site inspections of ongoing or completed forest practices. Documents describing these activities were provided to the auditor in advance, and a sample of the available audit evidence was designated by the auditor for review.

The possible findings of the audit include Full Conformance, Major Non-conformance, Minor Non-conformance and Opportunities for Improvement.

Overview of Audit Findings

Indiana Division of Forestry’s SFI Program was found to be in full conformance with the SFI 2015-2019 Forest Management Standard with no non-conformances issued. There were 2 opportunities for improvement identified.

2016 Opportunities for Improvement

CI 3.1.1. Program to implement federal, state or provincial water quality best management practices during all phases of management activities.

*There is an opportunity to improve the documentation of conducting timber harvest BMP inspections on timber sales.*

CI 9.1.2 System to achieve compliance with applicable federal, provincial, state, or local laws and regulations.

*There is an opportunity to improve the process of making safe abandoned wells located near walkways and horse trails.*

2015 Transitional Minor Non-conformance (closed)

8.1.1. Program Participants will provide a written policy acknowledging a commitment to recognize and respect the rights of Indigenous Peoples. Transitional Minor Non-Conformance: The Indiana Division of Forestry does not include a policy statement acknowledging a commitment to recognize and respect the rights of Indigenous Peoples.

Findings: *The Procedure Manual has been updated to include a policy statement that acknowledges the Division’s commitment to respect and recognize the rights of Indigenous Peoples. The updated section of the manual has been sent to all property staff for the Division.*
Disposition of the 2015 Opportunities for Improvement (closed)

SFI Indicator 3.1.1 Program to implement federal, state or provincial water quality best management practices during all phases of management activities.

There is an Opportunity for Improvement in the maintenance of recreational trails which are placed on forest access roads or fire trails. Indiana BMP Guide, Closing Forest Roads, page 15: “Insure that all erosion control and water management measures (e.g. water bars, drainage dips, culverts and ditches) are working. See spacing recommendations in Table 1, page 12.”

Finding: 1) The Division of Forestry has incorporated a review of recreation trails into its 5 year strategic plan which was adopted in April 2016.

2) The Division of Forestry has assumed management of DNR segments of the 58 mile Knobstone Hiking Trail in January 2016 and has hired a 2 person trail maintenance crew to improve trails management and conditions. This trail was formerly managed by the DNR Division of Outdoor recreation and is primarily on State Forest lands (Clark State Forest, Jackson-Washington State Forest).

3) A joint trail improvement project was initiated at Clark State Forest in September 2016 in partnership with equestrian NGOs to improve and stabilize Sections of the Dry Fork trail system. This is a multi-year project to improve trail stability and stream crossings.

SFI Indicator 11.1.3 requires “Staff education and training sufficient to their roles and responsibilities.”

There is an Opportunity for Improvement in the challenges associated with frequent turnover of field forestry staff (resource managers).

Finding: 1) The Division of Forestry offers opportunities to attend continued education programs through the Society of American Foresters, Purdue University and others. Internal training has been by periodic new employee DoF orientation, Division of Forestry Annual Meeting and job shadowing.

2) The State pay plan for Forester 2 and Forester 3 positions were reviewed by the Indiana State Personnel Department in 2016. The finding supported and resulting in an increase of the pay range for these positions. The pay range was increased approximately 15%. Pay of existing employees were increased to the new base pay level or 3%, whichever was greater. These pay increases went into effect in September 2016.

*****

The next Surveillance Audit is scheduled for October 2016.

*****

General Description of Evidence of Conformity

NSF’s audit team used a variety of evidence to determine conformance. A general description of this evidence is provided below, organized by SFI Objective.

Objective 1 Forest Management Planning

To ensure forest management plans include long-term sustainable harvest levels and measures to avoid forest conversion.

Summary of Evidence: The Indiana Statewide Forest Assessment 2010 and the Indiana State Forest Strategic Plan 2015-2019, state forest plans, tract plans, and the associated inventory data and growth models were the key evidence of conformance.

Objective 2 Forest Health and Productivity

To ensure long-term forest productivity, carbon storage and conservation of forest resources through prompt reforestation, afforestation, minimized chemical use, soil conservation, and protecting forests from damaging agents.

Summary of Evidence: Field observations and associated records were used to confirm practices. INDNR has programs for reforestation, for protection against gypsy moth, emerald ash borer, other pests, and wildfire, and for careful management of activities which could potentially impact soil and long-term productivity.
Objective 3  Protection and Maintenance of Water Resources

To protect the water quality of rivers, streams, lakes, wetlands and other water bodies through meeting or exceeding best management practices.

Summary of Evidence: Field observations of a range of sites were the key evidence. Auditors visited the portions of field sites that were close to water resources.

Objective 4  Conservation of Biological Diversity

To manage the quality and distribution of wildlife habitats and contribute to the conservation of biological diversity by developing and implementing stand and landscape-level measures that promote a diversity of types of habitat and successional stages, and the conservation of forest plants and animals, including aquatic species, as well as threatened and endangered species, Forests with Exceptional Conservation Value, old-growth forests and ecologically important sites.

Summary of Evidence: Field observations, written plans and policies for the conservation of the Indiana bat, employment of an experienced wildlife biologist, and use of heritage databases were the evidence used to assess the requirements involved biodiversity conservation.

Objective 5  Management of Visual Quality and Recreational Benefits

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

Summary of Evidence: Indiana Division of Forestry provides excellent recreational opportunities for the public including walking and horse trails, camping and access to lakes and ponds. Records and field sites were reviewed to assess methods and results in visual management.

Objective 6  Protection of Special Sites

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

Summary of Evidence: Field observations of completed operations, records of special sites and visits to special sites were all factors in the strong finding for protection of special sites.

Objective 7  Efficient Use of Fiber Resources

To minimize waste and ensure the efficient use of fiber resources.

Summary of Evidence: Field observations of completed operations, contract clauses, and discussions with supervising field foresters provided the key evidence.

Objective 8  Recognize and Respect Indigenous Peoples’ Rights

To recognize and respect Indigenous Peoples’ rights and traditional knowledge.

Summary of Evidence: Policies and systems for receiving and responding to requests were used to determine conformance.

Objective 9  Legal and Regulatory Compliance

To comply with applicable federal, provincial, state and local laws and regulations.

Summary of Evidence: Field reviews of ongoing and completed operations and systems used to ensure conformance were the most critical evidence.

Objective 10  Forestry Research, Science and Technology

To invest in forestry research, science and technology, upon which sustainable forest management decisions are based and broaden the awareness of climate change impacts on forests, wildlife and biological diversity.

Summary of Evidence: supports a variety of forestry research initiatives, including the Hardwood Ecosystem Experiment (a collaborative research project that currently includes 13 partnering organizations and agencies including researchers from six regional universities) on the Morgan-Monroe and Yellowwood State Forests.

Objective 11  Training and Education
To improve the implementation of sustainable forestry practices through appropriate training and education programs.

**Summary of Evidence:** Training records of selected personnel, records associated with harvest sites audited, and stakeholder interviews were the key evidence for this objective.

**Objective 12 Community Involvement and Landowner Outreach**

To broaden the practice of sustainable forestry through public outreach, education, and involvement, and to support the efforts of SFI Implementation Committees.

**Summary of Evidence:** Indiana Division of Forestry has annual state forest open houses that provide outreach, supplemented by the web site which has an on-line comment form. The Harrison-Crawford State Forest has a new, very high-quality Timber Harvest Interpretive Trail.

**Objective 13 Public Land Management Responsibilities**

To participate and implement sustainable forest management on public lands.

**Summary of Evidence:** Indiana Division of Forestry seeks input into management decisions including the comment period for the latest strategic plan. Each forest has annual state forest open houses that provide outreach.

**Objective 14 Communications and Public Reporting**

To increase transparency and to annually report progress on conformance with the SFI Forest Management Standard.

**Summary of Evidence:** Reports filed with SFI Inc. and the SFI Inc. website provided the key evidence.

**Objective 15 Management Review and Continual Improvement**

To promote continual improvement in the practice of sustainable forestry by conducting a management review and monitoring performance.

**Summary of Evidence:** Records of program reviews, agendas and notes from management review meetings, and interviews with personnel from all involved levels in the organization were assessed.

*****

**Relevance of Forestry Certification**

Third-party certification provides assurance that forests are being managed under the principles of sustainable forestry, which are described in the Sustainable Forestry Initiative Standard as:

1. **Sustainable Forestry**

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

2. **Forest Productivity and Health**

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

3. **Protection of Water Resources**

To protect water bodies and riparian areas, and to conform with forestry best management practices to protect water quality.

4. **Protection of Biological Diversity**

To manage forests in ways that protect and promote biological diversity, including animal and plant species, wildlife habitats, and ecological or natural community types.
5. **Aesthetics and Recreation**
To manage the visual impacts of forest operations, and to provide recreational opportunities for the public.

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

7. **Responsible Fiber Sourcing Practices in North America**
To use and promote among other forest landowners sustainable forestry practices that are both scientifically credible and economically, environmentally and socially responsible.

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

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

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

11. **Community Involvement and Social Responsibility**
To broaden the practice of sustainable forestry on all lands through community involvement, socially responsible practices, and through recognition and respect of Indigenous Peoples’ rights and traditional forest-related knowledge.

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

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

14. **Avoidance of Controversial Sources including Illegal Logging in Offshore Fiber Sourcing**
*(Applies only to the SFI 2015-2019 Fiber Sourcing Standard)*
To avoid wood fiber from illegally logged forests when procuring fiber outside of North America, and to avoid sourcing fiber from countries without effective social laws.

Appendix 3
Audit Standard Checklist - SFI Forest Management Standard
**NSF International Forestry Program**

**SFI 2015-2019, Section 2: Forest Management Standard Audit Checklist**

FRS # 6L841 Indiana D

Date of audit: November 1-3, 2016

Auditor: Norman Boatwright

Audited in 2016. The remaining parts of the Standard were audited in 2015.

### 1.2 Additional Requirements

*SFI Program Participants with fiber sourcing programs* (acquisition of roundwood and field-manufactured or primary-mill residual chips, pulp and veneer to support a forest products facility), must also conform to the *SFI 2015-2019 Fiber Sourcing Standard*.

Use of the *SFI* on-product labels and claims shall follow Section 5 - Rules for Use of *SFI* On-Product Labels and Off-Product Marks as well as ISO 14020:2000.

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**Audit Notes:** INDOF does not have fiber sourcing responsibilities.

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**Objective 1  Forest Management Planning**

To ensure forest management plans include *long-term* sustainable harvest levels and measures to avoid forest conversion.

### Performance Measure 1.1

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

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**Audit Notes:**

1.1.1. Forest management planning at a level appropriate to the size and scale of the operation, including:

a. a *long-term* resources analysis;

b. a periodic or ongoing *forest inventory*;

c. a land classification system;

d. biodiversity at *landscape* scales;

e. soils inventory and maps, where available;

f. access to *growth-and-yield modeling* capabilities;

g. up-to-date maps or a geographic information system (GIS);

h. recommended sustainable harvest levels for areas available for harvest; and

i. a review of non-timber issues (e.g., recreation, tourism, pilot projects and economic incentive programs to promote water *protection*, carbon storage, *bioenergy feedstock* production, or *biological diversity conservation*, or to address climate-induced ecosystem change).

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**Audit Notes:**

1.1.2. Documented current harvest trends fall within long-term sustainable levels identified in the forest management plan.

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**Audit Notes:**

1.1.3. A *forest inventory* system and a method to calculate growth and yield.
Audit Notes:

1.1.4. Periodic updates of forest inventory and recalculation of planned harvests to account for changes in growth due to productivity increases or decreases, including but not limited to: improved data, long-term drought, fertilization, climate change, changes in forest land ownership and tenure, or forest health.

Audit Notes:

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

Audit Notes:

**Performance Measure 1.2**

*Program Participants* shall not convert one forest cover type to another forest cover type, unless in justified circumstances.

1.2.1. Program Participants shall not convert one forest cover type to another forest cover type, unless the conversion:
   a. Is in compliance with relevant national and regional policy and legislation related to land use and forest management; and
   b. Would not convert native forest types that are rare and ecologically significant at the landscape level or put any native forest types at risk of becoming rare; and
   c. Does not create significant long-term adverse impacts on Forests with Exceptional Conservation Value, old-growth forests, forests critical to threatened and endangered species, and special sites.

Audit Notes:

1.2.2. Where a Program Participant intends to convert another forest cover type, an assessment considers:
   a. Productivity and stand quality conditions and impacts which may include social and economic values;
   b. Specific ecosystem issues related to the site such as invasive species, insect or disease issues, riparian protection needs and others as appropriate to site including regeneration challenges; and
   c. Ecological impacts of the conversion including a review at the site and landscape scale as well as consideration for any appropriate mitigation measures.

Audit Notes:

**Performance Measure 1.3**

*Program Participants* shall not have within the scope of their certification to this SFI Standard, forest lands that have been converted to non-forest land use. Indicator:

1.3.1. Forest lands converted to other land uses shall not be certified to this SFI Standard. This does not apply to forest lands used for forest and wildlife management such as wildlife food plots or infrastructure such as forest roads, log processing areas, trails etc.

Audit Notes:
**Objective 2  Forest Health and Productivity**

To ensure long-term forest productivity, carbon storage and conservation of forest resources through prompt reforestation, afforestation, minimized chemical use, soil conservation, and protecting forests from damaging agents.

**Performance Measure 2.1**

*Program Participants* shall promptly reforest after final harvest. Indicators:

2.1.1. Documented reforestation plans, including designation of all harvest areas for either natural, planted or direct seeded regeneration and prompt reforestation, unless delayed for site-specific environmental or forest health considerations or legal requirements, through planting within two years or two planting seasons, or by planned natural regeneration methods within five years.

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Audit Notes:

2.1.2. Clear criteria to judge adequate regeneration and appropriate actions to correct understocked areas and achieve acceptable species composition and stocking rates for planting, direct seeding and natural regeneration.

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Audit Notes:

2.1.3. Plantings of exotic tree species should minimize risk to native ecosystems.

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Audit Notes:

2.1.4. Protection of desirable or planned advanced natural regeneration during harvest.

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Audit Notes:

2.1.5. Afforestation programs that consider potential ecological impacts of the selection and planting of tree species in non-forested landscapes.

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Audit Notes:

**Performance Measure 2.2**

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

2.2.1. Minimized chemical use required to achieve management objectives.

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Audit Notes:

2.2.2. Use of least-toxic and narrowest-spectrum pesticides necessary to achieve management objectives.

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Audit Notes:

2.2.3. Use of pesticides registered for the intended use and applied in accordance with label requirements.

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Audit Notes:

2.2.4. The World Health Organization (WHO) type 1A and 1B pesticides shall be prohibited, except where no other viable alternative is available.
Only those documents viewed through the AESOP system are officially controlled. All other copies, whether viewed through another computer program or a printed version, are not controlled and therefore NSF assumes no responsibility for accuracy of the document.

2.2.5. Use of pesticides banned under the Stockholm Convention on Persistent Organic Pollutants (2001) shall be prohibited.

2.2.6. Use of integrated pest management where feasible.

2.2.7. Supervision of forest chemical applications by state- or provincial-trained or certified applicators.

2.2.8. Use of management practices appropriate to the situation, for example:
   a. notification of adjoining landowners or nearby residents concerning applications and chemicals used;
   b. appropriate multilingual signs or oral warnings;
   c. control of public road access during and immediately after applications;
   d. designation of streamside and other needed buffer strips;
   e. use of positive shutoff and minimal-drift spray valves;
   f. aerial application of forest chemicals parallel to buffer zones to minimize drift;
   g. monitoring of water quality or safeguards to ensure proper equipment use and protection of streams, lakes and other water bodies;
   h. appropriate transportation and storage of chemicals;
   i. filing of required state or provincial reports; and/or
   j. use of methods to ensure protection of threatened and endangered species.

Performance Measure 2.3

Program Participants shall implement forest management practices to protect and maintain forest and soil productivity. Indicators:

2.3.1. Process to identify soils vulnerable to compaction, and use of appropriate methods, including the use of soil maps where available, to avoid excessive soil disturbance.

2.3.2. Use of erosion control measures to minimize the loss of soil and site productivity.

2.3.3. Post-harvest conditions conducive to maintaining site productivity (e.g., limited rutting, retained down woody debris, minimized skid trails).
2.3.4. Retention of vigorous trees during partial harvesting, consistent with scientific silvicultural standards for the area.

|   | N/A | Conformance | Exceeds | O.F.I. | Major NC | Minor NC |

Audit Notes:

2.3.5. Criteria that address harvesting and site preparation to protect soil productivity.

|   | N/A | Conformance | Exceeds | O.F.I. | Major NC | Minor NC |

Audit Notes:

2.3.6. Road construction and skidding layout to minimize impacts to soil productivity.

|   | N/A | Conformance | Exceeds | O.F.I. | Major NC | Minor NC |

Audit Notes:

Performance Measure 2.4

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

2.4.1. Program to protect forests from damaging agents.

|   | N/A | Conformance | Exceeds | O.F.I. | Major NC | Minor NC |

Audit Notes:

2.4.2. Management to promote healthy and productive forest conditions to minimize susceptibility to damaging agents.

|   | N/A | Conformance | Exceeds | O.F.I. | Major NC | Minor NC |

Audit Notes:

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

|   | N/A | Conformance | Exceeds | O.F.I. | Major NC | Minor NC |

Audit Notes:

Performance Measure 2.5

Program Participants that deploy improved planting stock, including varietal seedlings, shall use best scientific methods. Indicator:

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

|   | N/A | Conformance | Exceeds | O.F.I. | Major NC | Minor NC |

Audit Notes: The INDOF has 2 tree nurseries and 12 seed orchards. It also supports a forest geneticist that works with the Perdue Hardwood Coop Research Center. Currently, efforts focus on butternut, walnut, chestnut and white oak.
Objective 3  Protection and Maintenance of Water Resources

To protect the water quality of rivers, streams, lakes, wetlands and other water bodies through meeting or exceeding best management practices.

Performance Measure 3.1

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

Indicators:

3.1.1. Program to implement federal, state or provincial water quality best management practices during all phases of management activities.

☐ N/A  ☑ Conformance  ☐ Exceeds  ☐ O.F.I.  ☐ Major NC  ☐ Minor NC

Audit Notes: The use of professional foresters to plan and oversee harvests, timber sale contracts with provisions to follow BMPs, pre-harvest meetings between foresters and logging contractors, sale supervision and weekly checklists signed by loggers, post-harvest inspections of all sites by a specialist, and the BMP audit system by a second-party comprise the program.

Site visits did not identify any issues.

3.1.2. Contract provisions that specify conformance to best management practices.

☐ N/A  ☑ Conformance  ☐ Exceeds  ☐ O.F.I.  ☐ Major NC  ☐ Minor NC

Audit Notes: The Letter of Agreement for Sale of Timber on State Forest Land contains a BMP clause—Item #9. Review of timber sale agreements for harvest sites visited confirms that each has the BMP requirement.

3.1.3. Monitoring of overall best management practices implementation.

☐ N/A  ☑ Conformance  ☐ Exceeds  ☑ O.F.I.  ☐ Major NC  ☐ Minor NC

Audit Notes: The BMP monitoring program is the most robust known to the audit team. Post-harvest BMP reviews are conducted by Indiana Division of Forestry Resource Foresters and by a comprehensive second-party process.

Indiana Division of Forestry State Forest Properties 1997 through 2015 Forestry BMP Monitoring Results describe a long-term program of comprehensive second-party BMP audits that show high levels of implementation and success protecting resources. The overall rates for forestry BMPs on state forests since 1996 are 85.17% application and 89.59% effectiveness in protecting the soil and water quality of the 400 sites monitored.

First party monitoring includes at least weekly site inspections with the results documented on the Timber Sale Visitations and Evaluations. Each sale is also officially “closed out” in regards to BMP’s with an inspection by a central office forester. Documentation was reviewed for a selection of sites visited during the audit.

OFI: Review of timber sale documentation for harvest area C2 T3 on Greene-Sullivan indicate timber sale inspections were not documented. Interview confirmed they were done.

Performance Measure 3.2

Program Participants shall implement water, wetland and riparian protection measures based on soil type, terrain, vegetation, ecological function, harvesting system, state best management practices (BMPs), provincial guidelines and other applicable factors.

Indicators:

3.2.1. Program addressing management and protection of rivers, streams, lakes, wetlands, other water bodies and riparian areas during all phases of management, including the layout and construction of roads and skid trails to maintain water reach, flow and quality.

☐ N/A  ☑ Conformance  ☐ Exceeds  ☐ O.F.I.  ☐ Major NC  ☐ Minor NC

Audit Notes: The use of BMPs, the design of all harvest projects by trained foresters, and the review of all projects by supervisory personnel, as well as the regulatory programs of the Division of Water and Department of Environmental Management comprise such a program. Further, there is an internal audit program for BMPs following all timber harvests (see 3.1.4 above). Harvest blocks (generally tracts), ridge-top roads, and skid road systems are designed to
avoid stream crossings in most harvests.

3.2.2. Mapping of rivers, streams, lakes, wetlands and other water bodies as specified in state or provincial best management practices and, where appropriate, identification on the ground.

- N/A  □ Conformance  □ Exceeds  □ O.F.I.  □ Major NC  □ Minor NC

Audit Notes: Harvest site maps and flagging in the field showed locations of streams and stream buffers.

3.2.3. Document and implement plans to manage and protect rivers, streams, lakes, wetlands, other water bodies and riparian areas.

- N/A  □ Conformance  □ Exceeds  □ O.F.I.  □ Major NC  □ Minor NC

Audit Notes: Field observations confirmed protection of these features, including use of buffers, care taken to design proper stream crossings and to stabilize them following completion of work. Roads are well-designed and most are well-maintained; exceptions are dual-use roads, some of which are heavily used for recreation and are not as well-maintained.

3.2.4. Plans that address wet-weather events in order to maintain water quality (e.g., forest inventory systems, wet-weather tracts, definitions of acceptable operating conditions).

- N/A  □ Conformance  □ Exceeds  □ O.F.I.  □ Major NC  □ Minor NC

Audit Notes: Confirmed that the “BMP Field Guide – Road and Trail Maintenance” section provides general guidelines. Managers have the authority and responsibility to halt logging activities. Interviews with Resource Specialists and review of completed Timber Sale Visitation and Evaluations indicate they halt harvesting when wet weather becomes an issue.
Objective 4  Conservation of Biological Diversity

To manage the quality and distribution of wildlife habitats and contribute to the conservation of biological diversity by developing and implementing stand- and landscape-level measures that promote a diversity of types of habitat and successional stages, and the conservation of forest plants and animals, including aquatic species, as well as threatened and endangered species, Forests with Exceptional Conservation Value, old-growth forests and ecologically important sites.

Performance Measure 4.1

Program Participants shall conserve biological diversity. Indicators:

4.1.1. Program to incorporate the conservation of native biological diversity, including species, wildlife habitats and ecological community types at stand and landscape levels.

☐ N/A  ☐ Conformance  ☐ Exceeds  ☐ O.F.I.  ☐ Major NC  ☐ Minor NC

Audit Notes:

4.1.2. Development of criteria and implementation of practices, as guided by regionally based best scientific information, to retain stand-level wildlife habitat elements such as snags, stumps, mast trees, down woody debris, den trees and nest trees.

☐ N/A  ☐ Conformance  ☐ Exceeds  ☐ O.F.I.  ☐ Major NC  ☐ Minor NC

Audit Notes:

4.1.3. Document diversity of forest cover types and age or size classes at the individual ownership or forest tenure level, and where credible data are available, at the landscape scale. Working individually or collaboratively to support diversity of native forest cover types and age or size classes that enhance biological diversity at the landscape scale.

☐ N/A  ☐ Conformance  ☐ Exceeds  ☐ O.F.I.  ☐ Major NC  ☐ Minor NC

Audit Notes:

4.1.4. Program Participants shall participate in or incorporate the results of state, provincial, or regional conservation planning and priority-setting efforts to conserve biological diversity and consider these efforts in forest management planning. Examples of credible priority-setting efforts include state wildlife action plans, state forest action plans, relevant habitat conservation plans or provincial wildlife recovery plans.

☐ N/A  ☒ Conformance  ☐ Exceeds  ☐ O.F.I.  ☐ Major NC  ☐ Minor NC

Audit Notes: Indiana Division of Forestry employs a full-time wildlife biologist, Scott Haulton. His time is focused on special situations and on the HCP effort for Indiana bat, but he also provides support for regular work activities. The Indiana Division of Forestry has dedicated considerable resources to developing state-of-the-art bat conservation practices. Program for protection of and maintenance of Indiana bats and their habitat. There are 14 nature preserves on state land.

The SWAP, approved in 2015, identifies conservation priorities to break the state into eco-regions in order to identify species groups on which to focus management.

4.1.5. Program to address conservation of known sites with viable occurrences of significant species of concern.

☐ N/A  ☐ Conformance  ☐ Exceeds  ☐ O.F.I.  ☐ Major NC  ☐ Minor NC

Audit Notes:

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

☐ N/A  ☐ Conformance  ☐ Exceeds  ☐ O.F.I.  ☐ Major NC  ☐ Minor NC

Audit Notes:

4.1.7. Participation in programs and demonstration of activities as appropriate to limit the introduction, spread and impact of invasive exotic plants and animals that directly threaten or are likely to threaten native plant and animal communities.

☐ N/A  ☐ Conformance  ☐ Exceeds  ☐ O.F.I.  ☐ Major NC  ☐ Minor NC
Audit Notes:

4.1.8. Consider the role of natural disturbances, including the use of prescribed or natural fire where appropriate, and forest health threats in relation to biological diversity when developing forest management plans.

☐ N/A ☐ Conformance ☐ Exceeds ☐ O.F.I. ☐ Major NC ☐ Minor NC

Audit Notes:

**Performance Measure 4.2**

Program Participants shall protect threatened and endangered species, Forests with Exceptional Conservation Values (FECV) and old-growth forests. Indicators:

4.2.1. Program to protect threatened and endangered species.

☐ N/A ☐ Conformance ☐ Exceeds ☐ O.F.I. ☐ Major NC ☐ Minor NC

Audit Notes:

4.2.2. Program to locate and protect known sites flora and fauna associated with viable occurrences of critically imperiled and imperiled species and communities also known as Forests with Exceptional Conservation Value. Plans for protection may be developed independently or collaboratively, and may include Program Participant management, cooperation with other stakeholders, or use of easements, conservation land sales, exchanges, or other conservation strategies.

☐ N/A ☐ Conformance ☐ Exceeds ☐ O.F.I. ☐ Major NC ☐ Minor NC

Audit Notes:

4.2.3. Support of and participation in plans or programs for the conservation of old-growth forests in the region of ownership or forest tenure.

☐ N/A ☐ Conformance ☐ Exceeds ☐ O.F.I. ☐ Major NC ☐ Minor NC

Audit Notes:

**Performance Measure 4.3**

Program Participants shall manage ecologically important sites in a manner that takes into account their unique qualities. Indicators:

4.3.1. Use of information such as existing natural heritage data or expert advice in identifying or selecting ecologically important sites for protection.

☐ N/A ☐ Conformance ☐ Exceeds ☐ O.F.I. ☐ Major NC ☐ Minor NC

Audit Notes:

4.3.2. Appropriate mapping, cataloging and management of identified ecologically important sites.

☐ N/A ☐ Conformance ☐ Exceeds ☐ O.F.I. ☐ Major NC ☐ Minor NC

Audit Notes:

**Performance Measure 4.4**

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

4.4.1. Collection of information on Forests with Exceptional Conservation Value and other biodiversity-related data through forest inventory processes, mapping or participation in external programs, such as NatureServe, state or provincial heritage programs, or other credible systems. Such participation may include providing non-proprietary scientific information, time and assistance by staff, or in-kind or direct financial support.

☐ N/A ☐ Conformance ☐ Exceeds ☐ O.F.I. ☐ Major NC ☐ Minor NC

Audit Notes:
4.4.2. A methodology to incorporate research results and field applications of biodiversity and ecosystem research into forest management decisions.

N/A ☐ Conformance ☐ Exceeds ☐ O.F.I. ☐ Major NC ☐ Minor NC

Audit Notes:
Objective 5  Management of Visual Quality and Recreational Benefits

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

Performance Measure 5.1

Program Participants shall manage the impact of harvesting on visual quality. Indicators:

5.1.1. Program to address visual quality management.

- N/A
- Conformance
- Exceeds
- O.F.I.
- Major NC
- Minor NC

Audit Notes:

5.1.2. Incorporation of aesthetic considerations in harvesting, road, landing design and management, and other management activities where visual impacts are a concern.

- N/A
- Conformance
- Exceeds
- O.F.I.
- Major NC
- Minor NC

Audit Notes:

Performance Measure 5.2

Program Participants shall manage the size, shape and placement of clearcut harvests. Indicators:

5.2.1. Average size of clearcut harvest areas does not exceed 120 acres (50 hectares), except when necessary to meet regulatory requirements, achieve ecological objectives or to respond to forest health emergencies or other natural catastrophes.

- N/A
- Conformance
- Exceeds
- O.F.I.
- Major NC
- Minor NC

Audit Notes:

5.2.2. Documentation through internal records of clearcut size and the process for calculating average size.

- N/A
- Conformance
- Exceeds
- O.F.I.
- Major NC
- Minor NC

Audit Notes: Clearcut # and size are documented on the Form 200 for each forest. John takes this data and enters it into a database and uses it to populate the DOF Property Timber Sale Summary report. Average clearcut size for 2015-2016 is 2.1 acres.

Performance Measure 5.3

Program Participants shall adopt a green-up requirement or alternative methods that provide for visual quality. Indicators:

5.3.1. Program implementing the green-up requirement or alternative methods.

- N/A
- Conformance
- Exceeds
- O.F.I.
- Major NC
- Minor NC

Audit Notes:

5.3.2. Harvest area tracking system to demonstrate conformance with the green-up requirement or alternative methods.

- N/A
- Conformance
- Exceeds
- O.F.I.
- Major NC
- Minor NC

Audit Notes:

5.3.3. Trees in clearcut harvest areas are at least 3 years old or 5 feet (1.5 meters) high at the desired level of stocking before adjacent areas are clearcut, or as appropriate to address operational and economic considerations, alternative methods to reach the performance measure are utilized by the Program Participant.

- N/A
- Conformance
- Exceeds
- O.F.I.
- Major NC
- Minor NC

Audit Notes:

Performance Measure 5.4

Program Participants shall support and promote recreational opportunities for the public. Indicator:

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

- N/A
- Conformance
- Exceeds
- O.F.I.
- Major NC
- Minor NC
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Audit Notes:
**Objective 6  Protection of Special Sites**

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

**Performance Measure 6.1**

Program Participants shall identify special sites and manage them in a manner appropriate for their unique features. Indicators:

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

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Audit Notes:

6.1.2. Appropriate mapping, cataloging and management of identified special sites.

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Audit Notes:
Objective 7  Efficient Use of Fiber Resources

To minimize waste and ensure the efficient use of fiber resources.

Performance Measure 7.1

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

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

Audit Notes:
Objective 8  Recognize and Respect *Indigenous Peoples’* Rights

To recognize and respect *Indigenous Peoples’* rights and traditional knowledge.

**Performance Measure 8.1**

Program Participants shall recognize and respect Indigenous Peoples’ rights. Indicator:

8.1.1. *Program Participants* will provide a written *policy* acknowledging a commitment to recognize and respect the rights of Indigenous Peoples.

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**Audit Notes:** The Division of Forestry has updated our Cultural Resources Policy to include a policy statement acknowledging its commitment to recognize and respect the rights of Indigenous Peoples. Confirmed by review of the *Cultural Resource Management Policy and Procedure*.

**Performance Measure 8.2**

*Program Participants* with forest management responsibilities on public lands shall confer with affected Indigenous Peoples with respect to sustainable forest management practices. Indicator:

8.2.1. *Program that includes communicating with affected Indigenous Peoples* to enable *Program Participants* to:

- understand and respect traditional forest-related knowledge;
- identify and protect spiritually, historically, or culturally important sites;
- address the use of non-timber forest products of value to Indigenous Peoples in areas where Program Participants have management responsibilities on public lands; and
- respond to Indigenous Peoples’ inquiries and concerns received.

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**Audit Notes:**

**Performance Measure 8.3**

*Program Participants* are encouraged to communicate with and shall respond to local Indigenous Peoples with respect to sustainable forest management practices on their private lands. Indicators:

8.3.1. *Program Participants are aware of traditional forest-related knowledge,* such as known cultural heritage sites, the use of wood in traditional buildings and crafts, and flora that may be used in cultural practices for food, ceremonies or medicine.

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**Audit Notes:**

8.3.2. Respond to Indigenous Peoples’ inquiries and concerns received.

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Objective 9  Legal and Regulatory Compliance

To comply with applicable federal, provincial, state and local laws and regulations.

Performance Measure 9.1

Program Participants shall comply with applicable federal, provincial, state and local forestry and related social and environmental laws and regulations. Indicators:

9.1.1. Access to relevant laws and regulations in appropriate locations.

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Audit Notes:

9.1.2. System to achieve compliance with applicable federal, provincial, state, or local laws and regulations.

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Audit Notes: **OFI:** Owen-Putnam active harvest: An abandoned well was identified during the marking process and flagged. Staff archeologist was notified. The well is near a horse/walk trail. There is no plan to address the well in terms of public safety.

9.1.3. Demonstration of commitment to legal compliance through available regulatory action information.

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Audit Notes:

Performance Measure 9.2

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

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

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Audit Notes:

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

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Audit Notes:
Objective 10  Forestry Research, Science and Technology

To invest in forestry research, science and technology, upon which sustainable forest management decisions are based and broaden the awareness of climate change impacts on forests, wildlife and biological diversity.

Performance Measure 10.1

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

10.1.1. Financial or in-kind support of research to address questions of relevance in the region of operations. Examples could include, but are not limited to, areas of forest productivity, water quality, biodiversity, community issues, or similar areas which build broader understanding of the benefits and impacts of forest management.

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Audit Notes:

10.1.2. Research on genetically engineered trees via forest tree biotechnology shall adhere to all applicable federal, state, and provincial regulations and international protocols ratified by the United States and/or Canada depending on jurisdiction of management.

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Audit Notes:

Performance Measure 10.2

Program Participants shall individually and/or through cooperative efforts involving SFI Implementation Committees, associations or other partners develop or use state, provincial or regional analyses in support of their sustainable forestry programs. Indicator:

10.2.1. Participation, individually and/or through cooperative efforts involving SFI Implementation Committees and/or associations at the national, state, provincial or regional level, in the development or use of some of the following:

a. regeneration assessments;

b. growth and drain assessments;

c. best management practices implementation and conformance;

d. biodiversity conservation information for family forest owners; and

e. social, cultural or economic benefit assessments.

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Audit Notes:

Performance Measure 10.3

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

10.3.1. Where available, monitor information generated from regional climate models on long-term forest health, productivity and economic viability.

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Audit Notes: Confirmed by interview that Scott monitors the US Forest Service Clearing House Climate Change tab and emails staff when significant changes occur.

10.3.2. Program Participants are knowledgeable about climate change impacts on wildlife, wildlife habitats and conservation of biological diversity through international, national, regional or local programs.

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Audit Notes: See 10.3.1.
Objective 11  Training and Education

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

Performance Measure 11.1

Program Participants shall require appropriate training of personnel and contractors so that they are competent to fulfill their responsibilities under the SFI 2015-2019 Forest Management Standard. Indicators:

11.1.1. Written statement of commitment to the SFI 2015-2019 Forest Management Standard communicated throughout the organization, particularly to facility and woodland managers, and field foresters.

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Audit Notes:

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

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Audit Notes: Foresters, managers, and specialists interviewed have professional degrees (mostly in forestry) from major universities, and several involved in the 2015 audit have advanced degrees. Training records reviewed show regular professional development training.

The INDOF is fully staffed except for an assistant resource specialist position.

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

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Audit Notes:

11.1.5. Program Participants shall have written agreements for the use of qualified logging professionals and/or certified logging professionals (where available) and/or wood producers that have completed training programs and are recognized as qualified logging professionals.

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Audit Notes:

Performance Measure 11.2

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

11.2.1. Participation in or support of SFI Implementation Committees to establish criteria and identify delivery mechanisms for wood producer training courses and periodic continuing education that address:

a. awareness of sustainable forestry principles and the SFI program;
b. best management practices, including streamside management and road construction, maintenance and retirement;
c. reforestation, invasive exotic plants and animals, forest resource conservation, aesthetics and special sites;
d. awareness of responsibilities under the U.S. Endangered Species Act, the Canadian Species at Risk Act, and other measures to protect wildlife habitat (e.g., Forests with Exceptional Conservation Value);
e. awareness of rare forested natural communities as identified by provincial or state agencies, or by credible organizations such as NatureServe, The Nature Conservancy, etc.
f. logging safety;
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g. U.S. Occupational Safety and Health Administration (OSHA) and Canadian Centre for Occupational Health and Safety (CCOHS) regulations, wage and hour rules, and other provincial, state and local employment laws;

h. transportation issues;

i. business management;

j. public policy and outreach; and

k. awareness of emerging technologies.

Audit Notes:

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11.2.2. The SIC-approved wood producer training programs shall have a continuing education component with coursework that supports the current training programs, safety and the principles of sustainable forestry.

Audit Notes:

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11.2.3. Participation in or support of SFI Implementation Committees to establish criteria for recognition of logger certification programs, where they exist, that include:

a. completion of SFI Implementation Committee recognized logger training programs and meeting continuing education requirements of the training program;

b. independent in-the-forest verification of conformance with the logger certification program standards;

c. compliance with all applicable laws and regulations including responsibilities under the U.S. Endangered Species Act, the Canadian Species at Risk Act and other measures to protect wildlife habitat;

d. use of best management practices to protect water quality;

e. logging safety;

f. compliance with acceptable silviculture and utilization standards;

g. aesthetic management techniques employed where applicable; and

h. adherence to a management or harvest plan that is site specific and agreed to by the forest landowner.

Audit Notes:
Objective 12  Community Involvement and Landowner Outreach

To broaden the practice of sustainable forestry through public outreach, education, and involvement, and to support the efforts of SFI Implementation Committees.

Performance Measure 12.1

Program Participants shall support and promote efforts by consulting foresters, state, provincial and federal agencies, state or local groups, professional societies, conservation organizations, Indigenous Peoples and governments, community groups, sporting organizations, labor, universities, extension agencies, the American Tree Farm System® and/or other landowner cooperative programs to apply principles of sustainable forest management. Indicators:

12.1.1. Support, including financial, for efforts of SFI Implementation Committees.

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Audit Notes:

12.1.2. Support, individually or collaboratively, education and outreach to forest landowners describing the importance and providing implementation guidance on:

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

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Audit Notes:

12.1.3. Participation in efforts to support or promote conservation of managed forests through voluntary market-based incentive programs such as current-use taxation programs, Forest Legacy Program or conservation easements.

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Audit Notes:

Performance Measure 12.2

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

12.2.1. Periodic educational opportunities promoting sustainable forestry, such as

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

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Audit Notes:
**Performance Measure 12.3**

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

12.3.1. Support for *SFI Implementation Committees* (e.g., toll-free numbers and other efforts) to address concerns about apparent nonconforming practices.

- [ ] N/A
- [ ] Conformance
- [ ] Exceeds
- [ ] O.F.I.
- [ ] Major NC
- [ ] Minor NC

Audit Notes:

12.3.2. Process to receive and respond to public inquiries. *SFI Implementation Committees* shall submit data annually to *SFI Inc.* regarding concerns received and responses.

- [ ] N/A
- [ ] Conformance
- [ ] Exceeds
- [ ] O.F.I.
- [ ] Major NC
- [ ] Minor NC

Audit Notes:
Objective 13  Public Land Management Responsibilities

To participate and implement sustainable forest management on public lands.

Performance Measure 13.1

Program Participants with forest management responsibilities on public lands shall participate in the development of public land planning and management processes. Indicators:

13.1.1. Involvement in public land planning and management activities with appropriate governmental entities and the public.

- N/A  - Conformance  - Exceeds  - O.F.I.  - Major NC  - Minor NC

Audit Notes:

13.1.2. Appropriate contact with local stakeholders over forest management issues through state, provincial, federal or independent collaboration.

- N/A  - Conformance  - Exceeds  - O.F.I.  - Major NC  - Minor NC

Audit Notes:
Objective 14  Communications and Public Reporting

To increase transparency and to annually report progress on conformance with the SFI Forest Management Standard.

Performance Measure 14.1

A Program Participant shall provide a summary audit report, prepared by the certification body, to SFI Inc. after the successful completion of a certification, recertification or surveillance audit to the SFI 2015-2019 Forest Management Standard. Indicator:

14.1.1. The summary audit report submitted by the Program Participant (one copy must be in English), shall include, at a minimum,
   a. a description of the audit process, objectives and scope;
   b. a description of substitute indicators, if any, used in the audit and a rationale for each;
   c. the name of Program Participant that was audited, including its SFI representative;
   d. a general description of the Program Participant’s forestland included in the audit;
   e. the name of the certification body and lead auditor (names of the audit team members, including technical experts may be included at the discretion of the audit team and Program Participant);
   f. the dates the audit was conducted and completed;
   g. a summary of the findings, including general descriptions of evidence of conformity and any nonconformities and corrective action plans to address them, opportunities for improvement, and exceptional practices; and
   h. the certification decision.

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

Audit Notes: Confirmed the e2015 Public Summary Report is located on the SFI Inc. website.

Performance Measure 14.2

Program Participants shall report annually to SFI Inc. on their conformance with the SFI 2015-2019 Forest Management Standard. Indicators:

14.2.1. Prompt response to the SFI annual progress report survey.

Audit Notes: Review of the 2016 report confirmed it was submitted on time.

14.2.2. Record keeping for all the categories of information needed for SFI annual progress report surveys.

Audit Notes: Review of the 2016 report confirms that record keeping is adequate for all applicable categories.

14.2.3. Maintenance of copies of past survey reports to document progress and improvements to demonstrate conformance to the SFI 2015-2019 Forest Management Standard.

Audit Notes: Brenda has copies in her binder. Report copies back to 2007 are on the DoF website.
Objective 15  Management Review and Continual Improvement

To promote continual improvement in the practice of sustainable forestry by conducting a management review and monitoring performance.

Performance Measure 15.1

Program Participants shall establish a management review system to examine findings and progress in implementing the SFI 2015-2019 Forest Management Standard, to make appropriate improvements in programs, and to inform their employees of changes.

Indicators:

15.1.1 System to review commitments, programs and procedures to evaluate effectiveness.

Audit Notes: System includes an annual management review which covers the SFI Program. It also includes an annual internal audit. This year the review was done on October 11 and included the Yellowwood, Morgan Monroe, Owen-Putnam and Greene-Sullivan State Forests and the central office issues such as increasing emphasis on recreation opportunities, formal adoption of the Strategic Plan in March 2016, final draft for the HCP sent to the F&WS for review and taking the logger training in-house.

15.1.2 System for collecting, reviewing, and reporting information to management regarding progress in achieving SFI 2015-2019 Forest Management Standard objectives and performance measures.

Audit Notes: Central office personnel review and approve projects, ensuring consistency and that senior management understands progress. For example John Friedrich, Property Specialist reviews all proposed timber sales for completeness of paperwork and overall compliance and maintains overall timber harvest records. Dan Ernst oversees the contracting of other services. An audit of selected timber sales is conducted by counting stumps as a financial control measure, but one which provides an additional opportunity to view results of harvests. The system includes recordkeeping, reviewing and reporting information to the SFI Team.

15.1.3 Annual review of progress by management and determination of changes and improvements necessary to continually improve conformance to the SFI 2015-2019 Forest Management Standard.

Audit Notes: Confirmed by a review of agenda that an annual review occurred October 24, 2016 and was attended by the management team including the State Forester and Assistant State Forester, the Forest Certification Coordinator, the Forestry Wildlife Specialist, and the Forestry Archaeologist. The review included a review of the SFI Objectives, internal audit results, identifying and summarizing SFI accomplishments and needed improvements and included some action items, but mostly summarized completion of needed actions from the third-party audits of 2014/2015. The process appears to be robust and effective.

(End)
Appendix 4
Field Site Visits
<table>
<thead>
<tr>
<th>Date: Tuesday, Nov 1</th>
<th>Activities / notes</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Compartment/Tract</strong></td>
<td><strong>Activities / notes</strong></td>
</tr>
</tbody>
</table>
| **8 -11 AM**  
Morgan Monroe SF Training Center | Opening Meeting: introductions, audit scope, confidentiality and public summary, conformance evaluation methods and tools, CARs process, relevant work safety, review audit plan, document review, stakeholder input; questions. |
| **11 AM – 5 PM** | Morgan Monroe State Forest, All auditors |
| **1: C11/ T04** | Tract of mixed oak/hickory, yellow poplar, and sugar maple beech with white oak component. Single tree and group selection (regeneration openings). Approximately 90 acre area completed in summer 2016. Snags and wildlife trees observed. On the drive to the site auditor saw property boundary markings clearly indicated. |
| **2: C13/T01** | Active logging operation. Logger interview was conducted. An old field restoration site that had been planted with pine and black walnut. Tract area of 148 acres. About 84 acres of Mixed Hardwood type (28 overstory species) and mature pine that had been planted on old field for site recovery. About 65 acres of Oak-Hickory type with some Mixed Hardwoods mixed throughout. Dominated by chestnut and white oaks and regeneration of sugar maple, chestnut oak, yellow poplar, and beech. Some 24 year old openings with yellow poplar and other minor hardwood species totaling about 14 acres. Single tree combined with small group selections to improve overall stand quality including a 4.5 acre area regeneration opening; encourage oak species, hickory species, and black walnut; and to regenerate opening reliant species such as yellow poplar. Post-harvest TSI is prescribed. |
| **3: Afforestation Project**  
Grigsby Tree Planting C9 and C14 | This is a unique project because little planting is done. The piece of land was acquired in 2014 to eliminate property line issues (fill a gap in the Morgan-Monroe ownership) and create habitat after planting (previously only winter grasses grew on the site). Acquisition made possible through cooperation with Then Nature Conservancy. Road side open areas to create forest using mowing, spraying, and planting, work conducted spring 2014, fall 2014, and spring 2016. Planted to butternut, white oak, swamp chestnut, swamp chestnut oak, red oak and black walnut. Originally had 11 invasive species but now are down to 3. Two years of Johnson grass control has been done here. |
| **4: C5/ T08** | Oak-hickory type (Mixed Hardwoods), dry mesic upland, 140 acre single tree selection and thinning to maintain the current type and enhance the overall stand quality. Thinning to remove defective and less desired species and selection to regenerate favoring oaks, particularly advanced regeneration. Opening stand in harvested areas to encourage oak regeneration seedling bank. |
| **5 Two HEE units harvested with C05/T04** | This shelterwood removal is part of the HEE. Two 10 acre shelterwood units in the area were harvested along with Compartment 5 Tract 4 to come up with enough volume for a sale. These units are part of a three stage treatment. The first stage was midstory removal in 2009. This harvest was the second stage with the objective to preferentially retain oaks and hickories. The third stage, final overstory removal is scheduled to occur no later than 2028. The unit visited is not scheduled to receive a burn prescription. |
| **6 Wisteria elimination project** | The Wisteria was introduce by an old homestead. The forester saw this as an opportunity to eliminate an invasive species before it became unmanageable. |
The wisteria was so extensive that it was killing overstory mature trees. Treatment was 4.7% foliar and full strength cut stump. Although the effort was successful at starting the elimination, the area will likely require more treatments. Stilt grass was also eradicated from the area.

**Date:** Wednesday November 2, 2016

<table>
<thead>
<tr>
<th>FMU / Location / sites visited</th>
<th>Activities / notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Owen-Putnam State Forest</td>
<td></td>
</tr>
<tr>
<td>All Auditors, Itinerary, Day 3</td>
<td></td>
</tr>
<tr>
<td><strong>Site 1:</strong> Sale #637-1301</td>
<td>Forester: Robert Duncan and Bill Galloway</td>
</tr>
<tr>
<td>Improvement cut</td>
<td>Purchased by a local sawmill and logged by Rock Forest Timber.</td>
</tr>
<tr>
<td>Active Sale</td>
<td>Interviewed Thomas Steinwald a crew foreman. Crew was wearing PPE.</td>
</tr>
<tr>
<td></td>
<td>Equipment included feller buncher and skidders.</td>
</tr>
<tr>
<td></td>
<td>190 ac intermittent thinning of a mixed hardwood stand with the goal to reduce stocking to help maintain stand health and recover future mortality. Sale designed to avoid stream crossings.</td>
</tr>
<tr>
<td></td>
<td>No damage to residuals.</td>
</tr>
<tr>
<td></td>
<td>An abandoned well was identified during the marking process and flagged. Staff archeologist was notified. The well is near a horse/walk trail.</td>
</tr>
<tr>
<td><strong>Site 2:</strong> Sale #638-1503</td>
<td>Forester: Robert Duncan and Bill Galloway</td>
</tr>
<tr>
<td>Improvement cut</td>
<td>40 ac intermittent thinning of a northern hardwood stand with the goal to reduce stocking to help maintain stand health and recover future mortality. Sale designed to avoid stream crossings.</td>
</tr>
<tr>
<td>Complete</td>
<td>No damage to residuals.</td>
</tr>
<tr>
<td><strong>Site 3a:</strong> C7 T4</td>
<td>Forester: Robert Duncan</td>
</tr>
<tr>
<td>Invasive Species treatment</td>
<td>Stilt grass spray on log deck/parking lot and skid trails on 9/6/2016 with Poast Plus and Destiny HC (Sethoxydim and surfactant oil) using 12 oz. Poast and 3 oz. Destiny. No issues observed.</td>
</tr>
<tr>
<td>Ongoing</td>
<td></td>
</tr>
<tr>
<td><strong>Site 3b:</strong> C7 T4</td>
<td>Forester: Robert Duncan</td>
</tr>
<tr>
<td>Invasive Species treatment</td>
<td>Contractor used to a crop tree release and vine control on 107 acres and a regeneration opening in 5 ac. Trees were double cut with a chain saw. No issues observed.</td>
</tr>
<tr>
<td>Complete</td>
<td></td>
</tr>
<tr>
<td><strong>Site 4:</strong> C6 T7</td>
<td>Forester: Robert Duncan and Bill Galloway</td>
</tr>
<tr>
<td>Proposed State Nature Preserve</td>
<td>Area identified in Heritage Trust database and was studied by the Nature Preserve staff which developed a detailed write up. The area has 3 seep springs and a sandstone cliff site.</td>
</tr>
<tr>
<td>Trail issue area</td>
<td>The identification and study of this site is a strong indicator of the DOF’s commitment to protect special places and conserve biological diversity.</td>
</tr>
<tr>
<td></td>
<td>A horse trail occurs on the east and south boundary and a steep section of the trail that approached a perennial stream was identified by Bill as an issue and slated for maintenance. The trail was imbedded and remained wet and muddy. Water bars had been constructed at the top and bottom of the problem area and sediment was not washing into the stream.</td>
</tr>
</tbody>
</table>
Site 4: C8 T5  
Marked Timber Sale not cut  

<table>
<thead>
<tr>
<th>Date: Thursday November 3, 2016</th>
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</thead>
<tbody>
<tr>
<td><strong>FMU / Location / sites visited</strong></td>
</tr>
<tr>
<td>Greene-Sullivan State Forest All Auditors, Itinerary, Day 4</td>
</tr>
</tbody>
</table>
| Site 1: Sale #633-1602 C2 T3 Timber Sale on future cabin site Complete | Forester: Robert Duncan and Bill Galloway  
61 acre marked sale containing oak-hickory, beech-maple, mixed hardwood and pine. Harvest goal is to reduce stocking to maintain stand health and recover future mortality by thinning the yellow poplar and harvesting low quality and damaged/diseased trees.  |
| Site 2: Sale #633-1402 C5 T9 Timber Stand Improvement Complete | Forester: Steve Cisco  
20 ac salvage sale due to storm damage and conversion to recreational use with no issues except there is no documentation of any timber sale inspections. The acreage will be removed from the certification when the cabins are built.  |
| Site 3: Sale #633-1401 C3 T1 Timber Stand Improvement Complete | Forester: Steve Cisco.  
42 ac marked sale due in a mixed hardwood stand. Single tree and group selection was used to release the desirable residuals. Very little damage to residuals and no issues. Skid trails were water barred and grassed. A steel bridge was used to cross a perennial stream. Residual stocking is adequate.  |
| General Notes | Timber sale contracts were reviewed for all active/complete sales. All contracts contained BMP and Logger Training clauses.  
Timber sale inspection forms were reviewed for all but one of the active/complete sales. The forms were adequately completed and noted issues where necessary. The sale that did not have inspection documentation was #633-1602 on Greene-Sullivan.
Appendix 5
Meeting Attendance
## NSF Audit Attendance Sheet

**Company Name:** INDNR  
**Location (Plant # and/or City & State):** Morgan-Monroe SF Opening, Greene-Sullivan SF Closing  
**Type of Audit:** SFI Surveillance and FSC Recert FM Audit  
**Opening Meeting Date:** November 1, 2016  
**Closing Meeting Date:** November 3, 2016

<table>
<thead>
<tr>
<th>NAME (Printed)</th>
<th>TITLE/POSITION</th>
<th>OPENING MEETING (Initials)</th>
<th>CLOSING MEETING (Initials)</th>
</tr>
</thead>
<tbody>
<tr>
<td>John Friedrich</td>
<td>INDOF</td>
<td>JF</td>
<td>JF</td>
</tr>
<tr>
<td>AJ Ariens</td>
<td>INDOF</td>
<td>AA</td>
<td></td>
</tr>
<tr>
<td>Dan Ernst</td>
<td>INDOF</td>
<td>DE</td>
<td>DE</td>
</tr>
<tr>
<td>Derruch Patts</td>
<td>INDOF</td>
<td>DP</td>
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</tr>
<tr>
<td>Scott Haulton</td>
<td>INDOF</td>
<td>SH</td>
<td>SH</td>
</tr>
<tr>
<td>Duane McCoy</td>
<td>INDOF</td>
<td>DM</td>
<td></td>
</tr>
<tr>
<td>Jim Allen</td>
<td>INDOF</td>
<td>JA</td>
<td></td>
</tr>
<tr>
<td>John Seifert</td>
<td>INDOF</td>
<td>JS</td>
<td>JS</td>
</tr>
<tr>
<td>Brenda Huter</td>
<td>INDOF</td>
<td>BH</td>
<td>BH</td>
</tr>
<tr>
<td>David Pamsey</td>
<td>INDOF</td>
<td>DP</td>
<td></td>
</tr>
<tr>
<td>Phil Jones</td>
<td>INDOF</td>
<td>PJ</td>
<td></td>
</tr>
<tr>
<td>Michael Spalding</td>
<td>INDOF</td>
<td>MS</td>
<td></td>
</tr>
<tr>
<td>Jonathan Roales</td>
<td>INDOF</td>
<td>JR</td>
<td></td>
</tr>
</tbody>
</table>