

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

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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

- | | | | | | | |
|-------------------------------------|-----|--------------------------|----|-------------------------------------|-----|---|
| <input checked="" type="checkbox"/> | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> | N/A | Public report from previous audit(s) is posted on the [SFI/SBP/etc.] website |
| <input checked="" type="checkbox"/> | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> | N/A | Relevant industry specific logos or labels (SFI, PEFC, etc.) are utilized correctly. |
| <input type="checkbox"/> | Yes | <input type="checkbox"/> | No | <input checked="" type="checkbox"/> | 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. |

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Yes No N/A 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

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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

October 26, 2016

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 Jacquain, – 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;
4. Confirm public availability of public reports.

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.

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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

	2010	2011	2012	2013	2014	2015	2016
Owen Putnam	x			x			x
Greene Sullivan	x			x			x
Pike/Ferdinand		x			x		
Morgan Monroe			x	x			x
Jackson Washington		x			x		
Selmier		x			x		
Martin		x			x		
Harrison Crawford			x			<u>x</u>	
Clark			x			<u>x</u>	
Yellowwood	x		x	x			
Salamonie/ Francis Slocum (Northern forests)							

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

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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
 843 nboatwright12@gmail.com
 203-229-1851

Enclosures:

- Agenda Overview
- Activities for 2016 audit Selections

FOREST	Marking Forester/Administering Forester	Project Name	Comp./Tract	Acres	Status
Morgan-Monroe	Vadas/Spalding	timber harvest	1104_19	116	completed
Morgan-Monroe	Dye/Spalding	timber harvest	1104	86	completed
Morgan-Monroe	Jones and Ramey	timber harvest	6371301	148	Now active, started October 2016
Morgan-Monroe	Jones and Ramey	timber harvest	6370504	140	Not active
Morgan-Monroe	Jones and Ramey	timber harvest	6370701	113	Now active, started October 2016
Morgan-Monroe	Spalding	invasives	809	7	ongoing
Morgan-Monroe	Spalding	Grigsby tree planting prep	1411, 0906, 0610	23	completed
Morgan-Monroe	Spalding/Potts/Jones/Ramey	Grigsby tree planting	1411, 0906, 0611	17	completed

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FOREST		Project Name	Comp./Tract	Acres	Status
Owen-Putnam	Duncan	Timber Stand Improvement	C6T2	75	complete
Owen-Putnam	Duncan	Timber Stand Improvement	C7T4	107 & 5	in progress
Owen-Putnam	Duncan	Sales marked not yet sold	C8T5	61	in progress
Owen-Putnam	Gallogly	Marked timber sale and proposed HCVF - Wetland Seep	C6T7		proposed
Owen-Putnam	Duncan	Past Timber Harvest	C7T1	40	complete
Owen-Putnam	Duncan	Past Timber Harvest	C5T1	75	complete
Owen-Putnam	Duncan	Past Timber Harvest	C9T8	103	complete
Owen-Putnam	Duncan	Invasive Species Treatment	C7T4	0.3	complete

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

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Agenda Overview

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

Date	Activity	Notes
Monday Oct. 31		Note: The FSC audit is a recert so the FSC auditors arrived Sunday and are auditing the Yellowwood State Forest today. Norman arrives IND 4:16 pm EST and is picked up by Brenda. Lodging: McCormicks Creek State Park, Spencer, IN (Reservations made by DNR)
Tuesday November 1st:		
8 am	Depart for Morgan Monroe	DNR provides transport
8:30 – 9:30 am	Opening Meeting	Document review
9 am to 5 pm	Field site visits	
		Lodging: McCormicks Creek State Park, Spencer, IN (Reservations made by DNR)
Wednesday November 2nd		
8 am	Depart for Owen-Putnam	DNR provides transport
8:30 – 9:30 am	Opening Meeting	Document review
9:30 – 5:00 pm	Field site visits	
		Lodging: McCormicks Creek State Park, Spencer, IN (Reservations made by DNR)
Thursday November 3rd		
8 am	Depart for Greene-Sullivan	DNR provides transport
8:30 – 9:30 am	Opening Meeting	Document review

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12 pm	Lunch on-site	
12:30 pm – 1:30 pm	Final Issues/Deliberations	Audit Team privately
1:30 pm	Closing Meeting	
2:30 pm	End of Audit	Norman is transported to the IND airport Hilton Garden Inn by DNR

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Appendix 2

SFI Forest Management Public Summary Report

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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

Source: http://www.in.gov/dnr/forestry/files/fo-Management_on_SF.pdf

"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."

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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 Jacquain, 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.*

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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.*

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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

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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.

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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.

Source: Sustainable Forestry Initiative® (SFI) Standard, 2015–2019 Edition

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Appendix 3

Audit Standard Checklist - SFI Forest Management Standard

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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.

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

Audit Notes: INDOF does not have fiber sourcing responsibilities.

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*.

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

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).

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

Audit Notes:

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

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

Audit Notes:

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

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

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*.

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

Audit Notes:

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

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

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.

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

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.

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

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.

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

Audit Notes:

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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.

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

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*.

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

Audit Notes:

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

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

Audit Notes:

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

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

Audit Notes:

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

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

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*.

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

Audit Notes:

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

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

Audit Notes:

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

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

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.

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

Audit Notes:

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

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

Audit Notes:

2.2.6. Use of *integrated pest management* where feasible.

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

Audit Notes:

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

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

Audit Notes:

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*.

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

Audit Notes:

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.

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

Audit Notes:

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

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

Audit Notes:

2.3.3. Post-harvest conditions conducive to maintaining site *productivity* (e.g., limited rutting, retained down woody debris, *minimized skid trails*).

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

Audit Notes:

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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.

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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 Visitation 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

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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.

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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

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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:

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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:

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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:

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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*.

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

Audit Notes:

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

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

Audit Notes:

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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.

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

Audit Notes:

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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*.

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

Audit Notes: The Division of Forestry has updated our Cultural Resources Policy to include a policy state acknowledging its commitment to recognize and respect of 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:

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

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

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.

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

Audit Notes:

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

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

Audit Notes:

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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.

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

Audit Notes:

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

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

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*.

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

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.

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

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.

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

Audit Notes:

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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.

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

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.

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

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.

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

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*.

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

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*.

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

Audit Notes: See 10.3.1.

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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.

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

Audit Notes:

11.1.2. Assignment and understanding of roles and responsibilities for achieving *SFI 2015-2019 Forest Management Standard objectives*.

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

Audit Notes:

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

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

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.

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

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*.

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

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.

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

Audit Notes:

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*.

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

Audit Notes:

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.

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

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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*.

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

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.

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

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.

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

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.

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

Audit Notes:

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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:

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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:

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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.

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

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.

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

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.

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

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*.

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

Audit Notes: Brenda has copies in her binder.
Report copies back to 2007 are on the DoF website.

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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.

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

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*.

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

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*.

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

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)

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Appendix 4

Field Site Visits

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Date: Tuesday, Nov 1	
Compartment/Tract	Activities / notes
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 introduced by an old homestead. The forester saw this as an opportunity to eliminate an invasive species before it became unmanageable.

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	<p>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.</p>
<p>Date: Wednesday November 2, 2016</p>	
<p>FMU / Location / sites visited</p>	<p>Activities / notes</p>
<p>Owen-Putnam State Forest All Auditors, Itinerary, Day 3</p>	
<p>Site 1: Sale #637-1301 Improvement cut Active Sale</p>	<p>Forester: Robert Duncan and Bill Galloway Purchased by a local sawmill and logged by Rock Forest Timber. Interviewed Thomas Steinwald a crew foreman. Crew was wearing PPE. Equipment included feller buncher and skidders. 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. No damage to residuals. An abandoned well was identified during the marking process and flagged. Staff archeologist was notified. The well is near a horse/walk trail.</p>
<p>Site 2: Sale #638-1503 Improvement cut Complete</p>	<p>Forester: Robert Duncan and Bill Galloway 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. No damage to residuals.</p>
<p>Site 3a: C7 T4 Invasive Species treatment Ongoing</p>	<p>Forester: Robert Duncan 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.</p>
<p>Site 3b: C7 T4 Invasive Species treatment Complete</p>	<p>Forester: Robert Duncan 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.</p>
<p>Site 4: C6 T7 Proposed State Nature Preserve Trail issue area</p>	<p>Forester: Robert Duncan and Bill Galloway 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. The identification and study of this site is a strong indicator of the DOF's commitment to protect special places and conserve biological diversity. 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.</p>

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Site 4: C8 T5 Marked Timber Sale not cut	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.
Date: Thursday November 3, 2016	
FMU / Location / sites visited	Activities / notes
Greene-Sullivan State Forest All Auditors, Itinerary, Day 4	
Site 1: Sale #633-1602 C2 T3 Timber Sale on future cabin site 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 2: Sale #633-1402 C5 T9 Timber Stand Improvement Complete	Forester: Steve Cisco 93 ac marked sale due in a mixed hardwood stand. Logging conditions are tough as the stand is on old mining spoil with many steep areas. Single tree and group selection was used to release the desirable residuals. Very little damage to residuals and no issues. Skid trails water barred and residual stocking is adequate. A timber stand improvement treatment was performed before the harvest.
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.

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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

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