

# Indiana Division of Forestry

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

SFI 2015-2019 Standards and Rules<sup>®</sup>, Section 2 - Forest Management

Surveillance Audit





## NSF Forestry Program Audit Report

### A. Certificate Holder Information

Certificate Holder	Indiana DNR Division of Forestry
Customer Number	NSF-SFI-FM-6L841
Contact Information (Name, title, phone & email)	Brenda Huter, Forest Stewardship Coordinator Indiana DNR, Division of Forestry – Central Office 402 W. Washington St. Rm. W-296 Indianapolis, IN 46204 317-232-0142 <a href="mailto:bhuter@dnr.in.gov">bhuter@dnr.in.gov</a>
Scope of Certification	Land management operations on approximately 158,264 acres of Indiana State Forests and related sustainable forestry activities including SFI Objectives 1-15. The SFI Forest Management number is NSF-SFI-FM-6L841.
Locations Included in the Certification Note: may be listed as plain text or included in an appendix or a separate file.	State Forests included in the certification include:  Owen-Putnam, Greene-Sullivan, Pike/Ferdinand, Morgan-Monroe, Jackson Washington, Selmier, Martin, Harrison Crawford, Clark, Yellowwood, & Salamonie River/ Francis Slocum (Northern forests)  The 2019 audit included field sites at six State Forests: Owen-Putnam, Morgan-Monroe, Yellowwood, Greene-Sullivan, Francis Slocum, and Salamonie River.
Significant Changes to Operations or to the Standard(s)	None

### B. Audit Team

Lead Auditor	Ruthann M. Schulte
Audit Team Member(s)	Ciara McCarthy

### C. Site Visits

Date and Location of Each Visit	October 16, 2019 – Owen-Putnam State Forest October 17, 2019 – Morgan-Monroe and Yellowwood State Forests October 18, 2019 – Greene-Sullivan State Forest October 22, 2019 – Francis Slocum and Salamonie River State Forests
---------------------------------	--

### D. Audit Results

Auditor Recommendation	<input checked="" type="checkbox"/> Grant, maintain or renew certification <input type="checkbox"/> Grant, maintain or renew certification pending closure of CARs <input type="checkbox"/> Grant, maintain or renew certification pending follow-up assessment <input type="checkbox"/> Do not grant, maintain or renew certification (notify NSF office immediately)
Number and Summary of Findings of “Exceeds the Requirements”	Three “Exceeds the Requirements” 3.1.3 <i>The BMP monitoring program is the most robust known to the audit team.</i> 6.1.1 <i>Indiana DOF has an exceptional cultural resources identification and protection program including employing a full-time archaeologist.</i> 15.1.1 <i>The DOF system is strong and works well.</i>
Number and Summary of Findings of “Opportunity for Improvement”	None
Number and Summary of Findings of “Minor Nonconformity”	None



Number and Summary of Findings of "Major Nonconformity"	None
Summary of review of nonconformities from previous audit(s)	NA
Notes from Opening and Closing Meetings	An opening meeting was conducted with IN DOF staff and the two auditors covering the standard procedures involved in the audit. Field sites were selected and the timeline was agreed upon. Confidentiality and conflict of interest were discussed. The closing meeting was attended by IN DOF staff and the two auditors. Several commendable practices were acknowledged. Timing of the audit report and next steps were discussed. The preferred timing for next year's audit is October 5-7, 2020.
All logos and/or labels, including ANSI, ANAB, SFI, PEFC, ATFS, etc. are utilized correctly in accordance with NSF policies.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No (a finding of nonconformity should be issued) <input type="checkbox"/> N/A (not using any labels or logos on any marketing materials, website, finished products, etc.)

### E. Recertification Review

<p>Auditors are required to review the reports from all audits in the current certification period, starting with the certification or recertification audit and including all surveillance or other audits. The auditor shall consider the performance of the program over the cycle through a review of internal audits, management reviews, corrective actions, continual improvement, and NSF audit findings, to determine if there is evidence of:</p> <ul style="list-style-type: none"> <li>• An effective interaction between all parts of the program and its overall effectiveness?</li> <li>• An overall effectiveness of the system in its entirety in light of internal and external changes?</li> <li>• A demonstrated commitment by top management to maintain the effectiveness and improvement of the system to enhance overall performance?</li> <li>• Continual improvement over the cycle?</li> <li>• The program contributing to the achievement of the client's policy and objectives, and the intended results?</li> <li>• Repeated audit findings during the audit cycle that would indicate systemic issues?</li> </ul>	
Answer	NA - Surveillance

### F. Appendices

Appendix 1	Audit Notification Letter and Audit Agenda
Appendix 2	SFI Forest Management Public Summary Report
Appendix 3	SFI Forest Management Standard Checklist
Appendix 4	Field Site Visit Notes
Appendix 5	Meeting Attendance Form



---

## Appendix 1

# Audit Notification Letter

October 9, 2019

Brenda Huter, Forest Stewardship Coordinator  
Indiana Division of Forestry  
402 W. Washington Street, Rm 296 W  
Indianapolis, IN 46204

### RE: Confirmation of SFI 2019 Surveillance Audit, Indiana DNR

Dear Ms. Huter:

As we discussed, I will be conducting the annual SFI surveillance 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.

As agreed, October 16-18, 2019 is scheduled for the 2019 audit of Indiana DNR Division of Forestry's conformance to the SFI 2015-2019 Standards and Rules®, Section 2 - Forest Management Standards. Please confirm that these dates are still appropriate.

The audit team will consist of:

- Ruthann Schulte – SFI Lead Auditor
- Ciara McCarthy – FSC Lead Auditor

### Preparing for the Audit

A key part of the audit is a review of selected evidence related to your program, which may include:

- Approval for logo usage (if used)
- Internal Audit records
- Management Review records
- Training records
- Documentation for operation of complaint procedure
- Documentation for subcontracting/outsourcing
- Policies regarding certification, health, and safety

Please have this information available for me during the audit.

### 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:

Courtney Guillen, Coordinator, Office of Statistics and Label Use  
Sustainable Forestry Initiative, Inc.  
202-719-1391 ext. 338  
courtney.guillen@sfiprogram.org



## SFI Audit Scope

The Sustainable Forestry Initiative program including land management operations on approximately 158,264 acres of Indiana State Forests and related sustainable forestry activities. The 2019 SFI Surveillance Audit is a review of Objectives 3, 8, 10, 12, 14, and 15 of your SFI Program to confirm that it is in conformance with the SFI 2015-2019 Standards and Rules®, Section 2 - Forest Management Standards. The State Forests to be visited are Owen-Putnam, Greene-Sullivan, Morgan-Monroe, Yellowwood, Salamonie River/Francis Slocum as illustrated in the table below.

## INDNR 2019 State Forests to Audit

	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019
Owen Putnam	x			x			x			x
Greene Sullivan	x			x			x			x
Pike/Ferdinand		x			x			x		
Morgan Monroe			x	x			x			x
Jackson Washington		x			x			x		
Selmier		x			x			x		
Martin		x			x			x		
Harrison Crawford			x			x			x	
Clark			x			x			x	
Yellowwood	x		x	x			x			x
Salamonie River/ Francis Slocum (Northern forests)										x

## Agenda for Review

Attached for your review is the tentative agenda that will guide the conduct of the audit. Please contact me via email or phone if you would like to recommend changes or have any questions regarding what is needed for the audit.

## Audit Schedules and Travel Logistics

The overall schedule shown below was agreed to by all parties. More detailed daily schedules are to be developed as we finalize the site selection process. Upon receiving the list of activities for the past two years I will randomly select site for the two State Forests identified for site visits this year. The schedules will be reviewed and adjusted as needed during the opening meeting or in the field to accommodate any special circumstances.

Thank you for selecting NSF to provide your audit services.

Sincerely,

*Ruthann M. Schulte*

Ruthann M. Schulte

Lead Auditor, NSF

707-407-8599

ruthann\_schulte@yahoo.com



## Audit Agenda

### Type of Audit

- Readiness Review (Stage 1)       Registration (Stage 2)       Surveillance  
 Reassessment       Transfer       Verification  
 Other \_\_\_\_\_

### Audit Objectives

Determine if certification should be maintained to the SFI 2015-2019 Standards and Rules®, Section 2 - Forest Management Standard.

### Schedule

Day/Date	Time	Activity/Process and Location to be Audited	Auditor(s)
Wednesday October 16, 2019	7:30 AM	Pickup auditors at Home2 Suites by Hilton Indianapolis Airport 8345 Belfast Drive Indianapolis, Indiana 46241	Schulte & McCarthy
	9 AM	SFI and FSC Opening meetings at Owen-Putnam SF Headquarters	Schulte & McCarthy
		Field site visits at Owen-Putnam State Forests	Schulte & McCarthy
	4:30 PM	Daily Briefing	Schulte & McCarthy
Thursday, October 17, 2019	8:30 AM	Abbreviated opening meeting Field site visits at Morgan-Monroe and Yellowwood State Forests Auditors to split up on this day	Schulte & McCarthy
	4:30 PM	Daily Briefing	Schulte & McCarthy
Friday, October 18, 2019	8:30 AM	Abbreviated opening meeting Field site visits at Greene-Sullivan State Forests Auditors may split up on this day	Schulte & McCarthy
	11:50 PM	Daily briefing	Schulte & McCarthy
	Noon	Lunch	
	12:30 PM	Auditors meet privately for final deliberations	Schulte & McCarthy
	1:30 PM	Closing meeting	Schulte & McCarthy
Tuesday, October 22, 2019		Salamonie River/ Francis Slocum State Forests field site visits. A follow-up call/meeting will occur, if necessary, to revise any findings for the audit. These two State Forests are quite a distance from all other State Forests and the auditor will be in close proximity to these forests for other duties on this day. There were no changes/revisions from the initial closing meeting completed on 18 Oct 2019.	Schulte



## Appendix 2

# Indiana Department of Natural Resources – Division of Forestry 2019 SFI Forest Management Public Summary Audit Report

## Introduction

The SFI program of Indiana Department of Natural Resources Division of Forestry (DOF) has demonstrated conformance to SFI® 2015-2019 Standard and Rules, Section 2 – Forest Management Standard in accordance with the NSF certification process.

### **Forest Management on Indiana State Forests**

Source: <https://www.in.gov/dnr/forestry/9656.htm>

*The Indiana Department of Natural Resources Division of Forestry has managed state forest lands for more than 100 years, during which time once abused and abandoned land has been restored to nearly 160,000 acres of lush and healthy forests seen in Indiana today.*

*Indiana law dictates that DNR Forestry “protect and conserve timber, water resources, wildlife and topsoil in forests owned and operated by the division of forestry” and use “good husbandry” to remove timber that has substantial commercial value “in a manner that benefits the growth of saplings.”*

*There are those who object to this public policy and repeatedly demand DNR Forestry stop doing its job. In contrast, [a Purdue University public opinion survey of Indiana residents](#) found that 95 percent of Hoosiers approve of removing trees to protect woodlands from disease and fire.*

*DNR Forestry – staffed by professional foresters and other scientists with a combined 500-plus years of field experience – is evaluated annually by the [Forest Stewardship Council®](#) and the [Sustainable Forestry Initiative®](#) program. For 10 consecutive years, these two independent audits have [certified DNR Forestry meets nationally and internationally recognized standards](#) for sustainable forestry management.*

The audit was performed by NSF on October 16-18, 2019 by an audit team headed by Ruthann Schulte, Lead Auditor. Audit team members fulfill the qualification criteria for conducting 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 conformance of the firm’s SFI Program to the requirements of the SFI 2015-2019 Standard and Rules, Section 2 – Forest Management.

The scope of the audit included forest management operations. Forest practices that were the focus of field inspections included those that have been under active management over the planning period of the past 3 years. In addition, practices conducted earlier were also reviewed as appropriate (regeneration and BMP issues, for example), SFI obligations to promote sustainable forestry practices, to seek legal compliance, and to incorporate continual improvement systems were also within the scope of the audit.

The SFI Standard was used without modifying any requirements.

## Audit Process

The audit was governed by a detailed audit plan designed to enable the audit team to efficiently determine conformance with the applicable requirements. The plan provided for the assembly and review of audit evidence consisting of documents, interviews, and on-site inspections of ongoing or completed forest practices.

During the audit NSF reviewed a sample of the written documentation assembled to provide objective evidence of conformance. NSF also selected field sites for inspection based upon the risk of environmental impact, likelihood of occurrence, special features, and other criteria outlined in the NSF protocols. NSF selected and interviewed stakeholders such as contract loggers, landowners and other interested parties, and interviewed employees within the organization to confirm that the SFI Standard was understood and actively implemented.

The possible findings of the audit included conformance, major non-conformance, minor non-conformance, opportunities for improvement, and practices that exceeded the requirements of the standard.

## Overview of Audit Findings

Indiana Division of Forestry’s SFI Program was found to be in conformance with the standard. NSF determined that there were no minor non-conformances or opportunities for improvement identified.



NSF also identified the following areas where forestry practices and operations of Indiana Division of Forestry's SFI Program exceed the basic requirements of the standard:

3.1.3 Monitoring of overall best management practices implementation.

*Finding: The BMP monitoring program is the most robust known to the audit team.*

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.

*Finding: Indiana Division of Forestry has an exceptional cultural resources identification and protection program including employing a full-time archaeologist.*

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

*Finding: The DOF system is strong and works well.*

## 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 State Forest Strategic Plan 2015-2019, Indiana DNR State Forest Properties Report of Continuous Forest Inventory (CFI) Summary of years 2013-2017, state forest tract management 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. DOF has programs to ensure reforestation, for protection against damaging agents and wildfire, and for careful management of activities which could potentially impact soil and long-term productivity.*

### Objective 3 Protection and Maintenance of Water Resources

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

**Summary of Evidence:** *A program of adherence to and monitoring of State BMPs coupled with 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:** *Use of the Natural Heritage Database, State Forest Procedure Manual, a comprehensive Environmental Assessment, the Nature Preserve program, State Wildlife Action Plan, State Forest Strategic Plan, field observations, policies for the conservation of the Indiana bat, and employment of an experienced wildlife biologist were the evidence used to assess the requirements involved in 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, biking, 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, interviews with staff archeologist, 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:* DOF supports a variety of forestry research initiatives, including the Hardwood Ecosystem Experiment -- a collaborative research project that currently includes partnering organizations and agencies including researchers from six regional universities.

**Objective 11 Training and Education**

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

*Summary of Evidence:* Training records of selected personnel, and records associated with harvest sites audited 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.

**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 tract management plans, the most recent strategic plan, and the draft Indiana Bat Habitat Conservation Plan for State Forests. 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, agenda, and notes from management review meetings, and interviews with personnel from all involved levels in the organization were assessed



---

## Relevance of Forestry Certification

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

### 1. Sustainable Forestry

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

### 2. Forest Productivity and Health

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

### 3. Protection of Water Resources

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

### 4. Protection of Biological Diversity

To manage forests in ways that protect and promote *biological diversity*, including animal and plant species, *wildlife habitats*, and ecological or natural community types.

### 5. Aesthetics and Recreation

To manage the visual impacts of forest operations, and to provide recreational opportunities for the public.

### 6. Protection of Special Sites

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

### 7. Responsible Fiber Sourcing Practices in North America

To use and promote among other forest landowners *sustainable forestry* practices that are both scientifically credible and economically, environmentally and socially responsible.

### 8. Legal Compliance

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

### 9. Research

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

### 10. Training and Education

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

### 11. Community Involvement and Social Responsibility

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

### 12. Transparency

To broaden the understanding of forest certification to the *Fiber Sourcing* 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



---

**For Additional Information Contact**

Daniel Freeman	Michelle Matteo	Brenda Huter
NSF Project Manager	NSF Forestry Program Manager	Indiana DNR Division of Forestry – Central Office Forest Stewardship Coordinator
789 N. Dixboro Road Ann Arbor, MI 48105	789 N. Dixboro Road Ann Arbor, MI 48105	402 W. Washington St. Rm. W-296 Indianapolis, IN 46204
734-214-6228	413-265-3714	317-232-0142
<a href="mailto:dfreeman@nsf.org">dfreeman@nsf.org</a>	<a href="mailto:mmatteo@nsf.org">mmatteo@nsf.org</a>	<a href="mailto:bhuter@dnr.in.gov">bhuter@dnr.in.gov</a>



## Appendix 3

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

FRS # NSF-SFI-FM-6L841 Indiana Department of Natural Resources Division of Forestry (DOF)

Date of audit(s): October 16-18, 2019

### 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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes:

### 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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not examined in 2019

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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not examined in 2019

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

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

Notes: Not examined in 2019

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

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

Notes: Not examined in 2019



---

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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not examined in 2019

---

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

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

Notes: Not examined in 2019

---

### 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;
- 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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not examined in 2019

---

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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not examined in 2019

---

### 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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not examined in 2019

---



## 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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not examined in 2019

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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not examined in 2019

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

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

Notes: Not examined in 2019

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

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

Notes: Not examined in 2019

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

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

Notes: Not examined in 2019

### 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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not examined in 2019

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

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

Notes: Not examined in 2019

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

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

Notes: Not examined in 2019



---

2.2.4 The World Health Organization (WHO) type 1A and 1B pesticides shall be prohibited, except where no other viable alternative is available.

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

Notes: Not examined in 2019

---

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

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

Notes: Not examined in 2019

---

2.2.6 Use of *integrated pest management* where feasible.

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

Notes: Not examined in 2019

---

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

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

Notes: Not examined in 2019

---

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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not examined in 2019

---

### 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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not examined in 2019

---

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

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

Notes: Not examined in 2019

---

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

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

Notes: Not examined in 2019

---



---

2.3.4 Retention of vigorous trees during partial harvesting, consistent with scientific silvicultural standards for the area.

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

Notes: Not examined in 2019

---

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

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

Notes: Not examined in 2019

---

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

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

Notes: Not examined in 2019

---

#### 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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not examined in 2019

---

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

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

Notes: Not examined in 2019

---

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

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

Notes: Not examined in 2019

---

#### 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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not examined in 2019

---





### 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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: The overall program for implementing BMPs is very strong. The State has developed and follows Indiana Logging and Forestry Best Management Practices [https://www.in.gov/dnr/forestry/files/fo-2005\\_Forestry\\_BMP\\_Field\\_Guide.pdf](https://www.in.gov/dnr/forestry/files/fo-2005_Forestry_BMP_Field_Guide.pdf)  
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 of every sale by a second-party comprise the program.

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

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

Notes: The Letter of Agreement for Sale of Timber on State Forest Land contains requirements regarding Indiana BMPs in items # 9, 10, 11, & 19. Review of timber sale agreements for harvest sites visited confirms that each has the BMP requirements.

3.1.3 Monitoring of overall *best management practices* implementation.

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

Notes: 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 BMPs with an inspection by a BMP forester. Documentation was reviewed for the sites visited during the audit.

The BMP monitoring program is among the most robust known to the audit team. The report titled [1996 through 2018 Indiana Forestry Best Management Practices Audit Report: Monitoring Results State Forest Properties](#) describes a long-term program of comprehensive second-party BMP audits that show high levels of implementation and effectiveness success protecting resources. The application and effectiveness rates for BMPs used to protect sites after timber harvests are excellent for the 656 sites monitored since 1996. The overall application rate is 86.04%, and the overall effectiveness rate is 92.02%.



## 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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: The use of BMPs, GIS, the design of all harvest projects by trained foresters, and the review of all projects by Central Office personnel comprise such a program. Further, there is an internal audit program for BMPs following all timber harvests (see 3.1.3 above). Harvest blocks (generally tracts), ridge-top roads, and skid road systems are designed to avoid stream crossings in harvests.

The first choice is to avoid stream crossings. However, that is not always possible. The discussion of careful planning and monitoring of stream crossings used on a tract adjacent to a site visit tract in Owen-Putnam illustrated the focus on this indicator.

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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Harvest site maps and flagging in the field showed locations of streams and stream buffers. Reviewed maps showing GIS layer.

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

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

Notes: This process begins with the maps included with the management guide prescriptions and is followed by the more specific timber sale map, on-going timber sale inspections, and BMP monitoring.

Field observations confirmed protection of these features, including use of buffers, care taken to minimize stream crossings, but when necessary design proper stream crossings and to stabilize them following completion of work. Roads are well-designed and most are 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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Confirmed that the "BMP Field Guide – Road and Trail Maintenance" section provides general guidelines. Seller (DOF) has the authority to halt logging activities. According to the Timber Sale Contract item #22.

Interviews with Resource Specialists and review of completed Timber Sale Visitation and Evaluations indicate that they work with the loggers regarding expectations that harvesting is halted when wet weather becomes an issue.

Challenges exist at several of the State Forests because of interim bat restrictions which preclude harvesting during the summer and early fall, which are the driest periods.



## 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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not examined in 2019

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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not examined in 2019

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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not examined in 2019

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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not examined in 2019

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

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

Notes: Not examined in 2019

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

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

Notes: Not examined in 2019

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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not examined in 2019

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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not examined in 2019



---

## 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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not examined in 2019

---

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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not examined in 2019

---

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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not examined in 2019

---

## 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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not examined in 2019

---

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

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

Notes: Not examined in 2019

---

## 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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not examined in 2019

---

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

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

Notes: Not examined in 2019

---



## 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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not examined in 2019

---

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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not examined in 2019

---

### 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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not examined in 2019

---

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

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

Notes: Not examined in 2019

---

### 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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not examined in 2019

---

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

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

Notes: Not examined in 2019

---

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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not examined in 2019

---

### 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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not examined in 2019

---



---

## 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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Cultural sites are considered in the Resource Management Guides.

There is an exceptional program for identifying and managing culturally important sites.

The Indiana State Forest Strategic Plan 2015-2019 has two goals regarding identifying special sites for protection and appropriate management:

*“Continue to review projects by the DOF Archaeologist to conserve and avoid significant impact on cultural and archaeological resources.” And “Continue to review the heritage database in formulating forest management decisions or conducting forest management operations, and avoid impacts to ecologically significant resources.”*

Indiana Division of Forestry has a robust cultural resources identification and protection program including employing a full-time archaeologist. Archaeological clearance is needed for all except the most minor ground disturbing activities.

Any work on historic structures also requires clearance. Properties have awareness (lists) of cultural resources, and management activities avoid or buffer known cultural resource areas.

---

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

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

Notes: Not examined in 2019

---



---

**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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not examined in 2019

---



## 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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: The Division of Forestry has a Cultural Resources Policy that includes acknowledging its commitment to recognize and respect of the rights of Indigenous Peoples.

Confirmed by review of the *Cultural Resource Management Policy and Procedure* that is maintained on the Division's shared drive accessible by staff.

### 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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: The Indiana Division of Forestry employs a full-time archaeologist who has knowledge about tribal history and tribal use of the lands in pre-historic times. The program for archaeological review includes on-site or records review of all land-disturbing activities, with field surveys for projects where potentially intact resources may be present. If evidence of an archeological site use is found, the archeologist submits a site form with the Indiana Division of Historic Preservation and Archaeology.

Interviewees in the Indiana Division of Forestry are aware of general aspects of past indigenous use of forests and resources, including hunting, gathering, and Wyandotte Chert which can be found in the Harrison-Crawford State Forest.

The Potawatomi tribe is the only federally recognized tribe that has land in the state. Existing groups are not known to be interested in gathering or using non-timber forest products from state forests. Any inquiries received would be responded to through normal processes. There is a policy and program for protecting all known historic and prehistoric archeological sites of potential significance, and most sites even if not significant and primary. Most known sites are historic (not tribal). Indiana Division of Forestry has contacted both local and federal tribes known to have been active in Indiana on two occasions, but not recently. Several responses were received but no concerns were voiced regarding the management of state forests.

### 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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Indiana Division of Forestry is a public landowner; this Performance Measure does not apply.

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

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

Notes: Indiana Division of Forestry is a public landowner; this Performance Measure does not apply.





---

## 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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not examined in 2019

---

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

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

Notes: Not examined in 2019

---

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

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

Notes: Not examined in 2019

---

### 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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not examined in 2019

---

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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not examined in 2019

---



## 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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: In 2018, DNR Forestry provided direct support to 14 research projects investigating the ecological effects of forest management on State Forests. All of this support went to researchers involved with the Hardwood Ecosystem Experiment (HEE, [www.heeforeststudy.org/](http://www.heeforeststudy.org/)), a long-term project based at Morgan-Monroe and Yellowwood. DNR Forestry provided support to nine graduate/post-graduate researchers in 2018, working on questions related to forest management and ecological impacts. DNR Forestry-supported researchers published eight articles in peer-reviewed scientific journals in 2018.

HEE accomplishments since 2006: 59 peer-reviewed research articles, 27 theses and dissertations, and six peer-reviewed extension publications and technical report collections.

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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: The Indiana Division of Forestry does not conduct research on genetically engineered trees.

### 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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: a. regeneration assessments: U.S. Forest Service’s FIA; and CFI (based on FIA) on state forests – one fifth of the plots are visited each year

b. growth and drain assessments: Jeff Settle contributes data to the US Forest Service’s primary processing survey (timber product output survey every five years by mill, county, and species. The last survey was in 2013).

c. best management practices implementation and conformance: BMP surveys done on Indiana State Forests (every harvest) and on private Classified Forest Land (10% sample)

d. N/A

e. social, cultural or economic benefit assessments: found in the Indiana Statewide Forest Assessment. Indiana Division of Forestry White Paper “[Forest Management and the Economy](#)”.



---

**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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

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

In addition, Purdue has produced a series of publications on how climate change will impact Indiana forests and one of the topics during the annual Division meeting was about climate change.

---

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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Confirmed by interview that Biologist Scott Haulton monitors the US Forest Service Clearing House Climate Change as well as the USGS bird atlas that monitors how climate change impacts birds. Also, one of the topics during the annual Division meeting was about climate change.

---



---

## 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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not examined in 2019

---

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

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

Notes: Not examined in 2019

---

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

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

Notes: Not examined in 2019

---

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

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

Notes: Not examined in 2019

---

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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not examined in 2019

---



---

## 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;
- 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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not examined in 2019

---

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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not examined in 2019

---

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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not examined in 2019

---



## 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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: There is no Indiana SFI Implementation Committee. The INDNR coordinates logger training events which involves 2 training events annually where usually all modules are offered, funds (via grants) the IN logger training program, and maintains the database.

The DOF annually participates in and supports the [Indiana Forestry Woodland Owners Association](#) that promotes forestry across the state and also supports the Indiana Forestry Educational Foundation which provides grants to land owners conducting forestry education events. Three DOF foresters are on the board.

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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: IN Division of Forestry has developed the [Logging and Forestry Best Management Practices Field Guide](#).

The Indiana State Forest Strategic Plan 2015-2019 contains a section on public education about forestry and conservation. A [new strategic plan](#) is being developed. The agency is involved in considerable outreach and education for forest landowners, including information on its website and numerous brochures located at the state park offices and trail kiosks.

The Indiana Division of Forestry website <http://www.in.gov/dnr/forestry/2845.htm> includes subpages or documents covering: getting help from a district forester, landowner grants and cost share assistance, tree planting, classified forests, and other topics.

DoF provided financial and in-kind support for the production of outreach/extension materials and a wildlife-oriented workshop tailored to private forest owners.

- “The Hardwood Ecosystem Experiment: 2006-2016”, developed by Purdue Univ. Extension [https://mdc.itap.purdue.edu/item.asp?item\\_Number=FNR-570-W](https://mdc.itap.purdue.edu/item.asp?item_Number=FNR-570-W)
- Woodland Wildlife Steward private landowner workshop (Purdue Extension and IN DNR): <https://www.purdue.edu/fnr/extension/calendar/woodland-wildlife-steward/>



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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: The state participates in the *Forest Legacy Program* but there hasn't been a candidate for about six years. The ranking process makes it difficult for projects in Indiana to get funded.

The Indiana Division of Forestry has an active land acquisition program. Most acquisitions are to acquire inholdings, although there are some purchases of larger blocks to expand forests. One example is the Deveny/Chute Farm which is about 400 acres that was sold to the State under a Life Estate arrangement. That means that the current landowner maintains the property until death and then ownership is transferred to the Division of Forestry. The purchase was made through funding from the Indiana Heritage Trust (funded by environmental license plates), the Bicentennial Trust (was a State trust), and a sportsman's group.

The Indiana State Forest Strategic Plan 2015-2019 states the following goal under the heading Land Ownership and Acquisitions: "Conserve important lands through strategic acquisitions, active resource management and boundary line management. Acquire 1,500 acres of lands of strategic and/or ecological importance to the long-term conservation of Indiana's working forests in partnership with non-governmental organizations, the Bi-Centennial Nature Trust, the Indiana Heritage Trust, and State Forest timber revenue."

## 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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: There are two Nature Centers/Forest Education Centers operated at state forests. A new welcome center with educational displays opened in May 2019 at the Morgan-Monroe State Forest headquarters. A forestry booth is set up at the Indiana State Fair. Property Newsletters and Annual Open Houses are important mechanisms to educate the public about sustainable forestry. Several forests have self-guided trails.

DoF provided financial and in-kind support for the production of outreach/extension materials and a wildlife-oriented workshop tailored to private forest owners.

- "The Hardwood Ecosystem Experiment: 2006-2016", developed by Purdue Univ. Extension [https://mdc.itap.purdue.edu/item.asp?Item\\_Number=FNR-570-W](https://mdc.itap.purdue.edu/item.asp?Item_Number=FNR-570-W)
- Woodland Wildlife Steward private landowner workshop (Purdue Extension and IN DNR): <https://www.purdue.edu/fnr/extension/calendar/woodland-wildlife-steward/>

The 2018 Division of Forestry Annual Report includes an EDUCATION/INFORMATION SECTION:

### PROJECT LEARNING TREE

A total of 24 professional development workshops were conducted across the state in 2018 by 16 facilitators, training 320 participants. Included was the Natural Resources Teacher Institute, in which 18 educators completed a week-long immersion workshop that focused on Indiana forests and forestry.

In 2018, Indiana PLT staff:

- Conducted two facilitator trainings and trained three new facilitators.
- Awarded Facilitator of the Year to Brian Plankis, environmental education consultant.
- Co-wrote article on PLT for The New Teacher Advocate, a publication of Kappa Delta Pi and facilitated sponsorship discussions between National PLT office and KDP.
- Conducted student programs on forests and forestry for more than 750 kids.



SIGNS, DISPLAYS, EXHIBITS

- Designed signs for Yellowwood and Jackson-Washington state forests and the Knobstone Trail:
  - Young Forest Demonstration Area
  - Yellowwood Storm Area
  - Knobstone Trail Southern Terminus
- Designed/worked with Communications on Morgan-Monroe State Forest Office:
  - Morgan-Monroe History Timeline (23 panels)
  - Wood Species Panels (21 species)
  - Forest Management: It's For the Birds
  - Working on tickets for 6 more displays/exhibits
- Additional educational signs were developed and installed across all state forest properties. For example, Benefits of Forest Management and Pine Conversion.

NATIONAL FFA FORESTRY CAREER DEVELOPMENT EVENT

- Led planning for field practicum portion of event, held at Morgan-Monroe State Forest.
- Developed and implemented activities including Tree ID, timber cruising, wood products ID, compass and pacing, team activity and team interview.
- A total of 40 state teams participated on Oct. 25.

**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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: There is no Indiana SIC, see below.

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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: The Indiana Division of Forestry has a system to track comments, including a database and a written summary. The division's web-site provides an e-form where the public can input a comment or concern. Public comment forms are available to visitors; most are filled out by recreation users.





---

**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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not examined in 2019

---

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

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

Notes: Not examined in 2019

---



---

## 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](http://www.sfiprogram.org)) for public review.

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

Notes: Confirmed the 2017, 2016, & 2014 Public Summary Reports are 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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Email on October 14, 2019 from Courtney Guillen confirmed timely response to the most recent survey.

---

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

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

Notes: Indiana Division of Forestry maintains records of all activities and correctly completed the annual progress report survey.

---

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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Report copies back to 2007 are on the DOF website.

---



---

## Objective 15 Management Review and Continual Improvement

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

### Performance Measure 15.1

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

Indicators:

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

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

Notes: System includes an annual management review that covers the SFI Program. It also includes an annual internal audit. Confirmed by a review of agenda that an annual review occurred October 3, 2019 and was attended by the management team including the State Forester, Assistant State Forester, Forest Certification Coordinator, Forestry Wildlife Specialist, Property Program Specialist, and Forestry Archaeologist. The review included a review of the internal audit findings, staff concerns related to certification, and 2019 certification audit schedule.

The process appears to be robust and effective.

This program is modest in size, with a very "flat" organizational structure, and has a remarkable degree of contact between the central office management and staff specialists and the property managers and resource specialists (foresters). Specialists in silviculture/operations, wildlife, and archaeology review every proposed activity and provide input on many projects. The system is highly effective at ensuring consistency of operations while allowing for needed variation based on local conditions.

---

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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Central office personnel review and approve projects, ensuring consistency and that senior management understands progress. For example, John Friedrich, Property Program Specialist reviews all proposed timber sales for completeness of paperwork and overall compliance and maintains overall timber harvest records. An audit of ten percent of 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.

Several examples arose during the audit that verified that the system is strong and works well. Potential issues that may have fallen through the cracks with a less robust system were caught early in the process and never became a problem.

---

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       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: System includes an annual management review which covers the SFI Program. It also includes an annual internal audit. Confirmed by a review of agenda that an annual review occurred October 3, 2019 and was attended by the management team including the State Forester, Assistant State Forester, Forest Certification Coordinator, Forestry Wildlife Specialist, Property Program Specialist, and Forestry Archaeologist. The review included a review of the internal audit findings, staff concerns related to certification, and 2019 certification audit schedule.

The process appears to be robust and effective.

Management team internal audit review of property John, Scott, AJ, Brenda, and Brad. Review files, review field sites, and interact with Property staff.

Management team meets to discuss the findings and then presents those to Jack.

---

(End SFI Forest Management Checklist)



## Appendix 4

Date: Wednesday, October 16, 2019 Auditors Schulte and McCarthy at Owen Putnam State Forest	
FMU / location / sites visited	Activities / notes
Owen-Putnam State Forest Office	Opening Meeting: Introductions, client update, review scope of evaluation, audit plan, intro/update to SFI, FSC and SCS standards, confidentiality and public summary, conformance evaluation methods, emergency and security procedures for evaluation team, final site selection.
Pleasant Grove Nature Preserve	The site was identified as a potential Nature Preserve because of its circumneutral seeps (pH very near neutral). It was designated about 3 or 4 years ago by the Division of Nature Preserves who maintain the preserve. There is an old cemetery immediately adjacent to the preserve that is not part of the preserve.  Discussion of EAB and gypsy moth.  The DOF Archaeologist described a number of the indicator species typically found around cemeteries and old homesteads.
Near horse campground	A summer intern assigned to Owen-Putnam was working on treating invasive species under the direction and applicators license of the Resource Specialist. In this area, multiflora rose was sprayed. The treatment seemed effective. The spraying was a linear strip along the roadside and dieback was visible. The chemical mix included a 2% rate of glyphosate.  The primitive horse campground is adjacent to an old home site and the spring now feeds a trough for the horses.
Haul road prepped for sale	In preparation for a sale being developed, a haul road was rocked and a culvert placed. The culvert drains headwall flow. The rocked area included a small, shallow ford. The channel was dry and, by all indications, carries only a small amount of water when flowing. An old landing from the last harvest (about 18 years ago) will be reused. There is a cultural site in the sale area that neighbors were concerned about so the staff Archeologist and the Resource Specialist met with the neighbors. The sale will be marked outside the burial site and it will be given a larger buffer in order to take advantage of natural boundaries (skid trail).  As is typical practice, the out of bounds area will be discussed during the preharvest meeting. Entrance to the future timber sale had a cable gate and signage.
Sale in C5T6 (SFI mandatory site)	114-acre harvest of individual and group selection. Improvement cut for declining yellow-poplar and ash. Goal to enhance oak, cherry, and walnut in the stand. Harvest was finished this summer. Sale closed out and BMP monitoring completed. Reviewed RMZ at the bottom of the sale. RMZ BMPs followed. Pre- and post-harvest vine control.  Discussion of use of Natural Heritage Database and mitigation for RTE species. Discussion on staff training and resources available to foresters. Mandatory training occurs at the annual division meeting. The DOF Wildlife Biologist sends out updates and new information directly to foresters in each state office.
C5T2 invasives treatment	Spot treatment by the summer intern for multiflora rose and <i>Ailanthus</i> . Used the sprayer on the ATV. Resource Specialist's chemical applicator's license observed. Access road had effective BMPs applied.  Boom spray and spot spray application with good effectiveness. Chemical mix was 2% glyphosate, 0.5% surfactant and 0.5% triclopyr.
Sale in C7T8 (SFI mandatory site)	81-acre harvest of selective thinning and improvement cut. Closed out 2017. Access was under powerlines. Power company requested that the yard be moved from under lines. Request was accommodated. BMPs applied on steep area down to ephemeral. Observed well marked boundary (in purple) with adjacent landowner. Five temporary bridge crossings were used to extract timber from this sale.



Sale in C8T9 (SFI mandatory site)	<p>71 areas marked and sold in spring of 2019. No work done yet. Large pine component. Observed snags, shagbark hickory, and den trees that were left unmarked for wildlife. Sale had a previously identified cultural site in it. As with all such sites, it was avoided.</p> <p>Discussion of snag policy and monitoring as well as goals for wildlife trees. Snag density is created either through leave trees or created through timber stand improvement. DOF has a target density across compartments.</p>
<b>Date:</b> Thursday, October 17, 2019 Auditor Schulte and McCarthy at Morgan-Monroe & Yellowwood State Forests	
<b>FMU / location / sites visited</b>	<b>Activities / notes</b>
Low Gap Nature Preserve	<p>One of the three Nature Preserves on Morgan-Monroe. There is no specific feature in this Nature Preserve – it could be considered an RSA. The Tecumseh trail, that is 42 miles long, runs through it. It is jointly managed with the Division of Nature Preserves. Most of the management is for invasives and prescribed burns.</p> <p>Discussion of the Nature Preserve system.</p>
C13 T2, 3, & 4 (SFI mandatory site)	<p>299-acre single tree selection in back country area. Salvage harvest from windthrow and mortality. One area of the sale has remnants of old apple orchards. Relocated the trail during harvest. Resource specialist laid out skid trails. Harvest was frequently inspected.</p>
C13 T2, 3, & 4 IN bat	<p>The Indiana Forestry Alliance did an “Ecoblitz” to collect inventory data on wildlife presence between 2014 and 2018. An Indiana bat maternity roost tree was located by radio tagging a bat that was caught during data collection. Tree was identified and retained. No felling of the roost tree and no felling of any neighboring trees that could fall onto the tree (within 2 tree lengths). Resource Specialist supervised felling of the tree closest to the roost tree. Bat restrictions applied to the sale.</p> <p>Invasive treatment was undertaken pre-harvest and post-harvest for Japanese Stilt Grass along skid trails.</p>
<b>Date:</b> Thursday, October 17, 2019 Auditor Schulte at Morgan-Monroe State Forest	
<b>FMU / location / sites visited</b>	<b>Activities / notes</b>
Gose Creek	<p>100-acre prescribed fire in spring 2019. Originally envisioned a 400-acre prescribed burn but it bordered the HEE control tracts, so they requested no burning adjacent. Goal to reduce the understory for oak/hickory. Burned sassafras, beech, sugar maple, spice bush. Had a good oak overstory and a good acorn crop last year so anticipate good oak regeneration. Plan to burn one more time before harvest.</p> <p>The AmeriCorps crew cut the fire lines for this and three other burn areas. Only had appropriate conditions to burn two of the four units this year. The burn plans are presented at the open house.</p>
C12 T5&6	<p>221-acre single tree selection with openings. Regen openings created by removing the Virginia pine and red pine that had been planted in old fields. Preharvest work to remove grape vines. TSI planned for openings. Observed marked boundary indicating opening. Cultural site buffer observed. Used a timber mat to cross the intermittent stream. Removed and bermed crossing.</p> <p>Discussion of policy regarding opening size.</p> <p>Discussion of community involvement in the form of Cliff Bar employees planting an opening. They will be back to do another planting this fall. Have had school groups out to do plantings. These are usually coupled with education programs.</p> <p>Description of experiment with fencing small planting areas ~ 4 acres.</p>
Old Far Road	<p>About an acre of Autumn olive was treated by the AmeriCorps group. Working under the Resource Specialist’s supervision and chemical applicators license. Used brush cutters and daubers.</p>



C13 T2	136-acre single tree selection. Sale closed March 2017. Has been sprayed for stilt grass post-harvest. Harvested remaining ash. Rerouted trail while sale was active. Minor rutting. Discussion of rutting policy.
C8 T8	60-acre hardwood improvement harvest. Marked and not yet offered for bid. Resource Specialist had the dozer cut a skid trail given the unusual layout. Marked for silviculture but also topography given the steeper slopes in some areas. Walked the sale to reviewed skid trial and marking.
<b>Date:</b> Thursday, October 17, 2019 Auditor McCarthy at Yellowwood State Forest	
<b>FMU / location / sites visited</b>	<b>Activities / notes</b>
Bear Wallow Tree Planting	4-acre afforestation site sponsored by the Clif Bar & Co Bakery. Site planted with a mixture of Red Oak, Walnut and White Oak that appeared to be establishing well. The site had an 8 ft fence to prevent deer access. The planting involved approximately 30 community members from the local Clif Bar Bakery.
C12 T8	Timber sale site that produced approximately 540,000 board feet. Boundaries were clearly marked and mapped. Orange paint was used to mark boundaries with private land owners. Good neighbor letters were sent to the adjacent property owners prior to harvest. No comments were received for this particular timber sale. Clear buffers were maintained on riparian zones where intermittent streams were mapped. The protected areas included rare plant values such as Yellow Lady Slippers. A section of the harvest was shut down as the contractor had deviated from the harvest plan and caused extensive rutting in the harvest machine. This was a good example of harvest supervision and taking the correct actions to remedy the issue. A number of Shagbark Hickories were retained, along with Yellowwood species. The Tecumseh trail was re-routed for the duration of the harvest, and signage outlined the detour.
Acquisition site – Girl Scout Camp	The acquisition was in excess of 300 acres in 3 parcels over the course of 10 years. The site includes a known Bat Roost Site. The State has plans to improve the site. Currently researchers have accommodations in the camp. There is scope to increase the recreation on site to include mountain bike access. In spring 2019, there was a 35-acre shelterwood harvest and burn. Discussion regarding Indigenous affairs and considerations. The Director of the Department of Natural Resources sits on the board of Indiana Native American and Indiana Affairs Commission. The DOF Archeologist liaises with the DHPA and attends meetings as necessary.
Cultural Site	Turn of the century Milk Barn. This was located within a mile of adjacent harvest tract. Site contained the plant indicator species such as periwinkle and spice bush. Discussion on soil probe and soil sifting prior to any disturbance to ensure no sites are archaeological significance are damaged.
C315 and C319	Two salvage harvest tracts adjacent to each other. The salvage harvest followed a 2017 storm. A small volume was extracted from a steep slope. Steep skid trail was well managed and the soil was largely undisturbed.
HCVF site - Yellowwood	591-acre site with a 20- and 30-acre section in the Nature Preserve. INDNR will harvest to manage the Yellowwood as it is a rare and imperiled tree. The work to date to release the saplings has shown a good response rate. Each of the 819 yellowwood trees in the area are flagged and put in GPS. Yellowwood are shade intolerant and much work is being undertaken at a research level to enhance the presence of this species. Hack and squirt chemical application was not considered so no collateral damage occurs through tree collapse.
AmeriCorps Restoration Project	60-acre section of forest abutting the roadway, whereby invasive species were extracted. The species included Autumn olive and burning bush. A good neighbor letter was sent to adjacent landowners on 10/31/18 notifying them of the invasive control.



<b>Date: Friday, October 18, 2019 Auditors Schulte and McCarthy at Greene-Sullivan State Forest</b>	
<b>FMU / location / sites visited</b>	<b>Activities / notes</b>
C1 T5 Gamball Lake	85-acre salvage sale/clearcut removal for highwall removal. Completed highwall reclamation. Highwalls are the steep vertical slopes/cliffs created by coal mining. Since these are human created hazards, they must be removed from the landscape. Funding comes from reclamation. Harvested spring 2017, followed by the highwall reclamation. The site is now completed. Slopes have been laid back, the lake has been restored (including adding fish structures and stocking with fish), the bare soil planted with grasses right after work and planted with trees mid-2018. Chipped the tops to incorporate organics into the bare mineral soil to rebuild the nutrients. Public education was necessary to gain support from the local community. INDNR conducted a number of open houses for the reclamation project.
C6 T8	Clearcut and single tree selection. Area has been harvested but no reclamation work has been done yet. That is slated for January 2020. The selective harvest area was marked as an improvement cut and general thinning to release trees. Saw the boundary marked between the clearcut and the single tree selection. The neighboring landowner wanted trees left at the top of the highwall. The request was able to be accommodated. Discussion of wildlife use in the area.
C7 T2	Highwall reclamation, just post reclamation. Has been planted with grasses. Slated to be planted with trees next year. This was an extra stop to show highwall projects in various stages.
C3 T6	61-acre shelterwood regeneration harvest. Only a portion of the tract was included in the sale due to inaccessibility, not being ready for harvest, and cultural site. Pine removed. The sale was marked by the previous Resource Specialist but the buyer never cut it. He released the sale to be resold. When it was re-marked the goal was to release the walnuts. Treated Ailanthus that was in the sale area.
Dugger Unit	Prescribed burn on about 100 areas to knock back invasives and induce regeneration. Goal to get rid of Autumn Olive. Recreation is the main use in the Dugger Unit. Fishing and birding. Birding is particularly good because of the diverse surrounding habitats (mature timber, lakes, and river).
Greene-Sullivan State Forest Office	Closing Meeting Preparation: Auditor(s) consolidate notes, deliberate, and confirm evaluation findings.
Greene-Sullivan State Forest Office	Closing Meeting: Review preliminary findings (potential non-conformities and observations) and discuss next steps.
<b>Date: Tuesday, October 22, 2019 Auditor Schulte at Francis Slocum (FSSF) and Salamonie River (SRSF) State Forests</b>	
<b>FMU / location / sites visited</b>	<b>Activities / notes</b>
Deveny/Chute Farm	About 400 acres that was sold to the State under a Life Estate arrangement were the current landowner maintains the property until death and then ownership is transferred to the Division of Forestry. The purchase was made through funding from the Indiana Heritage Trust (funded by environmental license plates), the Bicentennial Trust (was a State trust), and a sportsman's group.
Frances Slocum State Forest	FSSF is situated along the dammed Mississinewa River. Army Corps of engineers maintains the dam. There is a horse trail day use parking lot to access the horse trails that are maintained in FSSF.
FSSF C2 T1	The area has previously been harvested in 1986. A future sale is being planned. Review of Nature Heritage database has been conducted as well as the cultural review. A cultural site will be avoided with a 100' buffer. Seep area will receive buffer. The planted walnut is not doing



	<p>well in the area with all walnut. Improvement cut in mixed hardwood stand. Thinning of the over-mature red and white pine. Perennial streams greater than 40' wide get a buffer of 200' which will apply to the Mississinewa River. Some invasives present. Observed property boundary.</p>
Salamonie River State Forest	<p>SRSF has a primitive family campground and a horse campground that is maintained in conjunction with horse groups. There was a portable CCC Camp 1933-1936 in Salamonie. No full structures remain, just a few foundations.</p> <p>Areas of SRSF have been planted with Conservation Reserve Program funds. A harvest about 10 years ago removed ash at the beginning of the decline.</p>
SRSF C1T3	<p>121 acres of natural hardwood forest and pine plantation. Improvement cut/thinning. Marked not sold. Will remove some of the pine planting. However, will leave white pine along gorse trail. A group petitioned the Natural Resources Commission to transfer this property and FSSF to State Parks. In July 2018, the Commission unanimously denied the petition.</p> <p>The Forest Archaeologist reviewed the landings. Invasive treatments have occurred. Steep slope down to intermittent was avoided. There was a walnut research area that will be harvested. The research is over and the walnuts are declining. Observed buffer along Salamonie river and mapped intermittent. Winter only harvest with frozen ground.</p>





Appendix 5



### Sustainability Audit Attendance Sheet

Company Name Indiana Department of Natural Resources Division of Forestry  
Location Owen-Putnam State Forests October 16, 2019  
Type of Audit Surveillance  
Opening Meeting Date October 16, 2019 Closing Meeting Date October 18, 2019

Name	Position	Attended Opening Meeting?	Attended Closing Meeting?
John Friedrich	Property Program Specialist	yes	
Scott Haulton	wildlife biologist	yes	
Bill Gallogly	Property Manager	yes	
BRENDA Huter	Forest Stewardship Coordinator	yes	
Brad Schneek	Assistant State Forester	Yes	
Rob Duncan	Forest Resource Specialist	yes	
AJ Arrens	Forest Archaeologist	yes	
John Seifert	State Forester	yes	



### Sustainability Audit Attendance Sheet

Company Name Indiana Department of Natural Resources Division of Forestry  
 Location Morgan-Monroe and Yellowwood State Forests October 17, 2019  
 Type of Audit Surveillance  
 Opening Meeting Date October 16, 2019 Closing Meeting Date October 18, 2019

Name	Position	Attended Opening Meeting?	Attended Closing Meeting?
BRAD SCHNECK	Assistant State Forester		
AG Anims	Forest Archaeologist		
Mike Jones	Forester 3		
John Se: Fort	State Forester		
Daniel Potts	Assistant Property Manager		
DARREN BRIDGES	Property Manager		
Michael Spalding	Resource Supervisor		
Phil Jones	Resource Specialist		
John Friedrich	Property Program Specialist	yes	
Scott Haulton	Wildlife Specialist	yes	
Ciara Mc Carthy	SCS		
DAVID RAMEY	PROPERTY FORESTER		
Heather Zengler	Assistant Property Manager		
BREWSTER HUBER	Forest Stew. Coord		



## Sustainability Audit Attendance Sheet

Company Name Indiana Department of Natural Resources Division of Forestry  
 Location Greene-Sullivan State Forests October 18, 2019  
 Type of Audit Surveillance  
 Opening Meeting Date October 16, 2019 Closing Meeting Date October 18, 2019

Name	Position	Attended Opening Meeting?	Attended Closing Meeting?
BRAD SCHNECK	Assistant State Forester		✓
BRENDA Abten	<sup>Forest</sup> Stewardship Coordinator		✓
John Friedrich	Property Program Specialist		✓
Jack Cearley	Resource Specialist		✓
Scott Haulton	wildlife specialist	yes	✓
Jack Seifert			✓
AJ Ariens			✓



