

## **Bureau Veritas Certification North America, Inc.**

### **SFI Audit Report**

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Company Name Maine Bureau of Parks and Lands

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PQC Code E01E

Contract Number: US.1071418

Certification Audit: Re-Certification

Audit: Surveillance: (#2)

X Audit Summary

### **Introduction**

A second surveillance audit of Maine Bureau of Parks and Lands (hereafter referred to as MBPL) SFI program for forestland management was conducted by Matt Tormohlen (BVNA Lead auditor) and James Colla (BVNA audit team member) on November 4-8, 2013 for the purposes of recommendation for continued certification.

### **Audit Scope, Objectives and Process**

The scope of the audit is "Management of Maine Public Lands". The audit was conducted against the SFI 2010-2014 Standard. During this surveillance audit, the following indicators were reviewed; 1, 2.1, 2.3, 2.4, 3, 5, 6,17, 18, 19, 20. There was no substitution or modification of indicators. Specifically, two objectives of the SFI audit were to verify that the Program Participant's SFI Program is in conformance with the SFI Objectives, Performance Measures and Indicators, and verify whether the Program Participant has effectively implemented its SFI Standard program requirements on the ground. Standard Bureau Veritas Certification protocols and forms were applied throughout the audit as provided by the most recent version of the Bureau Veritas Certification SFI Auditor Handbook available on the auditor access website (*File Vista.*)

### **Audit Plan**

The audit consisted of two days on-site review of documented policies, 2012/2013 harvest volumes, N/C's issued during last year's surveillance audit, progress on adequate and desirable regeneration classification and research and training involvement at MBPL's field office in Bangor, ME. An additional eight days (four/auditor) were spent evaluating field sites in the northern region of the MBPL ownership. A copy of the audit plan was provided to the client 30 days prior to the audit and is filed at the Bureau Veritas, NA office, available upon request.

### **Company Information**

The MBPL is a public government organization, managing the state of Maine public land holdings. This certification is limited to its approximately 605,000 acres owned and managed by the Lands Division (does not include Park acreage, which is excluded from the scope of this certificate) throughout Maine. The timberland discussed in this certification is composed of a variety of cover types, predominantly; 40% mixed hardwood/softwood, 31% softwoods and 29% hardwood. Mixed hardwood/softwood (northern hardwood species and balsam fir/red/white spruce) stands are managed

according to the dominant species in the individual stands. Softwood stands (balsam fir/red spruce) are managed on an even aged basis, with emphasis towards old growth characteristics. Hardwood stands are managed using single tree selection to produce un-even aged stands of mature hardwoods.

In addition, hardwood stands are also managed through creation of regeneration gaps of various sizes (1/10 – 1/3 acres) in an effort to reduce the beech component and encourage regeneration of other mid-tolerant species. Small areas of hardwood cover types are being managed to create a more suitable environment for Maple Sugar leases. This is accomplished through a modified thinning from below to create a more evenly spaced stand with a narrowed variance of stem diameters. Species composition of these cover types include sugar maple, red maple, beech, basswood, W. & Y. birch, ash and a component of red oak. The remaining cover types included in this ownership are aspen and non-productive cover. The over-arching management goal across the ownership is to maintain the visual appeal of a “wild” and un-managed forest while still providing a steady revenue stream from the forest resource.

## **Audit Results**

The audit began with an opening meeting where audit objectives and scope were discussed along with field sampling and confidentiality. The auditors reviewed MBPL management records and record keeping systems; documents, policies and procedures; and internal management controls. Field activities were evaluated by examining 11 sites in the North region where silvicultural, road and stream crossing activities have been implemented since the last audit in 2012.

### *On-site visits*

A variety of different silvicultural and road/crossing construction and maintenance activities were evaluated. Within the Northern region, activities completed by four different foresters were reviewed to ensure consistent implementation of management plan objectives. Conformance to the management plan objectives, applicable state/federal laws and ME BMPs were evaluated at each site.

### SITES AUDITOR DATE DESCRIPTION

Oxbow N421

Tormohlen 5 Nov., 2013

This stand was an approximately 240 acre mixed wood (R. spruce/R. maple/S. maple) marked thinning. The original prescription developed in 2008 was modified prior to harvest to address the increased mortality of mature trees. This mortality issue had been further exacerbated by a recent “straight-line” wind event.

Minor rutting had been noted by the forester and adequately addressed. Fixed head processing equipment was required to minimize residual tree damage. All roads and landings planted to clover for wildlife enhancement.

Scopan

Eagle Lake – windthrow salvage

Eagle Lake – east end

Colla 5 Nov., 2013

Intermediate cutting units inspected. 2.5 mile new road construction. BMPs in conformance, well stocked stands of desired species. Wet areas protected. Trees were marked to cut, peer reviewed prescription. Excellent protection of residual trees during harvesting. Contract logging service (CLS) contract. Site shut down during wet conditions. Logging contractors CLP qualified; had first aid and spill kit on site. Well informed with respect to meeting and implementing BPL objectives. Trail head and recreational trail also constructed, very popular. BPL to seek permanent ROW.

Blowdown from June 2013 tornado, 120 ac impacted. Salvage logged. Quickly built spur road and were harvesting within a month. Two small stream crossings (culverts) well installed, RMZs protected. Eagle Lake visual considered, very minor impact; advance regen present throughout. BMPs and regulations in conformance. Stumpage contract.

Intermediate cutting units inspected. No new road construction, access through Irving. BMPs in conformance, well stocked stands of desired species. RMZs and wet areas protected. Trees were marked to cut, peer reviewed prescription. Excellent protection of residual trees during harvesting, heavy to cedar. Eagle Lake visuals considered; no impact. Four year stumpage just complete. Site shut down during wet conditions.

T15R9 Deboullie Township  
T13R12 Round Lake  
OBF Round Pond  
Chase Brook Bridge  
Tormohlen/Colla 6 Nov., 2013

5 miles of new road construction in Deboullie TWP determined well implemented specifications for main haul roads (crowned surface, solid aggregate, widened ROAs, stabilized cut banks and proper drainage installations.) Crossings of classified trout streams were crossed with 4" "squash" pipes with approaches effectively stabilized to prevent erosion, ROA narrowed and culverts placed at proper depth to allow for fish passage.

30' bridge Installation across Chase Brook was in process at the time of this audit. The location was chosen to replace poorly located and unsafe existing bridge down-stream. Installation had been suspended due to wet weather. Construction area around the bridge had been stabilized prior to removal of machinery.

All harvest sites were mixed wood (conifer/hardwood) and demonstrated well planned skid trails (oriented and flagged to minimize visual disturbances), effective implementation of the silviculture prescriptions and adaptive sale-set up activities to address micro-sites within the harvest unit. Haul roads and landings were well placed and remediated/seeded post-harvest.

Outcome Based Forestry (OBF) site consisted of complete removal of all stems >1", with the exception of 1-2 Y. birch/acre to act as seed source. The location was selected due to the large beech component and the planned outcome was to reduce the beech component and encourage other mid-tolerant species to dominate the regenerating stand.

Bald Mtn.  
T7R12 Chamberlain Lake/Indian Pond  
T6R11 Telos  
Tormohlen/Colla 7 Nov., 2013

Harvest sites were either mixed wood or conifer dominated. Both stand types were marked for thinning and demonstrated effective field implementation of the silviculture prescriptions. Fixed head processor requirements minimized residual tree damage and protected advanced regeneration. Skid trails on excessive slopes (>30%) were well stabilized with waterbars, terrain breaks and cross drains. Several ephemeral drain crossings had been stabilized with slash and cleared and remediated after harvest.

Two miles of road construction was well implemented, complied with ME BMPs and met industry standards for main haul roads. SMZs established along intermittent streams were adequately sized and identified with flagging.

Lynx noted in prescription, no impacts. Harvest timing and skid trail orientation to avoid noise pollution and aesthetic issues in Alagash Wilderness Waterway.

### *Certified land area (updates)*

See below table for change in ownership. The addition (11,785ac) in the West region is comprised of the addition of the Crocker Hill parcel which is adjacent to the Bigelow Preserve (Mt. Abrams Township.) This parcel was purchased in July, 2013 from Plum Creek. The added acreage is natural forest and is incorporated into the management plan of the Bigelow Preserve. There exists an additional ~46,930ac difference from the original land area stated on the 2011 transfer audit report. This difference is the result of updating ownership acres using GPS/GIS data versus utilizing the original deed records. Additionally, three parcels were purchased in late 2011/2012 and are described below:

\_ Tumbledown Mountain: 10,000ac

\_ Amherst Parcel: 4,985ac

\_ Seboeis (added to south end of existing Sebo unit): 5,714ac

All added acreage is natural forest comprised of native species and is incorporated into the regional management plan which it is located in.

### **FMU Acres Acre Change from 2012**

West 260,000 + 11,785

East 157,000 0

North 188,000 0

Total 605,000 + 11,785

There has been no turnover of key personnel, with the exception of one forester in the West Region.

### *Sustainable Harvest Level*

The organization is in the planning process of increasing its harvest levels. The current AAC of 141,500cords includes a logistics discount of approximately 15% (removes volume that is not realistically able to be harvested either because the volume grows in stands not economically feasible to be harvested or volume that is too far from current access roads.) MBPL states that "other land managers who use spatially explicit models and logical economic constraints" find logistics discounts of between 10-15%. Since they are currently at the conservative end of that range, they propose to reduce that discount to 10%, which would add an additional 9,500cords/yr, increasing AAC to 150,500. The MBPL also suggests that current net growth/ac/yr numbers are conservative by 0.1-0.2 cords/ac/yr and that growth rates on their property is approximately 18% higher than statewide averages. MBPL also has reviewed their timber/acre volume and how much they "should" be carrying. They currently have 23cords/aca cross the ownership and have compared this to privately owned forests and decided on a future desired stocking of 21.5cords/ac. This would amount to an increase of 600,000cords of harvestable volume, which is planned to occur over 20years (30,000 additional cords/yr.) The proposed 21.5cords/ac/yr is a reduction of approximately 6.5% and would bring per acre volumes back to stocking densities present on the ownership 10 years prior.

### *Stakeholder consultation*

Several stakeholders have voiced concerns surrounding the increased harvest level which MBPL is aware of and is working towards addressing. The final proposal of increased harvest levels for the next 20 years must be approved by the legislative committee of jurisdiction (Agriculture, Conservation and Forestry Committee) in a presentation by the bureau which is open to the public (tentatively scheduled for March, 2014.)

This issue will be further reviewed by this Certification Body once MBPL has finalized its proposal and is in the implementation stage. The organization has stated that maintaining 3<sup>rd</sup> party forest certification is essential in implementing this increased harvest level.

### *Research*

Financial support provided by MBPL. In addition, Tom Charles is on the Cooperative Forestry Research Unit, advisory panel. This panel addresses topics from Cooperators (landowners and sawmills) who pay in on a per acre or per ton basis and bring current and relevant issues to the panel who decides if they will fund research to address these issues. Current research includes determining thinning regimes in post bud worm stands which are ready for commercial thinning. Additional research includes forest fragmentation, lynx and deer yard habitat requirements throughout N. Maine.

### *Green-up Requirements*

The only clear-cutting completed by the organization is part of Outcome Based Forestry. One unit (Round Pound – T13R12) had several 20-25 acre clear-cuts. The organization continues to operate well within the Green Up requirements set forth by this standard.

### *Chemical use*

The organization has targeted Japanese knotweed, Barberry and non-native honey suckle for herbicide treatment prior to harvest. These invasive plants are treated prior to harvest so that when the stand is harvested, the invasive are not released to compete with desired regeneration. The following chemicals and rates were applied since the previous surveillance audit:

- Imazapyr (72oz on 5 acres) in the Pineland Parcel (West region, Cumberland County.)
- 40 ac old field restoration project for wildlife (Days Academy): 100 stumps treated with 20oz of Triclopyr after harvest to prevent suckering. West Region (east side of Moosehead.)

### **Findings**

#### **Previous non-conformances:**

The organization was issued two non-conformances during last year's surveillance audit. Both nonconformances were effectively addressed and closed by the organization.

#### **Non-conformances:**

The organization was issued two minor non-conformances during this surveillance audit. See attached SF02.

#### **Opportunities for Improvement:**

##### **OFI #1 (PM 1.1, Indicator 1)**

Consider additional emphasis on applicable SFI indicators during planning processes surrounding the increased harvest level.

#### **Notable Practices:**

N/A

**Logo/label use:**

The organization does not currently utilize the SFI or BVC logo, but reserves the right for use of these logos should customers/client request.

**SFI reporting:**

During this audit verification of the SFI website was completed to ensure that the previous audit report was submitted and posted. The previous two reports were not present on the SFI website. See non-conformance attached.

**Conclusions**

Maine Bureau of Parks and Land continues to implement and manage an SFI program in Maine which meets the requirements of the SFI 2010-2014 standard for Land Management. A recommendation for immediate continuation of the organizations SFI certification was issued at the closing meeting.

**Surveillance Audit Schedule**

The renewal audit should be scheduled for November, 2014.

**SEE SF61/SF71 FOR AUDIT NOTES****Summary of Audit Findings:**

Audit Date(s): From: 4 Nov., 2013 To: 8 Nov., 2013

Number of SF02's Raised: Major: 0 Minor: 2

Is a follow up visit required: Yes No  Date(s) of follow up visit:

Follow-up visit remarks:

**Team Leader Recommendation:**

Corrective Action Plan (s) Accepted Yes  No Date: December 6, 2013

Proceed to/Continue Certification Yes No Date:

All NCR's Cleared Yes No  Date: December 6, 2013

Standard audit conducted against:

1) SFI LM 2010-2014 3)

2) 4)

Team Leader (1): Team Members (2,3,4...)

Matt Tormohlen 2) James Colla

3)

4)

5)

Scope of Supply: (scope statement must be verified and appear in the space below)

Management of Maine Public Lands

Accreditation's 1

Number of Certificates ANAB

Proposed Date for Next Audit Event

Date November, 2014

Audit Report Distribution

Mr. Tom Charles (MBPL): [tom.t.charles@maine.gov](mailto:tom.t.charles@maine.gov)

Melani Potts (BVNA): [melani.potts@us.bureauveritas.com](mailto:melani.potts@us.bureauveritas.com)

## **Clause Audit Report**

### Opening Meeting

#### Participants:

#### Discussions:

Matt Tormohlen (BVNA – Lead Auditor)  
James Colla (BVN – Audit Team)  
Tom Charles – Chief Silviculturalist\*  
Joe Wiley – Wildlife Biologist\*  
Tom Morrison – Director of Operations (Maine BPL)\*  
Will Harris – Bureau Director (Maine BPL)\*  
Chuck Simpson – Regional Manager\*  
Pete Smith – Regional Manager\*

- \_ Introductions
- \_ Scope of the audit
- \_ Audit schedule/plan
- \_ Nonconformance types – Major / Minor
- \_ Review of previous non-conformances – 2.
- \_ Process approach to auditing and audit sampling
- \_ Confidentiality agreement
- \_ Termination of the audit
- \_ Appeals process
- \_ Closing meeting timing

### Closing

### Meeting

#### Participants:

#### Discussions:

Matt Tormohlen (BVNA – Lead Auditor)  
James Colla (BVN – Audit Team)  
Tom Charles – Chief Silviculturalist\*  
Joe Wiley – Wildlife Biologist\*  
Tom Morrison – Director of Operations (Maine BPL)\*  
Will Harris – Bureau Director (Maine BPL)\*  
Chuck Simpson – Regional Manager\*  
Pete Smith – Regional Manager\*

- \_ Introductions and appreciation for selecting Bureau Veritas Certification.
- \_ Review of audit process - process approach and sampling.
- \_ Review of OFIs and System Strengths – 1 (OFI)
- \_ Non-conformances - 2
- \_ Date for next audit.
- \_ Reporting protocol and timing

**SF02/NA NONCONFORMITY REPORT**

**Company Name and Site:**

**SF02#:**

Maine Bureau of Parks and Lands

01-2013

**Contract #:**

**Type of audit (e.g., initial,**

**Team Leader:**

SFI LM SV#2

Matt Tormohlen

**Date:**

**Standard and Clause #:**

**Team Member:**

8 Nov., 2013

SFI 2010-2014 LM; PM19.1, Ind. 1

N/A

**Major**

**Minor**

**Other Documents (if applicable):**

**Company Representative:**

X

Tom Charles

**REQUIREMENT OF AUDITED STANDARD:**

19.1.1

- 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 the Program Participant that was audited, including its SFI representative;
  - d. A general description of the Program Participants forestland and manufacturing operations 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 certification was conducted and completed;
  - g. A summary of findings, including general descriptions of evidence of conformance and any non-conformities and corrective action plans to address them, opportunities for improvement, and exceptional practices; and

The certification decision.

**OBSERVED NONCONFORMITY :**

The organization has not provided to SFI a summary report from the last two audits.

**ROOT CAUSE ANALYSIS AND CORRECTIVE ACTION PLAN**

(To be completed by the Company. Plan to be submitted in 30 days)

**Corrective Action Plan**

**Company**

**Date:**

**Representative:**

**Root Cause Analysis and Corrective Action**

**Root Cause:** No public summary was received following the 2011 and 2012 audits (unlike earlier audits), and the Bureau failed to request or develop such reports.

**Corrective Action Plan:** The full 2011 and 2012 audit reports have been submitted to SFI for posting on their website. As of December 12, 2013, they have apparently not yet been posted.

**ROOT CAUSE AND CORRECTIVE ACTION PLAN ACCEPTANCE REPORT**

(To be completed by Bureau Veritas Certification – Verify effective identification of Root Cause and acceptance of Corrective Action Plan)

Root Cause:

Corrective Action Plan:

Plan Accepted:	Yes		No		Comments:	
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Auditor:		Date:	
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**CORRECTIVE ACTION IMPLEMENTATION**

To be completed by Company – Provide objective evidence. Not to exceed: 90 Days SFI, PEFC ; 1 year FSC ; other   Days

Corrective Action Completion Date:	11/12/13	Company Representative:	Thomas Charles
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**Corrective Action Implementation:** Submission of 2011 and 2012 full surveillance audit reports to SFI.

**Method used to verify effectiveness of action taken:** Checks of SFI website to see if the reports are posted.

**CORRECTIVE ACTION IMPLEMENTATION ACCEPTANCE REPORT**

(To be completed by Bureau Veritas Certification – Acceptance of Corrective Action taken)

Accepted:	Yes		No		Nonconformance Closed:	Yes		No	
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Follow Up Comments:

Auditor:		Date:	
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**SF02/NA NONCONFORMITY REPORT**

Company Name and Site:		SF02#:
Maine Bureau of Parks and Lands		02-2013
Contract #:	Type of audit (e.g., initial,	Team Leader:
	SFI LM SV#2	Matt Tormohlen
Date:	Standard and Clause #:	Team Member:
8 Nov., 2013	SFI 2010-2014 LM; PM20.1, Ind. 2	N/A
Major	Minor	Other Documents (if applicable):
	X	Company Representative:
		Tom Charles

**REQUIREMENT OF AUDITED STANDARD:**

System for collecting, reviewing, and reporting information to management regarding progress in achieving SFI 2010-2014 Standard objectives and performance measures.

**OBSERVED NONCONFORMITY :**

The organization completes monthly regional managers meeting which occasionally discuss SFI conformance issues. The organization currently does not have a developed system which specifically focuses on reviewing conformance with SFI objectives and performance measures.

**ROOT CAUSE ANALYSIS AND CORRECTIVE ACTION PLAN**

(To be completed by the Company. Plan to be submitted in 30 days)

Corrective Action Plan Date:		Company Representative:	
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**Root Cause Analysis and Corrective Action**

**Root Cause:** After conducting acceptable management reviews in 2007 and 2009, the Bureau did not do so in subsequent years.

**Corrective Action Plan:** The review will be scheduled for a regional managers' meeting in February, when year-end summaries are completed and can be part of the review.

**ROOT CAUSE AND CORRECTIVE ACTION PLAN ACCEPTANCE REPORT**

(To be completed by Bureau Veritas Certification – Verify effective identification of Root Cause and

acceptance of Corrective Action Plan)

Root Cause:

Corrective Action Plan:

Plan Accepted:	Yes	No	Comments:
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Auditor:	Date:
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CORRECTIVE ACTION IMPLEMENTATION

To be completed by Company – Provide objective evidence. Not to exceed: 90 Days SFI, PEFC ; 1 year FSC ; other  X Days

Corrective Action Completion Date:	Company Representative:
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**Corrective Action Implementation:** The scheduling of the management review for February 2014 has been communicated to those who will participate.

**Method used to verify effectiveness of action taken:** Recording of a summary of the review, to be sent to the lead auditor soon after the meeting at which it occurs.

CORRECTIVE ACTION IMPLEMENTATION ACCEPTANCE REPORT

(To be completed by Bureau Veritas Certification – Acceptance of Corrective Action taken)

Accepted:	Yes	No	Nonconformance Closed:	Yes	No
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Follow Up Comments:
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Auditor:	Date:
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