

# **FSC CERTIFICATION SYSTEM**

## **Initial AUDIT REPORT**

### **FOREST MANAGEMENT CERTIFICATION**

Report finalisation date: 28 February 2014

## **Maine Bureau Parks and Lands**

Forest location(s): Maine USA

Manager office address: 106 Hogan Road Suite 5  
Postal code: 04401 - Town: Bangor, ME - Country: USA  
Contact Person: Thomas Charles (tom.t.charles@maine.gov)

## **BUREAU VERITAS CERTIFICATION**

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\* For Lead auditor information, please refer to main audit / annual surveillance audit report

Initial audit date: 12-16 December 2011

Last surveillance audit: 4-8 November 2013

Certificate registration code: BV-FM/COC-017429

Certification date: 13 May 2012

Formerly SCS-FM/COC-00042N

Document ref.: PR017429 version 3.0

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## 1 - Description of the applicant forest entity

### 1.1 - General description and identification

**Forest Management company / manager(s) name:** Maine Department of Conservation, Bureau of Parks and Lands, Lands Division

Address: 106 Hogan Road Suite 5

Postal code: 04401

Town: Bangor, ME

Country: USA

Legal status: Public agency

Telephone: 207.941.4412

e-mail: tom.t.charles@maine.gov

Web site: www.maine.gov

Employees number: 50

Annual turnover: \$3,600,000

Commissioner Department of Conservation: Bill Beardsley

Director Bureau of Parks and Lands: William Harris

Contact person (responsible for FSC certification): Mr. Tom Charles

#### **Activity**

Type: Forest management

Detailed activity: forest management on 225,059 Hectares of public lands

The Maine Department of Conservation is composed of four bureaus; Bureau of Geology and Natural Areas, Maine Forest Service, the Land Use Regulation Commission and the Bureau of Parks and Lands. The Bureau of Parks and Lands manages 225,059 hectares of forest lands acquired through the *Lands for Maine's Future* program. Management of these "public reserved" lands is the responsibility of the Division of Lands within the Bureau of Parks and Lands (the Bureau or BPL). For the purposes of forest management the Bureau is organized into three regions (North, East, and West). The State holds all ownership rights to its lands, though all areas are open to public recreation activities.

The Public Reserved Lands are managed for multiple-uses under a "dominant use" system which ensures that sensitive resources such as rare plants and backcountry recreation areas are not disturbed by more intensive management activities. The mission of the Bureau is to improve the value of the public forests it manages. Bureau staffs develop long-term forest management plans and stand level silvicultural prescriptions. Partial harvest techniques are used to harvest and regenerate the forest. Harvest sales are normally sold "on the stump" with the purchaser being responsible for all harvesting and transportation costs. Harvest activities are monitored.

## 1.2 - Forest population(s) description

The Bureau of Parks and Lands manages 225,059 hectares (556,121 acres) of land throughout the state of Maine (Map 1). The regulated forest area of 137,381 hectares is managed for timber production. Unregulated areas account for 50,683 hectares. There are 12,714 hectares in nonforest lands.

### Forest(s) description

The State forests are made up of 40% mixedwood forest types, 31% softwood forests, and 29% hardwood forest. There are eighteen commercial tree species found on the lands managed by the Bureau. Almost 50,000 hectares of forest have been designated as High Conservation Value Forests.

Forest zone: **temperate**

The main commercial timber and non-timber species include:

- Red spruce (*Picea rubens*)
- Black spruce (*Picea marian*)
- White spruces (*Picea glauca*)
- Balsam fir (*Aibes balsamifera*)
- Eastern hemlock (*Tsuga Canadensis*)
- Northern white cedar (*Thuja occidentalis*)
- White pine (*Pinus strobus*)
- Red pine (*Pinus resinosa*)
- White ash (*Fraxinus Americana*)
- American beech, (*Fagus grandifolia*)
- White birch, (*Betula papyrifera*)
- Yellow birch, (*Betula alleghaniensis*)
- Red maple (*Acre rubrum*)
- Sugar maple (*Acer saccharum*)
- Northern red oak (*Quercus rubrum*)
- Trembling Aspen (*Populus tremuloide*)
- Largetooth Aspen (*Populus grandidentata*)
- Balsam Poplar (*Populus balsamifera*)

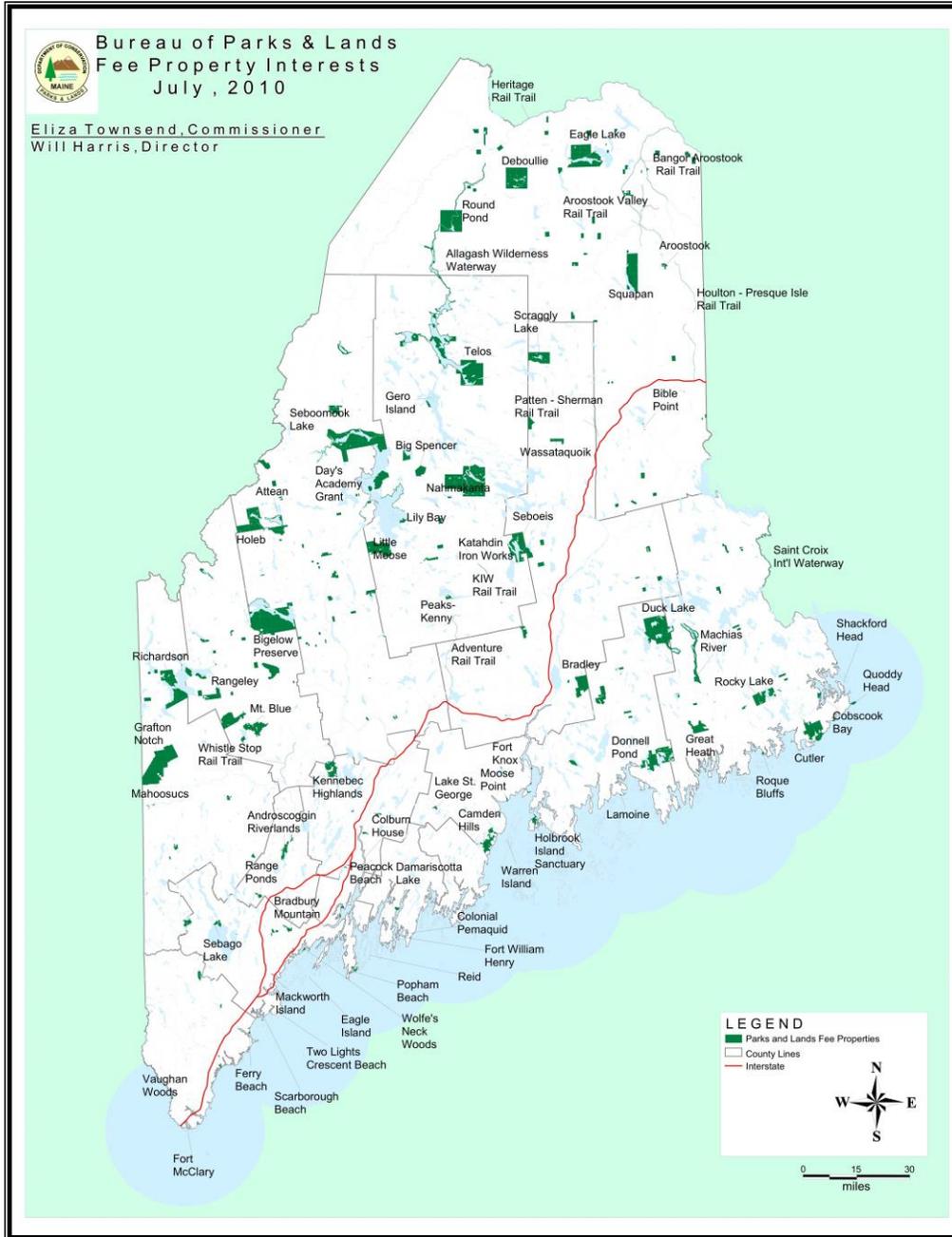
Dominating forest stand composition: 29% Hardwood

31% Softwood

40% Mixedwood

# FSC Forest Management Certification Recertification Audit Report

## Maine Bureau Parks and Lands



Map 1. Bureau of Parks & Lands.

Location of the forest:

- Latitude E/W: 44 degrees 19.05 minutes
- Longitude N/S: 68 degrees 44.26 minutes

Total audited forest area: **225,059 ha**, of which is:

- privately managed: 0 ha
- state managed: 225,059 ha
- community managed: 0 ha

- timber production forest: 137,381ha
  - classified as "**plantation**": 0 ha
  - regenerated primarily by **replanting** or by a combination of replanting and coppicing of the planted stems: 0 ha
  - regenerated primarily by **natural regeneration**, or by a combination of natural regeneration and coppicing of the naturally regenerated stems: 137,381 ha
- forest and non-forest land protected from commercial harvesting of timber and managed primarily for
  - conservation objectives: 0 ha
  - unregulated lands: 50,683 ha
  - non-forest lands: 12,714 ha
  - the production of NTFPs or services: 0 ha
- forest classified as "high conservation value forest": 49,966 ha

List of high conservation values present: Eco-reserves, RTE Habitats,

List of chemical pesticides used within the forest area, and reason for use: In 2011 the Bureau used both triclopyr and glyphosate to control unwanted vegetation. The major use was controlling roadside vegetation for safety purposes.

**Table 1. Chemical use on BPL forestlands in 2011**

<b>Commercial Name</b>	<b>Chemical</b>	<b>Volume (USG)</b>	<b>Acres</b>	<b>Ha</b>	<b>Comments</b>
Garlon 4 Ultra	triclopyr	6.6	8.5	3.4	Roadside veg control
Makaze	glyphosate	0.37	0.1	0.0	stumps treated
					150 stumps, 125 trees
Roundup	glyphosate	0.65	0.2	0.1	trees
Garlon 4 Ultra	triclopyr	1	2.5	1.0	veg control
Makaze	glyphosate	0.1	0.1	0.0	125 trees
Makaze	glyphosate	0.28	2	0.8	stumps
Makaze	glyphosate	0.12	0.5	0.2	veg control
		9.12	13.9	5.6	

List of product categories included in scope of joint FM/COC certificate and therefore available for sale as FSC-certified products: wood in the rough (W1.1) and wood chips (W3.1) of the following species; red spruce, black spruce, white spruces, balsam fir, hemlock, northern white cedar, white pine, red pine, white ash, American beech, white birch, yellow birch, red maple and sugar maple, northern red oak, trembling aspens, largetooth aspen, and balsam poplar

### 1.3 - Certification application type

Type of certificate: Single FMU

Total number of FMUs in the certificate scope: 1

Number of FMUs and forest area in scope that are:

less than 100 ha: 0 FMU that is 000 ha;

from 100 to 1000 ha: 0 FMU that is 000 ha;

from 1000 to 10 000 ha: 0 FMU that is 000 ha;

more than 10 000 ha in area: 1 FMU that is 225,059 ha.

meeting the eligibility criteria as SLIMF: 0 FMU that is 000 ha.

#### **1.4 - Forest management system and plan description**

State lands managed by the Bureau of Parks and Lands of the Maine Department of Conservation are managed with the objective of improving the value of the forest resource. This objective has led the Bureau to manage lands in such a way as to improve the condition of the forest rather than maximizing timber or revenue production. Multiple use management is a critical component of the bureau's approach with a heavy emphasis on non-motorized recreational activities.

The Bureau has a hierarchical planning system. The Integrated Resource Policy describes the agency's land base, authority for management, goals and objectives, and policies. Management plans are prepared for Sustainable Harvest Units, which are defined broadly within the 14 biophysical regions in the state. Sustainable Harvest Unit plans are developed using technical expertise at the State and the Bureau, and the general public. For each plan a Public Advisory Committee is established representing local, regional, and state interests. These committees serve as forums for discussion of draft plans. Public meetings are also held, providing interested parties an opportunity to comment on draft plans. Plans are prepared to demonstrate "*appropriate management practices that will enhance timber, wildlife, recreation, economic and other forest values*". After consideration of these comments, the Bureau then submits to the Commissioner of the Department of Conservation, upon recommendation by its Director, a final plan for adoption. The operational planning produces detailed compartment descriptions and prescriptions for management at the stand or compartment level..

The BPL's management is guided by the Integrated Resource Policy, first developed in 1985 and substantially revised in 2000. The document specifies the following objectives:

- Protect the public investment in the Bureau's natural and cultural resources, facilities, and infrastructure
- Offer opportunities for multiple uses when compatible with the protection and wise use of the resource;
- Manage renewable natural resources to ensure sustainability;
- Acquire and develop new resources that complement current holdings;
- Provide technical and financial assistance to our public and private partners to enhance the public benefits of the Bureau's programs;

- Offer recreational and education opportunities for all people;
- Ensure a high level of safety to minimize risks to people who work at or use lands and facilities managed by the Bureau;
- Achieve high levels of competence and job satisfaction among Bureau employees; and
- Earn and maintain the trust, confidence, and respect of our customers, partners, and fellow citizens of Maine.

Maine is the most forested state in the United States with 90% of its landmass in forest cover. Forests of red spruce, white spruce and balsam fir dominate the softwood forests managed by the Lands Division. Hard maple, yellow birch, American beech and red oak dominate its tolerant hardwood forests, while aspen and white birch make up the intolerant hardwood forests. A wide area of mixedwood stands of both softwood and hardwood are found on up to 40% of the landbase. Throughout the late 1970s and early 1980s the state experienced a heavy outbreak of spruce budworm which caused extensive throughout the northern and eastern regions of the state. Salvage harvests were undertaken through the infected areas. Much of the forests managed by the BPL contains large amounts of low-grade (pulp) material harvest strategies are in place to accelerate the harvest of low quality timber while improving stand composition.

Forest management on BPL lands relies uneven-aged management and partial harvesting systems to naturally regenerate forests of native species. Even-aged management and clear cutting are rarely used with average clearcut size being extremely small (e.g. 1 to 2 hectares). There are no forests areas that would be considered “plantations” under the definition used in Principle 10 of the US standard. Rotation ages are longer than average in the region ranging from 60 to 120 years. A 15 to 20 year cutting cycle is used in the uneven aged hardwood stands.

### 1.5 - Production and harvesting

During 2010 the Bureau sold 293,014 m<sup>3</sup> of roundwood, two-thirds of which was hardwood and the remainder being softwood (Table 1). All wood was FSC certified as FSC 100% (previously FSC Pure). The AAC for bureau lands is 276,468 m<sup>3</sup>/year (Table 2)

**Table 2. 2010 roundwood sales Maine Bureau of Parks and Lands.**

Species	Product nature	Produced quantity	Selling mode	FSC type
Softwood	Roundwood (W1.1)	99,869 m <sup>3</sup>	On the Stump	FSC 100%
Hardwood	Roundwood (W1.1)	193,145 m <sup>3</sup>	On the Stump	FSC 100%
Total		293,014		

Annual Allowable Cuts (AACs) were calculated by Sustainable Harvest Units and aggregated regionally and then to the state level. Forest inventory data developed and maintained by the state were used along with local management constraints to determine the AAC. Growth data is derived from the inventory and crosschecked with the federal Forest Information Analysis data.

Comparing growth and the AAC one sees that the total AAC is 76% of growth, with only intolerant hardwoods having an AAC in excess of growth. Average harvest rates were 70% of growth. The harvest of hardwood fibre has exceeded the AAC and forest growth, this is part of a strategy to undertake improvement harvests in decadent stands of hardwood. This has accelerated the removal of lower grade pulpwood and opened stands up for future growth of quality products.

**Table 3. Maine Bureau of Parks and Lands Growth and Harvest.**

Type	Net Growth (m <sup>3</sup> )	Harvest Target AAC	Average Harvest 07-10	AAC/ Growth	Harvest/ growth
Spruce- Fir	216,577	134,912	79,380	62%	37%
Pine	8,258	4,597	5,628	56%	68%
Hemlock	16,541	8,352	5,141	50%	31%
Cedar	7,994	6,379	2,896	80%	36%
Softwood	249,370	154,241	93,045	62%	37%
Tolerant Hardwood	95,736	92,405	141,236	97%	148%
Intolerant* hardwood	19,771	29,823	19,521	151%	99%
Hardwood	115,507	122,227	160,756	106%	139%
All Wood	364,877	276,468	253,801	76%	70%

\*Tolerant hardwoods are shade tolerant hardwoods such as maple and beech. Intolerant hardwoods are shade intolerant and require full sunlight to thrive species such as Aspen, poplar, and white birch. Tolerant hardwoods are managed with partial removal systems such as selection and shelterwood, intolerants are managed through clearcutting.

Approximate annual biologic production: 364,877 m<sup>3</sup>/year

Approximate intended harvesting volume (annual allowable cut (AAC)): 276,468 m<sup>3</sup>

Approximate annual harvesting rate (AAC / total available volume): 76%

Approximate annual biologic production softwoods: 249,370 m<sup>3</sup>/year

Approximate intended harvesting volume (softwoods AAC): 154,241 m<sup>3</sup>

Approximate annual harvesting rate softwoods (AAC / total available volume): 62%

Approximate annual biologic production hardwoods: 115,507 m<sup>3</sup>/year

Approximate intended harvesting volume (hardwood AAC): 122,227 m<sup>3</sup>

Approximate annual harvesting rate hardwoods (AAC / total available volume): 106%

Approximate annual commercial production of non-timber forest products included in the audit scope, by product type: Maple Syrup???

## **2 - Legal, administrative and land use context**

The Maine Conservation Department's Bureau of Parks & Lands', Lands Divisions management of forestlands is subject to a wide array of local, state, and federal guidelines and regulations. The principal regulations of greatest relevance to forest managers in the State of Maine include the following statutes:

- Endangered Species Act
- Clean Water Act
- Forest Resources Conservation and Shortage Relief Act
- National Resource Protection Act
- National Environmental Protection Act
- National Wild and Scenic River Act
- Occupational Safety and Health Act of 1970
- Archeological and Historic Preservation Act
- National Historic Preservation Act
- Native American Grave Protection and Repatriation Act
- Land and Water Conservation Fund Act of 1965
- Americans with Disabilities Act
- Rehabilitation Act
- Architectural Barriers Act
- Maine Revised Statute Annotated (M.R.S.A.), Title 12
- Maine Forest Practices Act
- Maine Forest Service Rules, Chapters 20, 21
- Maine Land Use Regulation Commission Laws and Statutes, Ch. 10
- Maine Land Use Regulation Commission, Comprehensive Land Use Plan
- Maine Endangered Species Act
- Maine Natural Resources Protection Act
- Shoreland Zoning Act
- Erosion and Sedimentation Control Act
- Protection and Improvement of Water Act
- Maine Human Rights Act
- M.R.S.A. 30, An Act to Implement the Maine Indian Claims Settlement
- M.R.S.A. 26, (Labor, various)
- M.R.S.A. 27, (History, Culture and Artifacts)

County and local regulations, especially those related to road use and scenic viewsheds, can have a significant impact of forest management and operations. A significant portion of the BPL's forestlands are subject to regulation through the Maine Land Use Regulation Commission (LURC). The Commission has land use regulatory jurisdiction over unregulated areas because they have no form of local government to administer land use controls at the local level. LURC rules and standards cover a number of areas including policies covering timber harvesting, deer yard management, and erosion control on logging jobs, roads, and water crossings. LURC permits are required for certain activities within certain designated protection zones (i.e., wetlands, fish/wildlife zones, and aquifer protection areas).

Maine also has a set of forest practice regulations, enforced and administered by the Maine Forest Service. These regulations require that the Forest Service be notified of all commercial timber harvests, and that areas and volumes harvested be reported annually. All clearcuts over 5 acres require separation zones; clearcuts over 20 acres must have a silvicultural justification on file; clearcuts over 75 acres require prior review by the Forest Service and more detailed management plans. The Bureau normally does not allow clear cuts greater than 20 acres. The Endangered Species Act influences forest management as protection is necessary for all listed species, such as the golden eagle, various species of anadromous salmonids, and, most recently, the Canada Lynx. Under both pieces of legislation, there is a focus on long-term management.

### **3 - Other activities**

#### **3.1 - Description of the activities**

Not applicable

#### **3.2 - Potential Impact on forestry**

None

## **A. Initial Audit**

### **4 - Base of evaluation**

#### **4.1 - Composition of the audit team**

**Lead auditor:**

- Brian Callaghan RPF, Lead Auditor, FSC FM qualified auditor on behalf of Bureau Veritas Certification. Twenty-eight years professional experience specializing in forest planning, quantitative modelling, forest operations, and valuations.

**Auditors:**

- Rick Larkin CWB, FSC FM qualified auditor on behalf of Bureau Veritas Certification. More than 20 years experience as a professional biologist with experience in habitat conservation planning, habitat management, and forest operations
- Jim Colla, FSC FM qualified auditor and Bureau Veritas Certification employee. Thirty years of professional experience in the areas of compliance monitoring, and forest operations.
- Matt Tormohlen, possible structure, FSC FM qualified auditor Bureau Veritas Certification employee.

Experienced in land and timber management, tree-marking, and chain of custody.

(cf. CV of the audit team members, appendix A).

## **4.2 - Previous audits**

### **4.2.1 - Summary of previous audits and their conclusions**

The Bureau of Parks and Lands has been certified by Scientific Certification Systems for the previous five years to certificate SCS-FM/COC-00042N. At the time of the recertification there were no outstanding Corrective Action Requests and the Bureau's certificate was valid and in effect.

### **4.2.2 - Answers to the prior upgrade actions requests**

Not applicable

## **4.3 - Forest management referential used for the initial audit**

For this initial audit, we referred to the checklist (ref. SF03 FSC US Forest Management.doc) extracted from the US national standard for forest management (FSC US Forest Management Standard v.1.0).

This last version has been updated the date and is available on the website [www.FSCUS.org](http://www.FSCUS.org) or on request to Body.

Filled in checklists of the auditors are available in Appendix C.

## **4.4 - Referential adaptation and stakeholders comments**

No adaptations were needed as the national standard provided by FSC-US was provided.

# **5 - Information collecting modalities**

## **5.1 - Description of the audit program**

The audit was conducted over a five day period from December 12<sup>th</sup> to 16<sup>th</sup> 2011. An opening meeting was held on the morning of December 12<sup>th</sup> at the BPL regional office in Bangor Maine. The opening meeting covered the standards being used, auditor protocols, confidentiality, and a review of the schedule. Tom Charles of BPL gave an overview of the Lands Division, the landbase, and forestry program. Final site selection occurred after the opening meeting. The auditors spent 3.5 days in the field examining management practices on BPL lands. The auditors broke in to two groups; one covering the West Region and East Region and the other covering North Region East Region.

**FSC Forest Management Certification  
Recertification Audit Report  
Maine Bureau Parks and Lands**

AUDIT SCHEDULE			
Person	Time	Place	Activity
<b>Dec. 12, 2011</b>			
Callaghan Larkin Colla Tormohlen	7 :30 am	TBD	Preparation meeting of the audit team
Callaghan/Colla	8:30 am	BPL Offices	Opening Meeting
Tom Charles	9:00 am	BPL Offices	State to present; Forestry background, Departments role, Resource Management Issues, and Safety
Audit Team	10 :00 am	BPL Offices	Document review & Finalize Site Selection
Audit Team	12 :00 pm	BPL Offices	Auditors may examine sites in. East Region
Audit Team	5 :00 pm	BPL Offices	Daily Debriefing
<b>Dec. 13, 2011</b>			
Audit Team	7 :00 am	BPL Offices	Gather for field visits
Callaghan/ Colla	8 :00 am	Field Sites	Field visits in East Region
Larkin/Tormohlen	8 :00 am	Field Sites	Field Visits in West Region
Audit Team	5 :00 pm	Offices	Daily Debriefing
<b>Dec. 14, 2011</b>			
Audit Team	7 :00 am	Offices	Gather for field visits
Callaghan/Colla	8 :00 am	Field Sites	Field visits in North
Larkin Tormohlen	8 :00 am	Field Sites	Field Visits West
Audit Team	5 :00 pm	Offices	Daily Debriefing
<b>Dec. 15, 2011</b>			
Audit Team	7 :00 am	Offices	Gather for field visits
Callaghan/Colla	8 :00 am	Field Sites	Field visits in North & East
Larkin Tormohlen	8 :00 am	Field Sites	Field West
Audit Team	5 :00 pm	Offices	Daily Debriefing
<b>Dec. 16, 2011</b>			
Audit Team	8:00 am	BPL Offices	Final Document Review and Interviews.
Audit Team	1:00pm	BPL Offices	Finalize audit results

AUDIT SCHEDULE			
Person	Time	Place	Activity
Audit Team	2:00 pm	BPL Offices	Closing Meeting – audit findings, CARs, next step, confidentiality and appeals.
Audit Team	3:00 pm		DEPART

The total person days spent on the re-certification evaluation included 20 days onsite and 4.5 days offsite.

### 5.2 - Documents review

Integrated Resource Policy (Maine BPL)  
Sustainable harvest Calculations  
Silvicultural Advisory Committed Minutes  
Stumpage Permit (Generic)  
Equal Employment Opportunity/Affirmative Action Policy  
Eastern Interior Region Management Plan (2009)  
Northern Aroostook Management Plan (2007)  
2010 Annual Report for Public Reserved, Non-reserved & Submerged Lands  
Ecological Reserve Monitoring  
Prescription Review & Multiple Use Coordination Reports  
Stand Prescriptions  
Resource Situation & Management Recommendation Reports.  
Harvest Crew Evaluation Reports  
Compartment Maps  
Timber Sale Evaluations

### 5.3 - Interview(s) of involved people met

- Manager(s):
  - Mr. Tom Charles – Chief of Silviculture
  - Mr. Verne Labbe – Regional Manager. North Region
  - Mr. Chuck Simpson – Regional Manager Eastern Region
  - Mr. Pete Smith – Regional Manager Western Region
- Employee(s):
  - Ms. Nicole Drisko - Office Associate Eastern Region.
  - Mr. Doug Reed - Forester I Eastern Region
  - Mr. Marc Albert – Forester I Western Region
  - Mr. Jay Hall - Forester I Eastern Region

- Mr. Rocco Pizzo – Forest Technician Eastern Region
- Mr. Eric Nosel - Forest Technician Eastern Region
- Mr. George Ritz - Forester I Eastern Region
- Tyler McIntosh -
- Mr. Dave Pierce - Forester I Northern Region
- Mr. Randy Lagasse - Forest Technician Northern Region
- Mr. Don Kidder - Forester I Northern Region
- Mr. Marc Dechene - Forester I Northern Region
- Mr. Ed Dube - Forest Technician Northern Region
- Mr. Chet Condon - Forester I Northern Region
- Mr. Jacob Guimond - Forester I Northern Region

**5.4 - On-site visit(s)**

Field visits were undertaken to 18 sites distributed across the three regions and covering the range of both forest types and operations. Auditors inspected each site to ensure that the proposed silvicultural prescription was employed and the results were acceptable. Auditors examined harvest sites paying special attention to site disturbance and residual stand damage. Throughout the audit auditors were shown and visited a variety of forest recreation sites including boat launches, campsites, and shelter locations.

**Table 4. Field sites visited during the audit.**

REGION	Location	Acres	Ha	Observations
NORTH	Deboullie C-1	327	73	Intermediate cutting units inspected. New road construction. Best practices employed in compliance, well stocked stands of desired species. Trees were marked to cut, however BPL typically does not butt mark. Small patch cuts (<4 ac.) in beech stands to convert to desired species. Excellent protection of residual trees during harvesting.
NORTH	Round Pond C-123	1,587	355	Intermediate cutting and OSR units inspected. New road construction. BMPs in compliance, well stocked stands of desired species. Trees were marked to cut, however BPL typically does not butt mark. High value tree cut that was most likely not intended to be removed. Small patch cuts (<4 ac.) in beech stands to convert to desired species. Excellent protection of residual trees during harvesting.
NORTH	Eagle Lk, C-7,12,13	583	130	Intermediate cutting units inspected. New road construction. Best practices employed in compliance, well stocked stands of desired species. Trees were marked to cut,
NORTH	Telos, C-303	176	39	Patch clear-cuts 5 ac or less. Moved road to avoid vernal pool. Protected potential bear den site during harvest. No Residual stand damage, no site issues

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REGION	Location	Acres	Ha	Observations
NORTH	Scopan, T10R4 C-5	220	49	Intermediate cutting units inspected. New road construction. BMPs in compliance, well stocked stands of desired species. Trees were marked to cut, however BPL typically does not butt mark. Excellent protection of residual trees during harvesting. Contract logging service (CLS) contract. Interviewed logger (trucker). Completed a trip ticket and explained trip ticket policy.
EAST	Bogan Brook C-5	258	58	Hardwood stand being managed with single tree selection to produce an all-aged stand. No site damage issues and no residual stand damage. Tree butts are not marked so it is hard to tell if proper trees are cut. Inconsistent with other sites. No stream crossings. trails minimized.
EAST	Nahmakanta C-29,30,33	789	176	Aspen clear cuts (<4ac) and Hardwood selection cutting. Trees marked for removal, Covers portion of a deer yard. Old growth characteristics remain.
EAST	Duck Lake fire types	999	223	Extensive HCVF with a multitude of habitat types that includes old growth, historic portage trail within the HCVF. Interviewed stakeholder, owner of Nicaous Lodge; very complimentary of BPL efforts with respect to recreation and resource management activities.
EAST	Bradley C-45	256	57	WP seed tree unit and intermediate cuttings units inspected. New road construction and bridge installation. BMPs in compliance, well stocked stands of desired species. Excellent protection of residual trees during harvesting.
EAST	Tunk/Donnell C-49	231	52	Interviewed logging contractor, CLP qualified; had first aid and spill kit on site. Well informed with respect to meeting and implementing BPL objectives. Interviewed logging contractor, CLP qualified; had first aid and spill kit on site. Well informed with respect to meeting and implementing BPL objectives.
EAST	Plt 14	122	27	
WEST	Richardson 148,151	130	29	Partial harvest improvement cut, no site damage, no residual stand damage, trails widely spaced, No BMP issues. Good Job
WEST	Sandy Bay	235	53	Selection cut in hard maple no stand damage Part of Area being managed for maple syrup. More than 14,000 taps have been set. Stand is health and vigorous.
WEST	Bigelow C-205,06,11	285	64	Overstory removal and hardwood selection/thin. Appear to lack a procedure for assessing renewal success after harvest. No issues
WEST	L.Moose C-448	82	18	X-country trail protected, Appalachian trail buffers on to site. Temporary bridge removed and remediated. Skid trails well protected. Clean harvest
WEST	L.Moose C-449,50	860	192	X-country trail protected, Appalachian trail buffers on to site. Temporary bridge removed and remediated. Skid trails well protected. Clean harvest

REGION	Location	Acres	Ha	Observations
NORTH	Scraggley Lake	368	82	Intermediate cutting units inspected. New road construction. BMPs in compliance, well stocked stands of desired species. Trees were marked to cut, however BPL typically does not butt mark. Excellent protection of residual trees during harvesting. Interviewed MFS FPA compliance inspector. Stated reports are only sent to inspected party upon request or if a corrective action is needed. Reports full compliance on BPS units.

### 5.5 - Stakeholders identification and consultation

Stakeholders were first identified during preparations for the audit and formally consulted prior to the initial audit November 11, 2011.

Letters were set to 93 local, regional and national stakeholders. Replies were received from five interested parties. Additionally we interviewed four stakeholders during the field audit. A complete list of consulted stakeholders is available in Appendix E. All comments received were very favourable to the Bureau.

We received comments prior to the initial audit from the followings:

- Forester – Landvest
- Dean Young Forestry
- Jr. - Executive Director - Maine North Woods
- Procurement Manager – SAPPI
- Forester – Hennington Brothers

During this audit we interviewed the followings:

- Proprietor/Owner Nicaous Lodge
- Logger
- Forester, Main Forest Service
- Logger

### 5.6 - Other evaluation techniques

None

### 5.7 - Initial audit closing meeting

A closing meeting was held on December 16<sup>th</sup> at 3:00 pm at the Eastern Region offices of the Department of Conservation, Bureau of Parks and Lands in Bangor Maine. The lead auditor thanked the Department for their assistance in the audit. Audit findings were discussed including positive and negative findings. Six corrective action requests were issued during the closing meeting all were

classified as minor. The lead auditor outlined the next steps in the recertification process.

## **6 - Audit team observations**

The Lands Division of the Bureau of Parks and Lands manages the forest under its care are being well managed. Silvicultural practices are less aggressive than many of their neighbours, as the State relies on natural renewal and partial harvesting systems to achieve its forestry goals. The Bureau's emphasis is not solely on timber production but rather on improving the value of the public forest. The Bureau's emphasis on public recreation and providing quality opportunities to the public are commendable. The Bureau monitors its operations and those of all contractors very closely. A few weaknesses were evident from the audit but all were minor and will be easily corrected.

### **6.1 - Evaluation results with reference to the FSC referential / standard**

#### **6.1.1 - Principle 1 – Compliance with laws and FSC Principles**

As a public agency the Bureau must adhere to all rules and regulations that apply to it. In a review of the records and interviews with outside agencies no issues of non compliance were found. The Lands Division of the BPL has been operating in compliance with all state and federal laws. The Maine Forest Service has not issued a notice or complaint against BPL forestlands in more than three years.

The Bureau actively monitors its lands to ensure unauthorized activities are limited. Gates are used where necessary to control motorized access. Property boundaries are remarked on a five-year cycle.

The FSC US Standard (Criteria 1.6.a) requires that "*The forest owner or manager demonstrates a long-term commitment to adhere to the FSC Principles and Criteria and FSC and FSC-US policies, including the FSC-US Land Sales Policy, and has a publicly available statement of commitment to manage the FMU in conformance with FSC standards and policies.*" No evidence of a written long-term commitment to adhere to the FSC Principles was observed. A minor corrective action request was raised (**CAR 4**)

#### **6.1.2 - Principle 2 – Tenures, use rights and responsibilities.**

Maine's Public Reserved Lands are managed for a variety of resource values including recreation, wildlife, and timber. Lands have been secured over the past thirty years and were either purchased by or deeded to the State as part of the Lands for Maine's Future program. Public use-rights are associated with providing recreational access and opportunities.

Acceptable uses are defined in law and are identified and implemented through the management planning process.

No tenure disputes were noted during the audit and the site inspections. The Bureau has a detailed public comment process which seeks to resolve issues at the local level whenever possible. As a public agency any formal complaints or disputes are subject to laws and administrative regulations of the State of Maine.

#### **6.1.3 - Principle 3 – Indigenous people’s rights**

There are four tribes in the State of Maine.

- Houlton Band of Maliseet Indians
- Aroostook Band of Micmacs
- Penobscot Indian Nation
- Passamaquoddy Tribe of Maine

None have a material or traditional claim on the properties held by the Bureau. The Bureau protects known Native American sites and traditional access. They preserve and protect native trails where they occur. The auditors visited a traditional canoe portage connecting Indian communities which is maintained by the Bureau.

The Bureau undertakes detailed surveys in areas with a high potential for encountering aboriginal and other heritage site as defined by the Maine Heritage Museum. Discoveries are revealed to and discussed with the relevant tribe.

#### **6.1.4 - Principle 4 – Community relations and worker’s rights**

The Bureau provides for significant local economic benefit. Its forests produce timber which harvested by local loggers and sent to local mills. Their forests also provide key recreational resources for four season tourism through, hunting, fishing, camping, hiking, snowmobiling, canoeing, and viewing. Local businesses rely on both the loggers and the tourist for the bulk of their incomes.

As a public agency managing public lands BPL is charged with evaluating a number of social impacts in their planning processes. Public input is part of any project scoping process is required. Stakeholder lists are maintained by the regional offices. Any evaluations and resulting on the ground related activities are well documented in the various planning documents noted.

Maine's Public Reserved Lands are statutorily managed for a variety of resource values including recreation, wildlife, and timber. Stakeholder consultation and public input is required in the decision making process.

Part of the reason for consultation is to identify any potential disputes or deleterious actions.

Most of the contractors are Maine Contract Logging Professional (CLP) trained. During field inspections three logging crews were encountered all had the required personal safety equipment and spill kits were in evidence.

The Stumpage Permit (sale contract) contains no definitive reference related to safety requirements. Contractor qualifications related to implementing the plan is not specified (**CAR 5**).

#### **6.1.5 - Principle 5 – Benefits from the forest**

The lands managed by Bureau's Lands Division provide for an array of benefits to the citizens of Maine. These lands provided timber for the state's important forest products' industries. They provide a large number of high quality recreation opportunities and they support the development of NonTimber Forest Products such as maple syrup and balsam tips.

The Bureau operates on a self-sustaining budget. All profits made from timber harvesting, recreational and other natural resource management activities are retained by the Bureau. The Bureau maintains a significant contingency fund to buffer cash flow constraints.

Licensed Foresters flag and limit the majority of skidding routes. Weekly inspections occur and evaluate any stream crossings, roads, skid trails and landings to ensure that soil erosion and compaction is minimized and residual stand damage is minimized. Contractors evaluated and scored on performance at the end of every job.

The Bureau has done an excellent job of diversifying the use of its natural resources and recreational activities, including; implementing sugar bush leases and monitoring their use according to third party "organic" standards, accommodating smaller contractors in harvesting firewood volume for Maine's Low Income Heating Assistance Program (LIHAP), balsam tip harvesting, maintained bear baiting sites, utilizing spring water resources (Solon Springs) and alder harvesting permits for basket weaving.

The determination of the Annual Allowable Cut (AAC) level is key to defining sustainable harvest levels for a forest. The Bureau utilizes an iterative approach using both area and volume regulation. Using the latest inventory data each sustainable harvest unit identify the area and age of stands in each of the 8 major forest types. Forest types are assigned into a silvicultural system, either single aged or multi-aged. Rotation ages and cutting cycles are set which dictate the available harvest area. This provides on the ground allocations. Volume regulation is modelled using

the WOODSTOCK model. A variety of growth and yield data is used to refine stand projections while constraints are placed on the volumes and areas available for harvest. This analysis generates a range of alternatives based upon the current plan and is used to verify the area-based harvest calculation.

#### **6.1.6 - Principle 6 - Environmental impact**

The management philosophy of the Maine Bureau of Parks and Lands has been to use a “light touch” forestry which minimizes environmental impact. Silvicultural prescriptions are set for each individual forest stand. The Bureau has a strict clear cutting limit of 20 acres (8 ha) and undertakes selection or shelterwood harvesting in most stands. As part of the process of developing compartment prescriptions, BPL assesses the potential environmental impacts of their planned activities. The Bureau develops and implements prescriptions to maintain and/or restore long-term ecological functions.

The Bureau has received data from the Maine Natural Areas Program and other agencies on rare, threatened and endangered (RTE) species and communities, special habitat management areas, HCVMs and cultural resources. If any RTE species or communities are located in a compartment in which management activities are planned, BPL takes appropriate actions to protect or enhance the species or communities habitat. The silvicultural prescription develops appropriate actions to protect and or enhance these areas during management activities.

The Bureau regenerates virtually all stands naturally and is managing many uneven-aged stands. Compartment descriptions are based on the health of the existing stands, species and community types. The Bureau manages stands to produce older forests. BPL generally initiates prescriptions designed to maintain and enhance mid to late successional forest types. This practice provides assurance that representative habitat types are present across the landscape and will be maintained as such.

All management activities are designed to meet multiple use objectives and to protect and enhance identified benefits and uses of state lands. Such protection is detailed in prescription reviews and implemented in the field, multiple examples were observed. Buffer zones, seasonal road use limitations, equipment restrictions, and individual tree marking are commonly employed in the field. Prescription reviews include written recommendations from wildlife biologists and other technical experts.

Site reports are utilized to document inspections and best management practice (BMP) compliance. In addition, the Maine Forest Service conducts independent BMP inspections. Interviews with Maine Forest Service staff confirmed the Bureaus compliance with BMPs. No evidence was found of accelerated soil erosion on any of the sites visited. Mechanical harvesting was being used throughout the operations visited. Logging debris and slash was being scattered in the forest and on designated trails to limit site damage and spread nutrients back on the site.

Transportation systems on BPL lands are well established and managed as a comprehensive system to meet multiple use objectives. A road inventory and maintenance program is in place. Several examples observed where roads had been upgraded to replace culverts and rock roads. A major bridge was constructed across the Allagash River under a cooperative effort of private and public entities.

It is State policy *“to avoid the use of herbicides in its timber management seeking instead to accomplish management goals by silvicultural design”* (IRP). The state only uses chemicals where there are no other effective options. It is policy to use the least toxic and persistent chemicals when the use is needed. The Bureau will serve as a model to other state agencies and the private sector regarding minimum pesticide use.

Maine's Public Reserved Lands are statutorily established and managed for a variety of resource values including recreation, wildlife, and timber for the citizens of Maine. Conversion to non-forest uses is generally prohibited. No conversions to non-forest uses or plantations observed on any of the sites visited. The Bureau does not plant either genetically modified organisms or exotic species.

#### **6.1.7 - Principle 7 – Management plan**

As previously mentioned the management planning system for BPL forest lands is hierarchical. The supreme policy document is the Integrated Resource Policy which sets the objectives of management and is the basis for the management plans. Forest management plans are prepared for Sustainable Harvest Units that cover a variety of parcels within an ecoregional context. Finally, silvicultural prescriptions are prepared for stands and/or compartments providing the operational direction for treatments.

The management plans for the SHU contain information on geology, forest landscapes, fisheries and wildlife, history and culture, recreation resources, timber resources and conservation values. Resources within each property (tract) are described in detail. Plans are developed by an interdisciplinary team and with the assistance of citizens committee.

Each plan has a “planning context” section which describes land use and past use. Current and future conditions are described for each tract within the SHU. Management objectives are broadly stated in Integrated Resource Policy and are more specifically described in the plans.

Allowable harvest rates are determined by SHUs based upon stand level prescriptions and harvest entry schedules. Allowable cuts are developed based on forest type data drawn from the forest inventory. Regulation has been traditionally through area control, but has more recently allowed for both area and volume control. Harvest rates have been accelerated in the hardwood types to remove decadent and overmature aspen and birch as well as low grade hardwoods. This is being done to increase the growth in these stands and improve the forest growing stocks.

Planning process includes a variety of public input options including review of the draft plan. Final plan reflects changes coming from public input. All SHU plans are available on the state website.

In 2007 the Integrated Resource Policy was amended to extend the timeframe of management plans from 10 to 15 years. This revision was undertaken to better align the planning cycle with the harvest cutting cycles. Unfortunately the policy conflicts with the FSC standard which requires “*At a minimum, a full revision (of the plan) occurs every 10 years.*” A corrective action was issued (**CAR1**)

#### **6.1.8 - Principle 8 – Monitoring and assessment**

The Maine Bureau of Parks and Lands’ has a comprehensive monitoring framework in place covering all aspects of their forest management.

All ongoing site activities are regularly visited and inspected for contract compliance components. However, BPL does not produce consistent inspections reports of ALL management operations; some units are not completing any harvest inspection forms, some are completing only final contractor evaluation forms, some inspection forms contain different scoring techniques. In addition, no monitoring is conducted post-harvest in terms of determining harvest prescription effectiveness (i.e. desired stocking levels/composition). A minor corrective action request was issued. (**CAR 6**)

BPL recently completed an entire cruise of the ownership, according to all criteria and is in the process of implementing the results into harvest levels and management plans. The process for future cruises is a 20%/year, with the entire ownership being inventoried on a 5 year basis. BPL tracks all harvested products on a job basis from the site to the mill using truck tickets

Catastrophic loss from natural events is very rare and limited. Most loss is incidental due to insect and disease mortality. Qualitative monitoring of stand conditions is ongoing, should risk from pest outbreaks need mitigation, foresters will adjust annual harvest plans accordingly to capture mortality or otherwise mitigate the outbreak. No wide spread activities from large scale losses were observed on any of the sites visited. The Duck Lake unit has recovered from a catastrophic fire in the 1930's

Log purchase agreements are executed with the purchasing mill. BPL uses a truck ticket system to denote FSC load; the ticket (with its unique identity number) stays with the load from the harvest site to the purchasing mill. A logger was witnessed completing a trip ticket. The trip ticket does not contain the claim. The trip ticket does not contain the updated version of the promotional panel. A minor corrective action request was issued (**CAR5**).

#### **6.1.9 - Principle 9 – Maintenance of high conservation value forests**

The State of Maine has a long history of preserving the State's natural heritage. *"Ecological Reserves are state-owned lands specifically set aside to protect and monitor the state's natural ecosystems. Established in 2000 through an act of the Maine Legislature As specified in the legislation, the purposes of the Reserves are (Public Laws of Maine, Second Regular Session of the 119th, Chapter 592):*

- *to maintain one or more natural community types or native ecosystem types in a natural condition and range of variation and contribute to the protection of Maine's biological diversity,*
- *as a benchmark against which biological and environmental change may be measured, as a site for ongoing scientific research, long-term environmental monitoring and education, and*
- *to protect sufficient habitat for those species whose habitat needs are unlikely to be met on lands managed for other purposes."*  
<http://www.maine.gov/doc/nrimc/mnap/reservesys>

Today the State has 33,185 ha of eco-reserves defined and protected. Additionally a further 17,000 ha of forests have been designated as HCVFs outside of the eco-reserves, these areas include unique habitat or stand types, and RTE sites. Data was provided covering the individual HCVFs and their classification. Current HCVFs are not classified consistent with the definitions provided in the FSC US forest management standard (**CAR2**).

Monitoring of the Eco-reserves has been occurring in collaboration with the Nature Conservancy. Monitoring of the remaining HCVF has been informal

and lacks documentation. The auditors issued a corrective action request seeking documented annual inspections of the HCVPs (**CAR3**).

**6.1.10 - Principle 10 - Plantations**

Not Applicable

**6.2 - Systematic presentation of results**

See auditor checklists in Appendix C of the report.

**6.3 - Identification, traceability and monitoring of products**

Roundwood is primarily sold on the stump in Maine by the Bureau through an open bidding process. These stumpage sales give the right to harvest roundwood on a particular site to the highest bidder. The stumpage holder then organizes the harvesting and hauling of the timber. Ownership of the wood is transferred at the stump.

A small amount of timber is harvested under contract to the Bureau whereby the Bureau retains ownership until the wood arrives at a mill. Under this type of arrangement the Bureau uses a load ticket system to attach each load to harvest area.

**6.3.1 - Description of the implemented systems to ensure the traceability**

The traceability system employed by the BPL is based upon the stumpage contract, which identifies the FSC claim (FSC 100%) and the certificate number of the Bureau. This contract gives buyers all rights to harvest timber in a sale area, in compliance with the silvicultural prescription for the stand(s).

**6.3.2 - Description of the final location of taking in charge**

Stumpage holders take control and ownership of the roundwood at the stump.

**6.3.3 - Description of the documentation or of the marking system**

The stumpage contract defines the resource being harvested and identifies the FSC claim and certification number. Sales purchased by FSC certified companies will be accompanied load tickets identifying the buyer's certificate number and the FSC claim.

**6.3.4 - Evaluation of the mixing risk**

There is a very low risk that BPL roundwood would be mixed with other roundwood. Loads from a stumpage sale can only contain wood from that sale mixed loads are not permitted.

#### **6.4 - Elements subjects to controversy**

None identified.

### **7 - Scope retained for the certification**

Forest management on 225,059 ha of public forestland

#### **7.1 - Geographical limitation at the level of the entity**

Public lands in the state of Maine under the management of the Lands Division of the Bureau of Parks and Lands of the Maine Conservation Department.

#### **7.2 - Limitation at the level of the forest products**

Softwood and hardwood roundwood and woodchips

### **8 - Proposals regarding the certification decision**

#### **8.1 - Explication on all rating, weighting systems or other systems used decisions taking**

The audit team did not use any rating or weighting system to conduct the initial audit.

#### **8.2 - Clear description of all recommendations and conditions associated to the certification decision**

None issued

#### **8.3 - Minor Corrective Action Requests**

Seven minor corrective action requests were issued during the audit. They are

<b>N°</b>	<b>Minor corrective action requested</b>	<b>Proposed date of implementation</b>	<b>Requirement number</b>
<b>01</b>	Revise the Integrated Resource Policy to require management plan revision every 10 years.	Next Surveillance Audit	FSC US FM v1.0 7.2.a
<b>02</b>	Classify the current HCVFs into the six categories listed in the standard.	Next Surveillance Audit	FSC US FM v1.0 9.1.a

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N°	Minor corrective action requested	Proposed date of implementation	Requirement number
03	Implement a program of HCVF monitoring which is undertaken annually, documented, and includes all HCVFs.	Next Surveillance Audit	In referential / checklist
04	Develop a written commitment to adhere to the FSC Principles and Criteria and other required FSC Policies, and should make the commitment statement publically available.	Next Surveillance Audit	FSC US FM v1.0 1.6.a
05	Revise stumpage contracts to include safety provision and contractor qualifications related to the standard.	Next Surveillance Audit	FSC US FM v1.0 4.2.b
06	Modify trip tickets to include FSC claim (FSC 100%) and either update the logo to the new promotional logo or eliminate the logo. Implement with the next order for trip tickets	Next Surveillance Audit	FSC US FM v1.0 8.5.a
07	Ensure that a consistent monitoring program of management activities is in place, including evaluation of the effectiveness of the harvest prescription (i.e. desired stocking levels/composition.)	Next Surveillance Audit	FSC US FM v1.0 8.1.a

CAR01 – During a review of the Integrated Resource Policy it discovered that management plans will be revised on a 15 year planning cycle. This plan length coincides with the cutting cycle length used on many hardwood and mixedwood stands in the state. The FSC US standard requires that plans be revised every ten years or less. This CAR was considered minor because the planning system is robust and plans are internally reviewed every 5 years, additionally no plan has as yet passed become 10 years old or older.

CAR02 – The HCVFs currently on the forest reflect the classification standard from the previous standard (FSC USNE) and are not consistent with the current standard. HCVFs shall be classified using the system in the FSC US Forest Management Standard v1. This CAR was classified as a minor because it simple reporting adjustment.

CAR03 – During field visits it became apparent that HCVF monitoring is done informally without consistent written reports. The ecological reserves are monitored biannually. HCVF monitoring needs to be standardized and documented. This CAR was treated as minor because it is an adjustment brought on by changes in the new US standard, actual monitoring is happening just not at the new frequency requirement and in some cases HCVF monitoring was not being consistently documented.

CAR04 – During a review of policy documents including the Integrated Resource Policy it was apparent that there is not written commitment by the BPL to adhere to the FSC Principles and Criteria and other required FSC Policies. Such a

commitment statement is required by the standard. This CAR was classified as minor since the Bureau currently embodies an obvious commitment to FSC principles; it only lacks the written commitment.

CAR05 – Based upon a review of the standard stumpage (sales) contracts it was discovered that there was no mention of safety requirements or contract qualifications. The stumpage contract needs to be revised. This CAR was classified as a minor because it simple documentation adjustment.

CAR06- Trip tickets used on contracted harvest operations have not been updated to reflect changes to the FSC Claims and trademarks. The trip tickets need to be updated. This CAR was classified as a minor because it simple adjustment and affects only a small proportion of the wood harvested on the Bureau lands.

CAR07- Based upon observations in the field and review of a variety of documents it was apparent that monitoring activities, though largely the same, were being inconsistently delivered. Additionally, few post-harvest renewal assessments were being undertaken. The Bureau will have to improve its monitoring efforts. This CAR was classified minor as effective monitoring is occurring for all activities, though inconsistency in frequency and reporting exists between the regions.

#### **8.4 - Major Corrective Action Requests**

None Issued

#### **8.5 - Proposal of conclusion on whether the candidate entity achieved or not the required level of conformance**

The Lands division of the Bureau of Parks and Lands operates an effective forest management program on the lands it manages. With a goal of increase the value of lands they manage it was apparent to the audit team that forest values are increasing. A number of minor corrective actions were issued related to monitoring, planning and HCVFs. The Bureau has been certified for ten years and based upon the findings of the audit certification should be continued for another five years.

### **9 - Certification Decision**

The wood and forestry Certification Committee has met the 28th of February 2012 and pronounced the following deliberation:

Deliberation: Following the examination of the initial audit report referenced “AR120205US FSC FM IA State of Maine v10 [13 02 12].doc”, Bureau Veritas Certification decides to award a FSC FM/COC certificate to the Maine Department of Conservation Bureau of Parks and Lands.

This certificate issued has a validity of 5 years under the condition that the Maine Department of Conservation Bureau of

Parks and Lands. satisfies to the 7 minor Correctives Action Requests in due time, as specified in the report, prior to the next audit.

**Issued February 5, 2012, reviewed February 13, 2012, finalised March 13, 2012**

**FSC FM Certification Manager,**

**Lead Auditor,**



**Vincent Pele**

**Brian Callaghan**

## B. Surveillance audit n° 1

### 10 - Base of evaluation

#### 10.1 - Date of the surveillance evaluation

5 November – 9 November, 2012

#### 10.2 - Composition of the audit team

- Lead auditor:** - Matt Tormohlen, FSC FM qualified auditor on behalf of Bureau Veritas Certification, independent consultant. Lead auditor trainee.
- Auditors:** - Brian Callaghan, FSC FM qualified lead auditor on behalf of Bureau Veritas Certification, independent consultant.

#### 10.3 - Forest management referential used for the surveillance audit

No changes on the referential used since previous audit.

### 11 - Information collecting modalities

#### 11.1 - Description of the audit program

AUDIT SCHEDULE			
Person	Time	Place	Activity
<b>Nov. 5, 2012</b>			
Callaghan/ Tormohlen	7 :30 am	TBD	Preparation meeting of the audit team
Audit Team	8 :00 am	West Region HQ	Opening meeting of the audit; Audit Scope (State of Maine landholdings audited to above mentioned SFI Objectives and FSC Principles ), audit approach, non-disclosure, appeals process. Safety.
Tom Charles	8:30 am		State of Maine to present; Land Management background, relevant resource management issues/activities from previous year's harvest activities and any complaints filed from interest groups.
Audit Team	10 :00 am		Document review, sustainable harvest level, BMP monitoring, GIS analysis & finalize site

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AUDIT SCHEDULE			
Person	Time	Place	Activity
			selection/travel efficiency.
Audit Team	12 :00 pm		Depart for 1 <sup>st</sup> day field visits.
Audit Team	5 :00 pm	Offices	Daily Debriefing
<b>Nov 6, 2012</b>			
Audit Team	7 :00 am	Offices	Gather for field visits
Callaghan/ Tormohlen	8 :00 am	Field Sites	Field visits in West Region
Audit Team	5 :00 pm	Offices	Daily debriefing
<b>Nov 7, 2012</b>			
Audit Team	7 :00 am	Offices	Gather for field visits
Tormohlen	8 :00 am	Field Sites	Field visits in West Region
Callaghan	8:00 am	Field Sites	Field visits in West Region
Audit Team	5 :00 pm	Offices	Daily debriefing
<b>Nov 8, 2012</b>			
Audit Team	7 :00 am	Offices	Gather for field visits
Callaghan/ Tormohlen	8 :00 am	Field Sites	Field visits
Audit Team	5 :00 pm	Offices	Daily debriefing
<b>Nov 9, 2012</b>			
Audit Team	7:30 am	Offices	Final Document Review and Interviews with relevant staff.
Audit Team	1:00pm	Offices	Finalize audit results
Audit Team	2:00 pm	Offices	Closing Meeting – audit findings, discussion of CARs (if applicable), confidentiality and appeals process.
Audit Team	4:30 pm	Offices	Depart site

**11.2 - Total man days for the audit**

The total man-days for this audit is sufficient to evaluate all required aspects of the organizations on the ground and documented management system.

**11.3 - On-site visit(s)**

The following field sites were visited during this first surveillance audit (Table 5). All field sites were selected from the West region/FMU. Sites were selected entirely

from the West region with the intent of visiting one region/year for the extent of the contract and effectively evaluating each FMU.

**Table 5. Field sites visited during the audit.**

REGION	Location	Acres (YTD)	Ha	Observations
West	Andover West Surplus	1,150		Uneven aged single tree selection; stand composition primarily HW with patches of red spruce. Excellent thinning regime including protection of residual stems. Two temporary haul bridges installed across Frye Brook (Class A trout stream), in conformance with Maine BMP requirements. Excellent incorporation of public "wild, un-managed" aesthetic concerns through buffering of portions of the Appalachian trail affected by the timber harvest. Erosion measures incorporated on steep slope haul road placement.
West	Riley	330		1,666acre total sale area with multiple 1 acre clear cuts totaling approximately 30% of the sale area. Management objective of prescription intended to reduce the component of beech regeneration. No clear criteria developed to judge success of the harvest. Adequate BMP implementation on bridge installation.
West	Rangley Plantation	300		Uneven aged single tree selection; stand composition primarily HW with patches of red spruce. Due to extreme weather events (unseasonably warm weather in March), approximately 25 loads (approx. 300 cords) of harvested hardwood pulp was stranded on the landing. In addition, several temporary stream crossing were not removed. It is the assessment of the lead auditor that the forester made the correct decision and that excessive rutting damage would have been caused attempting to retrieve all harvested wood and remove stream crossings. The organization has developed plans for completion of the sale and utilization of the harvested volume once the ground conditions are frozen (winter 2013.)
West	Richardson	80		White pine shelterwood harvest with residual stocking meeting shelterwood regeneration density guidelines. Excellent white pine regeneration noted during field visit. Moderate rutting found on site, which had been noted and remediated by district forester during active harvest. Control areas left unharvested within the management unit to compare harvested/un-harvested regeneration conditions. Utilization of "Outcome Based Forestry" (OBF) during stand level prescription. OBF bases rotation timing off of current regeneration conditions

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REGION	Location	Acres (YTD)	Ha	Observations
West	Holeb-Orien	5		<p>throughout the stand instead of overall clear-cut size. The extent of the actual clear-cutting activity was very minimal and within the requirements of this standard. Several "open slat" bridges were crossed during evaluation of this unit. This is not the ideal crossing type as the open face of the bridge allows for sedimentation to enter the water body during vehicular traffic. Further investigation found that these bridges were in the process of being phased out throughout the ownership.</p> <p>7,000 acre total harvest area over the past seven years. This five acre sale included multiple 1/3 acre clear cut patches within predominantly sugar maple stand. Management objective of patch harvests was to increase component of yellow birch and sugar maple and decrease component of beech regeneration. No clear criteria developed to judge success of the harvest (ie seedling stocking/species composition, etc.) 1/10 acre patch clear cuts within red spruce stands exhibited excellent regeneration of red spruce seedlings. Excellent implementation of BMPs through use of settling ponds on steep slope road placement.</p>
West	Holeb-Dirigo	925		<p>Single tree selection harvest to manage selected stands for multi-storied, un-even aged structure. Harvest volume consisted of traditional un-even aged thinning techniques with the addition of multiple 1/3ac regeneration gaps to create suitable environment for acer spp., betula spp and fraxinus spp. Regeneration gap size and implementation also intended to reduce the overall component of beech (fagus spp.) within the stand.</p>
West	Bigelow (W202)	700		<p>Single tree selection harvest to manage selected stands for multi-storied, un-even aged structure. Selected stands consisted of sawlog size hardwood, termed "late-successional" by the organization. Post-harvest conditions conducive to productive stand conditions. Target residual stocking was 75ft<sup>2</sup>/ac, however actual residual stocking was slightly higher (~85ft<sup>2</sup>/ac.) Excellent single tree selection techniques removed adequate amount of risk, cull, form and quality, species and spacing candidates to improve stand productivity. A small (less than 1 acre) gravel pit had been developed for road maintenance and remediated prior to closing the timber sale. In addition, one "Exemplary Wetland" had been identified within the stand and had been identified on the harvest map and with a painted buffer line in the woods.</p>
West	Bigelow (W210)	760		<p>Active timber sale involving HW/SW mix stands. Harvesting crew given clear diameter, species and quality criteria for volume removal. Initial harvesting appeared to be in conformance with harvesting criteria provided by the forester. During this inspection, the harvesting crew was installing a</p>

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REGION	Location	Acres (YTD)	Ha	Observations
WEST	Bigelow (W231)	135		temporary stream crossing of an intermittent waterbody. Proper implementation of BMPs utilized during crossing placement. Good utilization of harvested product.
WEST	Sandy Bay	235	53	Species discrimination harvest: removal of all populus spp., betula papyrifera, fagus spp. and picea glauca. Residual stand consisted of well-spaced northern hardwood species with stocking ranging from 60-90ft <sup>2</sup> /ac. Excellent implementation of harvest criteria. Contractor completed rutting remediation along several skid trails. In addition, a portion of the main haul road was constructed along an excessively steep slope. The organization did an excellent job implementing BMPs to ensure adequate water drainage and erosion control. Incorporation of public visual concerns during harvesting planning with high visibility areas being identified on the harvest map.
WEST	Sandy Bay	235	53	Thinning from below to create ideal stocking and diameter distribution for sugar bush leases. Due to extreme weather events (unseasonably warm weather in March), approximately 20 loads (approx. 200 cords) of harvested hardwood pulp was stranded in the woods. It is the assessment of the lead auditor that the forester made the correct decision and that excessive rutting damage would have been caused attempting to retrieve all harvested wood and remove stream crossings. The organization has developed plans for completion of the sale and utilization of the harvested volume once the ground conditions are frozen (winter 2013.)

Harvest compared to sustainable harvest level calculations (all regions.)

Species	FSC Product type	2011 Harvest volume (m <sup>3</sup> )	FSC Product Group	5 year percentage of Sustainable Harvest Level (%)
Spruce/Fir	W1.1 (roundwood)	166,075	100%	69.4
Pine	W1.1 (roundwood)	3,855	100%	98.6
Hemlock	W1.1 (roundwood)	20,518	100%	121.1
Cedar	W1.1 (roundwood)	8,228	100%	53.5
Tolerant HW	W1.1 (roundwood)	209,920	100%	141.3

Intolerant HW	W1.1 (roundwood)	49,551	100%	108.3
<b>Total</b>		<b>458,147</b>		<b>98.7</b>

\*\* The organization continues to harvest at an accelerated rate in the east region for HW species. This is an effort to capture very old and un-healthy HW volume in that compartment. This is planned to return to SHL in the next several year when all over-mature stands have been moved into regulated conditions.

#### 11.4 - Documents review

- Sustainable yield calculation spreadsheet
- Revised HCVF Location/Area document
- Grand Lake Deer Yard Proposal
- Duck Lake HCVF timber trespass summary
- Standard Harvest Contract
- Employee Benefit Pamphlet
- Compartment Level Forest Management Plan
- Timbersale packets per field site (harvest inspection forms, harvest map and BMP compliance assessment.)

#### 11.5 - Stakeholders identification and consultation

No previous stakeholder issues or feedback were noted during previous year's audit. No formal stakeholder consultation was undertaken prior to this surveillance audit. However, during the opening meeting, the certification manager (Tom Charles) stated that there had been one concerned citizen who had voiced a complaint in regards to harvest practices in the Grand Lake Stream management unit (see below summary of subsequent interview with the concerned citizen, Mr. Ricky Crowe.) In addition, two members of the general public were encountered during site inspections and were interviewed by the lead auditor.

- Mr. Ricky Crow – Concerned citizen – Mr. Crowe spends time in the Grand Lake Stream management unit. Mr. Crowes primary use of the area is deer hunting and has voiced concern about planned harvesting activities in this area and stated that it appeared to be an active deer yard during winter months. His concern was that the harvest would reduce the deer yard area and harm the deer population. Maine BPL employees completed an in depth on the ground assessment of the area in question and determined that no evidence of deer activity was present. However, the organization still modified its harvest prescription to include travel corridors and maintenance of deer habitat, in the event that the area in question was an active deer yard. The lead auditor spoke with Mr. Crowe post-harvest and he stated that, while he would rather have no harvesting at all in the region, he was overall pleased with how the State of Maine evaluated and modified their harvest to include maintenance of deer yard characteristics within the harvest area.

- Anonymous 1 and 2 - .General public – During site inspections, two members of the general public (did not wish to give their names) were encountered. Both stated that they were very pleased with the harvesting techniques the State of Maine was employing to reduce the beech component throughout the management unit (1/3ac regeneration gaps.) These stakeholders stated that they were seeing increased deer activity in these areas. Both also stated that they would like to see more access for all terrain vehicles, but understood why the use of this type of vehicle was restricted.

#### **11.6 - Interview(s) of involved people met**

- Manager(s):
  - Mr. Tom Charles – Chief of Silviculture
  - Mr. Pete Smith – Regional manager (West)
- Employee(s):
  - Mr. Bill Haslam – Regional Forester (West)
  - Mr. Leigh E Hoar III – Regional Forester (West)
  - Mr. Steve Swatling – Regional Forester (West)
  - Mr. Marc Albert – Regional Forester (West)

#### **11.7 - Other evaluation techniques**

Documents related to a timber trespass onto State of Maine ownership in the Duck Lake HCVF area were evaluated. A separate forest management entity had been completing harvesting activities on lands adjacent to the State of Maine when they inadvertently crossed onto the State of Maine's ownership and harvested approximately 67 acres. The timber trespass was the result of a misplaced property line by a registered, professional surveyor. The trespass was reported to the State of Maine by the offending party and was determined to be non-malicious. Extensive evaluation of the harvested area was conducted by the State of Maine and re-imburement of stumpage values and installation of the correct property line will be completed by the offending party. This situation is currently in the process of being completed and will require follow up evaluation by the certification body during future audits.

#### **11.8 - FSC trademark use control**

The organization has utilized various FSC trademarks without the "registered" designation. (**CAR 09**)

#### **11.9 - Controversial elements**

None identified

#### **11.10 - Changes since last audit**

The State of Maine went through a re-organization of its public offices and, as a result, this organization has changed its official title to "Division of Parks and

Public Lands (State of Maine)” No additional acreage was added at the time of this surveillance audit. However, additional acreage is in process and will be evaluated during the next surveillance audit.

### 11.11 - Surveillance audit closing meeting

A closing meeting of the first surveillance of the organizations FM certificate was held with the following people in attendance.

- Mr. Pete Smith – Regional Manager
- Mr. Tom Charles – Chief of Silviculture
- Mr. Matt Tormohlen (Lead Auditor)
- Mr. Brian Callaghan (Auditor.)

All findings were discussed with the organizations representatives prior to departure from the site. Any areas of contention were identified (none), time lines for corrective action completion were discussed and the audit was officially ended.

## 12 - Audit team observations

### 12.1 - Actions taken in order to answer to the Corrective Action Requests from the previous audit

Seven minor CAR were issued during the 2011 initial audit, five of which were effectively addressed and two of which were upgraded to major CAR (see below):

CAR #	CAR description	P&C indicator number	Action taken by the entity to close the CAR	Closed/ Open	Date of closure
01-2011	Revise the Integrated Resource Policy to require management plan revision every 10 years.	FSC US FM v1.0 7.2.a	Integrated Resource Policy modified to require revision every 10 years at minimum	Closed	5 Nov., 2012
02-2011	Classify the current HCVFs into the six categories listed in the standard.	FSC US FM v1.0 9.1.a	HCVFs currently identified within the State of Maine landholdings have been classified per the categories required in the standard.	Closed	5 Nov., 2012

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<b>CAR #</b>	<b>CAR description</b>	<b>P&amp;C indicator number</b>	<b>Action taken by the entity to close the CAR</b>	<b>Closed/ Open</b>	<b>Date of closure</b>
<b>03-2011</b>	Implement a program of HC VF monitoring which is undertaken annually, documented, and includes all HC VFs.	In referential / checklist	Regional foresters completed basic annual evaluations of HC VFs within their assigned regions to determine if any major unknown activities had occurred in the past year. Procedures modified to include annual monitoring	Closed	5 Nov., 2012
<b>04-2011</b>	Develop a written commitment to adhere to the FSC Principles and Criteria and other required FSC Policies, and should make the commitment statement publically available.	FSC US FM v1.0 1.6.a	Commitment statement developed within the management plans which are available to the public upon request.	Closed	5 Nov., 2012
<b>05-2011</b>	Revise stumpage contracts to include safety provision and contractor qualifications related to the standard.	FSC US FM v1.0 4.2.b	No action.	Upgraded to Major CAR 01-2012.	
<b>06-2011</b>	Modify trip tickets to include FSC claim (FSC 100%) and either update the logo to the new promotional logo or eliminate the logo. Implement with the next order for trip tickets	FSC US FM v1.0 8.5.a	No action.	Upgraded to Major CAR 02-2012.	
<b>07-2011</b>	Ensure that a consistent monitoring program of management activities is in place, including evaluation of the effectiveness of the harvest prescription (ie desired stocking levels/composition.)	FSC US FM v1.0 8.1.a	The organization has reviewed harvest inspection completion and maintenance requirements with all regional foresters. In addition, a consistent rating system has been adopted.	Closed	5 Nov., 2012

**12.2 - Action taken in order to answer to previous recommendation**

No recommendations in previous audit

**12.3 - Evaluation of the general conformity level of the entity**

In the opinion of the lead auditor, the Division of Parks and Public Lands, State of Maine, continues to comply with the required level of conformity in terms of on the ground resource management and management system maintenance and is recommended for immediate continued certification, pending the clearance of all issued major and minor non-conformances within three months and one year (respectively.)

#### **12.4 - Eventual changes in the scope of certification**

n/a

### **13 - Proposals regarding the certification decision**

#### **13.1 - Description of new recommendations**

n/a

#### **13.2 - New Minor Corrective Action Requests**

Two new minor CAR were issued during this year's surveillance audit (see below):

<b>N°</b>	<b>Minor corrective action requested</b>	<b>Proposed date of implementation</b>	<b>Requirement number</b>
<b>08-2012</b>	<b>Ensure that culverts and all other building materials are removed from the harvest sites in a timely manner.</b>	04 Nov., 2013	FSC US FM v1.0 1.5a
<b>09-2012</b>	<b>Ensure that all promotional logo and trademark use is reviewed for conformance to the requirements of the FSC-STD-50-001 and is re-approved by the Certification Body.</b>	04 Nov., 2013	FSC-STD-50-001V1; 1.15

#### **Comments on the minor CAR:**

Minor CAR-01-2012: On multiple occasions, old culverts had been left on the harvest sites after the completion of the harvest. The culverts were owned by either the organization or the contractor who completed the harvest. The culverts did not represent any water quality or pollutant hazard, however they were aesthetically unappealing.

Minor CAR-02-2012 : The organization has utilized various FSC trademark without the "registered" designation. The FSC trademark was properly utilized in all instances, however.

#### **13.3 - New Major Corrective Action Requests**

Two minor CAR (minor CAR – 05 & 06-2011) issued during last year's initial audit were elevated to major CAR during this year's surveillance audit due to no action by the organization (see below):

N°	Major corrective action requested	Proposed date of implementation	Requirement number
01-2012	Revise stumpage contracts to include safety provisions and specific contractor qualifications related to the standard.	04 Feb., 2013; Closed 13 February 2013	FSC US FM v1.0 4.2.b
02-2012	Modify trip tickets to include FSC claim (FSC 100%) and either update the logo to the new promotional logo or eliminate the logo. Also, ensure that the correct CoC # has been added to all required sales and shipping documents.	04 Feb., 2013; Closed 13 February 2013	FSC US FM v1.0 8.5.a

**Comments on major CAR:**

Major CAR-01-2012: The organization did not have specific requirements for contractor safety and professional qualifications included in harvesting contracts. This issue was addressed as a minor CAR during last year renewal audit and no corrective action implementation has occurred. This Minor CAR has been re-issued as a major CAR.

Major CAR-02-2012: Trip tickets used on contracted harvest operations have not been updated to reflect changes to the FSC Claims and trademarks. In addition, the organization was using the CoC # from their old certificate, which was incorrect. This issue was addressed as a minor CAR during last year renewal audit and no corrective action implementation has occurred. This Minor CAR has been re-issued as a major CAR.

Sufficient evidence was provided to close both the above major CAR effective 13 February 2013.

**13.4 - Conclusion of the audit team**

In the opinion of the lead auditor, the Division of Parks and Public Lands, State of Maine, continues to comply with the required level of conformity in terms of on the ground resource management and management system maintenance and is recommended for immediate continued certification, pending the clearance of all issued major and minor non-conformances within three months and one year (respectively.)

**Follow-up**

The organization has completed effective root cause analysis and developed adequate corrective action plans. The organization is cleared for continued certification as of 13 February, 2013.

**14 - Certification decision**

The FSC FM certificate of the Division of Parks and Public Lands, State of Maine remains valid.

**Issued the 13 February 2013, reviewed the end of 21 July 2013**

**FM certification technical reviewer,**



**Jim Colla**

**Lead Auditor,**



**Matt Tormohlen**

## C. Surveillance audit n° 2

The second surveillance audit of the Maine Bureau of Parks and Lands (herein after referred to as "MBPL") examined their compliance with the FSC US Forest Management Standard v1.0.

### 15 - Base of evaluation

#### 15.1 - Date of the surveillance evaluation

4 - 8 November, 2013

#### 15.2 - Composition of the audit team

- Lead auditor:** - Matt Tormohlen, FSC FM lead auditor on behalf of Bureau Veritas Certification, contractor.
- Auditors:** - Jim Colla, RABQSA qualified lead auditor; FSC FM auditor on behalf of Bureau Veritas Certification, employee.

#### 15.3 - Forest management referential used for the surveillance audit

For this surveillance audit, we referred to the checklist (ref. FSCUS FM) extracted from the forest management referential for the FSC US Forest Management Standard v1.0. In addition FSC-STD-20-007 v3.0 Forest Management Evaluation was applicable. No changes have occurred to these standards since the 2012 surveillance audit.

### 16 - Information collecting modalities

#### 16.1 - Description of the audit program

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.

#### *Audit Schedule*

Date	Time	Activity	BVC Representative	Company Representative
4 Nov.	800	Opening Meeting	Tormohlen/ Colla	Mr. Tom Charles

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0830	Maine BPL to present summary of previous years activities	Tormohlen/ Colla	Mr. Tom Charles
0900	Follow up on 2012 findings	Tormohlen/ Colla	Mr. Tom Charles
1000	Review of Crocker Mtn. parcel addition	Tormohlen/ Colla	Mr. Tom Charles
1100	Document Review Lunch	Tormohlen/ Colla	Mr. Tom Charles
1300	Document review	Tormohlen/ Colla	Mr. Tom Charles
1500	Field visit logistics and depart for North region	Colla	Team 1
1500	Document review	Tormohlen	Mr. Tom Charles
1700	Closing meeting, day one	Tormohlen	Mr. Tom Charles

Date	Time	Activity	BVC Representative	Company Representative
5 Nov.	800	Opening Meeting	Tormohlen	Mr. Tom Charles
				Team 1
		Depart for field sites	Colla	
	0830	Document review	Tormohlen	Mr. Tom Charles
	1200	Lunch		
	1230	Document review	Tormohlen	Mr. Tom Charles
				Team 1
		Field sites	Colla	
	1500	Depart for North region	Tormohlen	Mr. Tom Charles
	1800	Closing meeting	Tormohlen/ Colla	Mr. Tom Charles
	1900	Auditor de-brief	Tormohlen/ Colla	

Date	Time	Activity	BVC Representative	Company Representative
6 Nov.	0730	Opening Meeting/Depart for field sites	Tormohlen/ Colla	Mr. Tom Charles
		Field sites	Tormohlen/ Colla	Mr. Tom Charles
	1730	Closing meeting, day 3	Tormohlen/ Colla	Mr. Tom Charles
	1900	Auditor de-brief	Tormohlen/ Colla	

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Date	Time	Activity	BVC Representative	Company Representative
7 Nov.	0730	Opening Meeting/Depart for field sites	Tormohlen/ Colla	Mr. Tom Charles
		Field sites	Tormohlen/ Colla	Mr. Tom Charles
	1730	Return to Bangor Closing meeting, day 4	Tormohlen/ Colla	Mr. Tom Charles
	1900	Auditor de-brief	Tormohlen/ Colla	

Date	Time	Activity	BVC Representative	Company Representative
8 Nov.	0800	Opening Meeting	Tormohlen/ Colla	Mr. Tom Charles
	0830	Final document review/Auditor Caucus	Tormohlen/ Colla	
	1200	Final closing meeting/Audit Findings/Next steps	Tormohlen/ Colla	Mr. Tom Charles
	1300	Depart site	Tormohlen/ Colla	Mr. Tom Charles

**16.2 - Total man days for the audit**

A total of 14.5 person days was spent on the surveillance evaluation, including time spent in audit preparation, on auditing documents and records, interviewing stakeholders, carrying out field work and report writing.

**16.3 - On-site visit(s)**

On-site visits covered a variety of different silvicultural and road/crossing construction and maintenance activities. 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

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<p>Scopan Eagle Lake salvage Eagle Lake east end</p>	<p>Colla</p>	<p>5 Nov., 2013</p>	<p>planted to clover for wildlife enhancement.</p> <p>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.</p> <p>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.</p> <p>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.</p>
<p>T15R9 Deboullie Township T13R12 Round Lake OBF Round Pond Chase Brook Bridge</p>	<p>Tormohlen/Colla</p>	<p>6 Nov., 2013</p>	<p>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.</p> <p>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 downstream. Installation had been suspended due to wet weather. Construction area around the bridge had been stabilized prior to removal of machinery.</p> <p>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.</p> <p>Outcome Based Forestry (OBF) site consisted of complete removal of all stems &gt;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.</p>
<p>Bald Mtn. T7R12 Chamberlain Lake Indian Lake</p>	<p>Tormohlen/Colla</p>	<p>7 Nov., 2013</p>	<p>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 (&gt;30%) were well stabilized with water-</p>

			<p>bars, terrain breaks and cross drains. Several ephemeral drain crossings had been stabilized with slash and cleared and remediated after harvest.</p> <p>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.</p> <p>Lynx noted in prescription, no impacts. Harvest timing and skid trail orientation to avoid noise pollution and aesthetic issues in Alagash Wilderness Waterway.</p>
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#### 16.4 - Documents review

MBPL maintains a comprehensive document and quality control system that is comprised of the Integrated Resource Policy documents, Regional Management Plans and the individual harvest prescription documents. These documents illustrate conformance to the applicable indicators of the FSC US FM standard. A partial list of reviewed documents includes:

- MBPL 2012 Annual Report
- MBPL Integrated Resource Policy
- Northern Aroostook Management Plan
- North Region Management Plan (5-year review process)
- ME BMP Guidelines
- ESA
- CITES Applicable list
- MBPL HCVF Assessment (2013)
- Annual Allowable Cut (AAC) report (2012/2013)
- AAC Justification (proposed)
- Silvicultural Advisory Committee (Meeting Minutes)
- Crocker Mountain Acreage Addition (Map and Mgmt. Plan)
- Employee Safety Policy
- Hazardous Material Policy
- Maine Audobon Consultation (2013 Meeting Minutes)
- TNC Consultation (2013 Meeting Minutes)
- 2013 stakeholder contact list (Meeting minutes)
- Round Pond OBF Report
- Duck Lake HCVF Trespass Report
- MPBN Harvest Increase Article (8/22/13)
- MBPL Revenue Allocation (ME AG, 15 Dec., 1992)
- Maine Revised Statute Annotated (M.R.S.A.), Title 12
- Maine Forest Practices Act
- Maine Forest Service Rules, Chapters 20, 21
- Maine Land Use Regulation Commission Laws and Statutes, Ch. 10
- Maine Land Use Regulation Commission, Comprehensive Land Use Plan
- Maine Endangered Species Act
- Maine Natural Resources Protection Act

## **16.5 - Stakeholders identification and consultation**

Stakeholders were first identified and were formally consulted prior to the 2011 transfer/re-newal audit. Consistent with FSC stakeholder consultation requirements (i.e. FSC-STD-20-006) consultation is only required “where necessary”, meaning in relation to outside complaints, stakeholder concerns, and controversial activities.

Prior to this surveillance audit, three individuals contacted the certification body with concerns in regards to the MBPL proposed increased harvest level. The unsolicited concerns voiced by these individuals were as citizens of Maine and not affiliated with any organization. Two of the individuals responded to the lead auditor request for consultation prior to the audit. Stakeholder concerns centred around the following;

- Perceived lack of public consultation in regards to the proposed increase in harvest level.
- Lack of communication of the justification for the increased harvest levels.
- Discrepancy between the stated management objectives of the MBPL ownership and the proposed decision to increase harvest levels.
- No evidence of landscape analysis of the benefit provided by the higher stocked stands of the MBL located in the midst of lower-stocked industrial lands.

MBPL was aware of the issues presented by the stakeholders prior to this surveillance audit. In addition, the Silvicultural Advisory Committee, presented with the proposed increased harvest levels, voiced several concerns/questions in regards to the implementation of the proposal (*full details of MBPLs draft justification and proposed plans are attached in the appendix to this report.*)

MBPL is still in the planning process of the increased harvest level and the final proposal will be reviewed 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.) Two observations were issued during this surveillance audit to more formally address stakeholder concerns and SciAd committee questions. The increased harvest level issue will be re-visited during the 3<sup>rd</sup> surveillance audit to assess full conformance of the finalized plan.

## **16.6 - Interview(s) of involved people met**

Employee(s):

- Tom Charles – Chief Silviculturalist\*
- Joe Wiley – Wildlife Biologist\*
- Tom Morrison – Director of Operations (Maine BPL)\*
- Will Harris – Bureau Director (Maine BPL)\*
- Doug Dennico – State Forester (Maine Forest Service)
- Chuck Simpson – Regional Manager\*

- Pete Smith – Regional Manager\*
- Verne Labbe – Regional Manager
- Marc Deschene - Forester
- Ed Dube - Forester
- Chet Condon - Forester
- Jacob Guimond - Forester
- Don Kidder – Forester
- Dave Pierce - Forester

Sub-contractors:

- Kyle Pellitier – Logging contractor
- Joey Depres - Logging contractor
- Deney Depres - Logging contractor

#### **16.7 - Other evaluation techniques**

None.

#### **16.8 - FSC trademark use control**

Off product use has been previously sought and approved by Bureau Veritas for use of various FSC trademarks on load delivery tickets. This was done to address a non-conformance issued during the first surveillance. All audited trademark use was found to be in conformance during this surveillance.

#### **16.9 - Controversial elements**

The organization is in the planning process of increasing its harvest levels. The current AAC of 141,500cds 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 9,500cds/yr, increasing AAC to 150,500. The MBPL also suggests that current net growth/ac/yr numbers are conservative by 0.1-0.2 cds/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 23cds/aca cross the ownership and have compared this to privately owned forests and decided on a future desired stocking of 21.5cds/ac. This would amount to an increase of 600,000cds of harvestable volume, which is planned to occur over 20years (30,000 additional cords/yr.) The

proposed 21.5cds/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.

Several stakeholders have voiced concerns 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.

**16.10 - Changes since last audit**

See below table for change in ownership. The addition (4,777ha) 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 ~19,000 hectare 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: 4,048ha
- Amherst Parcel: 2,018ha
- Seboeis (added to south end of existing Sebo unit): 2,313ha

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

The Duck Lake HCVF accidental timber trespass noted in last year's audit report has been effectively resolved. MBPL has been reimbursed for the harvested volume, the roads have been evaluated and effectively stabilized and the harvested area is regenerating naturally.

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

FMU	Acres	Hectares	Ha Change from 2012
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West	260,000	105,263	+ 4,777
East	157,000	63,562	0
North	188,000	76,113	0
Total	*605,000	244,939	+ 4,777

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 (rates determined to be within the specified label limits) 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.)

#### **16.11 - Surveillance audit closing meeting**

A closing meeting was held at the Bangor, ME office on 8 November, 2013. All MBL employees noted previously (closing meeting participants identified with asterisk) were present. In addition, both audit team members were present. At the closing meeting audit findings, next steps, non-disclosure and appeals were discussed. The auditor conclusion was to recommend continued certification; this finding was acceptable to MBPL.

## **17 - Audit team observations**

### **17.1 - Actions taken in order to answer to the non-conformities from the previous audit**

There were two minor non-conformities and two major non-conformities issued the 2012 surveillance audit. All non-conformities issued during the 2012 surveillance audit were closed off-site on the dates listed below. Additional follow-up to ensure complete closure of the issues was completed during the 2013 surveillance audit.

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NC #	NC description	P&C indicator number	Action taken by the entity to close the NC	Closed/ Open	Date of Closure
08-2012 (Minor)	Ensure that culverts and all other building materials are removed from the harvest sites in a timely manner.	FSC US FM v1.0 1.5a	<p><b>Corrective Action Implementation:</b> Cleanup requirements have been added to harvesting contracts.</p> <p><b>Method used to verify effectiveness of action taken:</b> All new contracts and amendments will have this additional language. Contractors working under old contracts are being instructed to clean up materials according to the added requirement. Final job inspection reports include a line for evaluating cleanup performance.</p>	Closed	13 Feb., 2013
09-2012 (Minor)	Ensure that all promotional logo and trademark use is reviewed for conformance to the requirements of the FSC-STD-50-001 and is re-approved by the Certification Body.	FSC-STD-50-001V1; 1.15	<p><b>Corrective Action Implementation:</b> Brochures currently under development and the annual report will have conforming logos/trademarks. Signs will be updated during the coming field season.</p> <p><b>Method used to verify effectiveness of action taken:</b> Inspection of brochures, signs, reports on a continual basis.</p>	Closed	13 Feb., 2013
01-2012 (Major)	Revise stumpage contracts to include safety provisions and specific contractor qualifications related to the standard.	FSC US FM v1.0 4.2.b	<p><b>Corrective Action Implementation:</b> CLP/Master Logger requirement has been added to harvesting contracts.</p> <p><b>Method used to verify effectiveness of action taken:</b> All new or amended harvesting contracts will have the additional language. We will check the online databases for Certified Logging Professionals and Master Loggers when preparing contracts. A quick look earlier today showed that the CLP list had last been updated on March 13, 2013, and ML on February 28, 2013. If there remains any question about whether a contractor is qualified under this requirement, we will ask for documentation.</p>	Closed	13 Feb., 2013
02-2012 (Major)	Modify trip tickets to include FSC claim (FSC 100%) and either update the logo to the new promotional logo or eliminate the logo. Also, ensure that the correct CoC # has been added to all required sales and shipping documents.	FSC US FM v1.0 8.3.a	<p><b>Corrective Action Implementation:</b> All contractors have received the new trip tickets. Letters have been sent to facilities receiving DPPL wood, explaining the trip ticket/CoC situation in 2012.</p> <p><b>Method used to verify effectiveness of action taken:</b> Contractors have returned all old tickets, which then were destroyed.</p>	Closed	13 Feb., 2013

**Comments:**

Stakeholder concerns brought to the Certification Body are addressed in section 2.5 and 2.9 of this report.

**17.2 - Action taken in order to answer to previous observations**

No observations were raised during the 2012 surveillance audit.

**17.3 - Evaluation of the general conformity level of the entity**

A general overview of the management of the MBPL property by MBPL staff leads to the conclusion that there is a well-developed management system in place. Staff foresters are very knowledgeable of their respective responsibilities and demonstrate excellent implementation of silvicultural. MBPL managers have developed a sound management plan and are continually monitoring the conformance of the day to day operations with the requirements of the IRP, the Regional Management Plan, ME BMPs and the FSC US FM standard.

**17.4 - Eventual changes in the scope of certification**

None expected in the near term.

**18 - Proposals regarding the certification decision**

**18.1 - Description of new observations**

**Observation #1 (4.4.d)**

Consider more formal efforts to seek and consider input in management planning surrounding the proposed increased harvest levels.

**Observation #2 (5.6.a)**

Consider additional emphasis and integration in the planning process of applicable FSC requirements when reviewing the harvest levels.

**18.2 - New Minor Non-Conformities**

No new minor non-conformity has been issued during this surveillance audit.

N°	Minor Non-Conformity	Proposed date of implementation	Requirement number
	None issued		

**18.3 - New Major Non-Conformities**

N°	Major Non-Conformity	Proposed date of implementation	Requirement number
	None issued		

#### 18.4 - Conclusion of the audit team

The applicant has demonstrated that the described system of management is being implemented consistently over the whole forest area covered by the scope of the certificate. Maine Bureau of Parks and Lands is recommended for immediate continued certification as of 8 November, 2013.

#### 19 - Certification decision

FSC forest management certification shall be continued.

Issued the end of 7 January 2014, reviewed January 24, 2014

FM certification technical manager,

Lead Auditor,



Brian Callaghan



Matt Tormohlen

## **D. Surveillance audit n° 3**

The third surveillance audit of the Maine Bureau of Parks and Lands (MBPL) examined their compliance with the FSC US Forest Management Standard v1.0.

### **20 - Base of evaluation**

#### **20.1 - Date of the surveillance evaluation**

4 - 7 November, 2014

#### **20.2 - Composition of the audit team**

- Lead auditor:**
- Brian Callaghan, FSC FM lead auditor on behalf of Bureau Veritas Certification, contractor.
- Auditors:**
- Steve Tomlin qualified auditor; FSC FM auditor on behalf of Bureau Veritas Certification, contractor.
  - Carey Potter qualified auditor; FSC FM auditor on behalf of Bureau Veritas Certification, contractor.

#### **20.3 - Forest management referential used for the surveillance audit**

For this surveillance audit, we referred to the checklist (ref. FSCUS FM) extracted from the forest management referential for the FSC US Forest Management Standard v1.0. In addition FSC-STD-20-007 v3.0 Forest Management Evaluation was applicable. No changes have occurred to these standards since the 2013 surveillance audit.

### **21 - Information collecting modalities**

#### **21.1 - Description of the audit program**

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 2013.

***Audit Schedule***

AUDIT SCHEDULE			
Person	Time	Place	Activity
<b>November 4, 2014</b>			
Callaghan Tomlin Potts	7 :30 am	TBD	Preparation meeting of the audit team
Callaghan	8:30 am	BPL Offices	Opening Meeting
Tom Charles	9:00 am		State to present; Issues and Changes since 2013
Audit Team	10 :00 am		Document review & Finalize Site Selection
Audit Team	12 :00 pm		Auditors may examine sites in. East Region
Audit Team	5 :00 pm	Offices	Daily Debriefing
<b>November 5, 2014</b>			
Audit Team	7 :00 am	Offices	Gather for field visits
Audit Team	8 :00 am	Field Sites	Field visits in East Region
Audit Team	5 :00 pm	Offices	Daily Debriefing
<b>November 6, 2014</b>			
Audit Team	7 :00 am	Offices	Gather for field visits
Audit Team	8 :00 am	Field Sites	Field visits in East Region
Audit Team	5 :00 pm	Offices	Daily Debriefing
<b>November 7, 2014</b>			
Audit Team	8:00 am	Offices	Final Document Review and Interviews.
Audit Team	1:00pm	Offices	Finalize audit results
Audit Team	2:00 pm	Offices	Closing Meeting – audit findings, CARs, next step, confidentiality and appeals.

**21.2 - Total man days for the audit**

A total of 11 person days was spent on the surveillance evaluation, including time spent in audit preparation, on auditing documents and records, interviewing stakeholders, and carrying out field work.

### 21.3 - On-site visit(s)

On-site visits covered a variety of different silvicultural and road/crossing construction and maintenance activities. Within the West 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.

Date	Auditor	Site No.	Area	Comments & Findings
05-Nov	Tomlin. Callaghan	1	Seboeis Lake E215/217	Road construction and maintenance on 8 miles main access road. Included 1/2 mile new road to connect north and south access roads. Used for recreation, harvesting and management access. New permanent bridge installed on new section of road. 12+ old galvanized culverts replaced with plastic culverts. Excellent wing ditches installed throughout. Gravel from existing borrow pit on the north end and new gravel pit installed on the south end. No issues found. Good work.
05-Nov	Tomlin. Callaghan	2	Seboeis Lake E217	Irregular shelterwood harvest. Aesthetic buffer left along main road. Skid trails at angle to lake. Wildlife guidelines followed. Residual biomass removed. Camp lease along shore buffered. No issues with temporary stream crossings - used bridges. SMZ's left exceeding state guidelines. No issues.
05-Nov	Tomlin. Callaghan	3	Seboeis Lake E215	Small patch clearcuts with 2-5 trees left per acre for TSI to regenerate desirable species and minimize diseased beech. Temporary bridge installed and removed across stream Adjoins U.S.D.A research study. No issues.

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Date	Auditor	Site No.	Area	Comments & Findings
05-Nov	Tomlin. Callaghan	4	Nahmakanta E129/130 - west tract	Processor harvesting to increase primary softwood cover and create wildlife corridors between softwood stands. Recreation/wildlife primary goals. Long-term plan to draw wildlife to enhanced deer yard. Few deer currently exist in the area. Flagged around bogs and streams. Skidder bridge across stream correctly installed and removed. No issues with the harvesting. Good job.
05-Nov	Tomlin. Callaghan	5	Nahmakanta E129/130 - "expanding gap" areas	Processor harvesting used to install "expanding gaps" to create wildlife corridors. 100 foot strips cut, to be followed by 2 more adjacent at 15 year intervals to slowly develop the corridors throughout E129/130. No water crossings or streams in or adjoining in area inspected. No issues.
05-Nov	Tomlin. Callaghan	6	Nahmakanta C 33, Std 21	Two hand crews being used due to steeper slopes in this area. Crews left due to wet weather, but approaches to stream crossing not adequately stabilized and skidder bridge covered with mud. Not in compliance with Maine BMPs. Nonconformance.
05-Nov	Tomlin. Callaghan	7	Nahmakanta E129/130 - strip selection area	Processor harvesting of 12" wide strips every 200 feet. SMZ flagged, but no danger of entry or violation as BPL flags the strip lines, also, and avoids water. Active operation. Processor operator interviewed re health and safety training. Proper PPE used. First aid trained. Spill trained, and spill control and cleanup kit maintained on equipment. No issues.
06-Nov	Tomlin. Callaghan	8	Duck Lake Cpt 8	Irregular shelterwood selection cut. 153 acres completed. Some wood left along road for future pickup. No yards as all wood cut and piled along roads. Purpose to maintain/enhance softwood component, maintain deer corridors, and enhance wildlife habitat. No streams, but ephemeral/wet areas flagged and protected. No crossings, as harvesting done from both sides of wet area. Confirmed logger training. No issues. Good job.

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Date	Auditor	Site No.	Area	Comments & Findings
06-Nov	Tomlin. Callaghan	9	Duck Lake Cpt 8 - access road bridge	Inspected temporary main access road bridge construction leading to future harvest. 50 steel bridge with white pine planking. Approaches stabilized and dips on either side in place. Stream banks protected with on-site rock. Excellent work.
06-Nov	Tomlin. Callaghan	10	Duck Lake Cpt 16 - lakeshore	Inspected recreational site - Duck Lake Campground. Open to public for water, boating, fishing and camping. Monitored and maintained by BPL employees and temporary workers. Lake shore protected by rock and boat landing stabilized with gravel. Rudimentary enclosed latrine well maintained and clean.
06-Nov	Tomlin. Callaghan	11	Duck Lake Cpt 13	Upgraded ATV trail to permanent road along boundary line with Passaquaddy tribal lands for mutual benefit. Harvesting by tribal members taking place during inspection. Written agreement reviewed. No stream crossings, but equalizer cross culverts installed. No issues.

#### 21.4 - Documents review

MBPL maintains a comprehensive document and quality control system that is comprised of the Integrated Resource Policy documents, Regional Management Plans and the individual harvest prescription documents. These documents illustrate conformance to the applicable indicators of the FSC US FM standard. A partial list of reviewed documents includes:

- FY 2013 Annual Report (March 2014)
- MBPL Integrated Resource Policy
- Harvest Compared to SHL Targets (2014)
- Northern Aroostook Management Plan
- North Region Management Plan (5-year review process)
- ME BMP Guidelines
- CITES Applicable list
- MBPL HCVF Assessment (2013)
- AAC Justification (proposed)
- Silvicultural Advisory Committee (Meeting Minutes)
- Employee Safety Policy
- Hazardous Material Policy

- 2013 stakeholder contact list (Meeting minutes)
- 2013 East Region HCV monitoring report,
- HCVF Table
- Maine Revised Statute Annotated (M.R.S.A.), Title 12
- Maine Forest Practices Act
- Maine Forest Service Rules, Chapters 20, 21
- Maine Land Use Regulation Commission Laws and Statues, Ch. 10
- Maine Land Use Regulation Commission, Comprehensive Land Use Plan
- Maine Endangered Species Act
- Maine Natural Resources Protection Act

### **21.5 - Stakeholders identification and consultation**

Stakeholders were first identified and were formally consulted prior to the 2011 transfer/renewal audit. Consistent with FSC stakeholder consultation requirements (i.e. FSC-STD-20-006) consultation is only required “where necessary”, meaning in relation to outside complaints, stakeholder concerns, and controversial activities.

No stakeholders contacted the audit team either prior to, during or after the surveillance audit.

### **21.6 - Interview(s) of involved people met**

Employee(s):

- Tom Charles – Chief Silviculturalist
- Joe Wiley – Wildlife Biologist
- Tom Morrison – Director of Operations (Maine BPL)
- Chuck Simpson – Manager East Region
- Doug Reed – Forester
- Jay Hall - Forester
- Adam Blanchard – Forester
- Eric Nosel - Forester

Sub-contractors:

- Troy McLeod – Logging contractor
- W.T. Gardner – Logging Contractor

### **21.7 - Other evaluation techniques**

None.

### **21.8 - FSC trademark use control**

Off product use has been previously sought and approved by Bureau Veritas for use of various FSC trademarks on load delivery tickets. This was done to address a non-conformance issued during the first surveillance. All audited trademark use was found to be in conformance during this surveillance.

### **21.9 - Controversial elements**

There were no controversial elements uncovered by the audit.

### **21.10 - Changes since last audit**

None

### **21.11 - Surveillance audit closing meeting**

A closing meeting was held at the Bangor, ME office on 7 November, 2014. All MBL employees noted previously (closing meeting participants identified with asterisk) were present. In addition, both audit team members were present. At the closing meeting audit findings, next steps, non-disclosure and appeals were discussed. The auditor conclusion was to recommend continued certification; this finding was acceptable to MBPL.

## **22 - Audit team observations**

### **22.1 - Actions taken in order to answer to the non-conformities from the previous audit**

There were no minor non-conformities and no major non-conformities issued the 2013 surveillance audit.

#### **Comments:**

### **22.2 - Action taken in order to answer to previous observations**

Two observations were raised during the 2013 surveillance audit.

#### **Observation #1 (4.4.d)**

Consider more formal efforts to seek and consider input in management planning surrounding the proposed increased harvest levels.

The state has a formal process for consulting all stakeholders during changes to management plans and or policies. As for the potential increase in AAC the full legislature is consulted as are major stakeholder groups. Currently new inventory is being prepared in advance of considerations to change the AAC

**Observation #2 (5.6.a)**

Consider additional emphasis and integration in the planning process of applicable FSC requirements when reviewing the harvest levels.

Currently harvest levels are being reconsidered. A new inventory is being undertaken to benchmark the harvest against growth, this is done after all net-downs for habitat, conservation and recreation. New AAc will be calculated in 2015 or 2016 depending on when the new inventory is ready.

**22.3 - Evaluation of the general conformity level of the entity**

The audit specifically examined the seven criteria (1.5; 2.3; 3.2; 4.2; 4.4; 5.6; 6.2; 6.3; 6.9; 8.2; 9.4) specified in the forest evaluation standard. Additionally the audit team examined all of Principles 2, 7, and 9.

Full compliance was found in relation to the mandatory criteria which were examined as part of the audit. There have been no significant trespasses on State lands and there have also been no charges laid under the Maine Forest Practices Act. Forest practices on State lands rely upon natural renewal techniques. Similarly our examination of Principles 2, 7, and 9 found full compliance in those areas.

Two minor nonconformances were raised during the audit. One was in relation to an incident where poor approaches to a temporary water crossing coupled with heavy fall rains lead to sediments entering a stream. Corrective actions have been implemented. A second nonconformance was issued in relation to not having a formal program to control invasive species. Currently the State's efforts are ad-hoc and a formal program is necessary given the ever increasing number of such species being found in Maine.

The Maine Bureau of Parks and Lands maintains a sound forest and land management program centered on very experienced and knowledgeable staff. Forest management activities over the past year have complied with the FSC UC forest management standard and the audit team recommends continued certification.

**22.4 - Eventual changes in the scope of certification**

None expected in the near term.

**23 - Proposals regarding the certification decision**

**23.1 - Description of new observations**

**23.2 - New Minor Non-Conformities**

Two new minor non-conformity has been issued during this surveillance audit.

N°	Minor Non-Conformity	Proposed date of implementation	Requirement number
1-2014	On Compartment 33 Stand 21 of the Nahmakanta Unit forest operations failed to meet the Best Management Practices for the State of Maine, as a temporary crossing failed to prevent sediments into the stream	March 7, 2015	6.5.b
2-2014	The Maine Bureau of Parks and Lands does not have a formal program to address, control and monitor invasive species on its lands	Nov. 6, 2015	6.3.h

**Comments**

NC 1 -2014: As of Dec 5, 2014, the crossing on the Nahakanta Unit had been corrected and all approaches stabilized. This was issued as minor nonconformance as it was an isolated incident affecting a limited area of the forest.

NC 2 – 2014: Invasive species are currently a minor problem on State lands, as such the need for a formal program for the control of invasive species. It is now time that a more formal program for invasive species control. This was considered minor as it is one of more than 10 indicators in the criteria, and it has no material impact on forest health.

**23.3 - New Major Non-Conformities**

N°	Major Non-Conformity	Proposed date of implementation	Requirement number
	None issued		

**23.4 - Conclusion of the audit team**

The applicant has demonstrated that the described system of management is being implemented consistently over the whole forest area covered by the scope of the certificate. Maine Bureau of Parks and Lands is recommended for continued certification.

## 24 - Certification decision

The HUB decides that the FSC FM certificate of Maine Bureau Parks and Lands remains valid.

**Issued the end of 7 March 2015, reviewed the 15/03/2015**

**FM certification technical reviewer,**

**Lead Auditor,**

**Florian Terrière**



**Brian Callaghan**

## 25 - Appendices

### 25.1 - Revision of pairs following initial audit

First Peer Review:

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#### Date of the review

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11 March 2012 .....

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#### General comment(s) of the peer reviewer

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The report is generally well prepared and concisely covers a wide range of indicators.

There were enough typographical and syntax errors to warrant a comment in this peer review.

There was a reasonable sample size, although the exact location and distribution of the sites visited was not clear. The inclusion of a high quality map was helpful, and perhaps this could be annotated with site visits.

The main concern was that in the public survey all respondents were in direct benefit of Maine Bureau wood supply. There were no independent comments made, which makes it appear biased. The audit team should solicit comments directly from groups that have an interest such as recreation organizations, snow mobile clubs, trappers, environmental groups. They would all likely comment if contacted directly. The auditor conclusion that "The Bureau's emphasis on public recreation and providing quality opportunities to the public are commendable" is not supported by evidence from other forest users. It is likely that this is the case, given the effort made to attract users. Direct contact with such groups would confirm this.

In addition the auditors did not indicate whether the state documents and makes available all public comments. This would be a useful source to confirm the public is considered. Auditors should confirm they reviewed these records and describe how they are kept.

A number of minor issues were identified that could be described as auditor discretion. The auditors placed CARs related to safety concerns, plan length, harvest inspection forms and HCVs (2), all of which are significant and appropriate findings.

This review was completed in one 4 hour period. The review focuses only on the audit process and report. It did not include a review of the Forest Plan, the HCV report, forecasting of timber supply, or a review of the sensitive areas. This information was not provided as part of the peer review.

Typographical errors and syntax errors are partially listed below and in a copy of the report provided. Confidentiality of respondents should be maintained more rigorously. Some headings in the template appear poorly translated.

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#### Comments of the peer reviewer on the report

The comments of the peer reviewer shall provide the answer to the following questions (the blank space allotted to the answer below is not restrictive, the peer reviewer can add as many lines or pages as he/she considers necessary):

### **Is the field audit work relevant and does it enable certification decision?**

The audit work is relevant and is appropriate for a certification decision. Some questions are raised by the report as discussed below.

### **Is the information presentation clear enough and does it enable certification decision?**

Comments by section:

#### 1.1 General

Brief but gives an overview. I assume this fits requirements.

#### 1.2 -- The inclusion of a high quality map was helpful.

The review of the chemical situation is clear, but there are some other uses for chemicals – are these uses for invasive species? Or silviculture?

***BV's Answer: No chemicals are used for silviculture. There are current no invasive species issues for which chemicals are being used.***

#### 1.3 -- ok

#### 1.4 – FM System

The managers focus on “multiple use”. Maine IRM policy states “Offer opportunities for multiple uses when compatible with the protection and wise use of the resource” (p 7). The assessment refers to it frequently in 1.4 (management system). There is no detailed listing of what is included in IRM (multiple use), or more importantly, what is not included. Is mining or hydro allowed?

***BV's Answer: NO***

The area is underlain by gas deposits that may be accessed through public lands.

***BV's Answer: Not sure where reviewer got this, but there is no gas***

This has access concerns. For lighter uses, is there trapping, maple sugar or fishing camps? Some of these are mentioned later; suggest that the overall tenure situation should be reviewed here.

The IRM that Maine uses requires that the government “respect ... our customers, partners”. Some additional examples of who they are would be helpful. Do partners include downstream mills from the wood supply? The report should briefly but explicitly state how the wood produced from the forest goes to downstream value added manufacturing (timber sales, long term contract?). There is an assumption that there is no vertical integration of the facilities, or any direct tenure on the forest held by mills. This should be made clear. This is an issue on public lands elsewhere.

***BV's Answer: There are no direct tenures all timber is sold by competitive bid.***

The comment on Plantations by another reviewer appears to be addressed. It is reasonable that Maine would not have ANY areas that would conventional FSC understanding of Plantation management.

#### 1.5 – Production

The AAC is explained well. The table is useful and shows the possible overharvest clearly; this is explained. It would be useful to know how long the accelerated harvest is expected. Will one return interval address the quality issue?

***BV's Answer: The accelerated harvest has been ongoing for the past 5 years; the next AAC exercise (2013) will reassess this***

There is no reference to Maple Syrup production under non-timber products. Does this mean there is none or it is not mentioned?

#### 2 -- Legal tenure is explained simply.

Maine Land Use Regulation Commission (LURC) seems important. Perhaps a word on what kind of an entity this is? Public servants or gov't appointees? Any risk of bad governance practices? COI?

Clear cut restrictions bias natural disturbance patterns to too small an opening. Disturbances that are natural such as budworm, fire or blowdown would create larger openings. Has the government provided a landscape ecology justification for this? Is there a risk to any species because of small opening sizes? This should be justified. DPL lands are surrounded by industrial forests where the opening sizes are much larger therefore balancing the landscape somewhat.

3 -- Other activities: Is there mining and methane extraction? This has implications to some indicators and should be clear.

4 -- Previous audits – no comment

#### 5 – Information collection

Audit schedule appears rigorous. Not clear “auditors spent 3.5 days in the field” is that two teams times 3.5? Or total. How many auditor days in the field total (regardless of teams)? Audit team size appropriate.

***BV's Answer: Please see in the audit program***

Good number of staff interviewed.

No mention of members of the public, harvest companies, partners, ENGOs or other independent forest users.

Table 4, describing field visits, is a useful table. The 18 sites were visited of a total number of parcels that may number about 100. Total ha examined was low, but if the sites were spread widely, this would not be a factor. A little more description of the sample intensity would be useful, but sampling appears reasonable.

Descriptions of the activities encountered are useful. Note no Species at Risk visited.

Noted "BPL typically does not butt mark." How do the managers verify tree marking is followed? Monitoring?

#### 5.5. Stakeholders

Naming respondents in the report is not appropriate; should use organization names only or "member of the public" or other non-identifying information. This may be BVQI practice...but it is a poor practice. Names should be kept in an appendix that is not available to anyone outside of BVQI. Peer reviewers should not see the names.

***BV's Answer: Names will be removed for public report.***

All respondents were in direct benefit of Maine Bureau wood supply. There were no independent comments made, which makes it look like there was a bias. The audit team should solicit comments directly.

#### 6 – Evaluation results

P1 OK CAR re commitment appropriate.

P2 Auditors state "No tenure disputes were noted during the audit and the site inspections." A little more detail about other tenure types (noted above) would be helpful. Assumes no invasive tenures such as energy, trapping. How is hunting managed?

***BV's Answer: It is managed by State licensing draw***

P3 Minimal approach to Tribal concerns. All should be contacted directly to confirm acceptance of the Public lands respect for native values.

***BV's Answer: Representatives of all tribes mentioned has been consulted during Stakeholders consultation, except Micmacs bad, what will be corrected in first surveillance.***

P4 Auditors state "Stakeholder consultation and public input is required in the decision making process. Part of the reason for consultation is to identify any potential disputes or deleterious actions." The auditors did not indicate whether the state documents and makes available all public comments. This would be a useful source to confirm the public is considered.

Auditors should confirm they reviewed these records and describe how they are kept.

***BV's Answer: It has been corrected in the report.***

Auditors state "Stumpage Permit (sale contract) contains no definitive reference related to safety requirements." Does the US standard require sign off during a start up procedure to confirm the

contractor acknowledges their legal requirements are met? This is a necessary legal step, to mitigate the manager liability. Auditor CAR was a good finding.

P5 this is the first mention of “sugar bush leases” Auditors should comment on how forestry is done in these areas, since sugar bush requirements tend to distort normal tree marking standards.

There is no discussion of how the AAC was verified by the audit team, although this is described in the earlier section. For 5.6 this should be done here.

***BV’s Answer: It has been corrected in the report.***

P6 Species at Risk are described appropriately. Managers seem to cover the basics. No details are provided. Review of field sites (Table 4) did not indicate any site visits to SAR management prescriptions. Species are not listed; this would be very useful for illustration. Auditors should describe prescriptions in a little detail.

Auditors could comment more on the impact of mechanical harvesting...do they measure footprint? Likely this was monitored by the managers. Audits only state: “mechanical harvesting was being used throughout the operations visited.

Auditors do not comment on whether the managers address mid tolerant species in tree marking.

P7 Good overview of planning system, including a better description of AAC determination than is in P5.

The CAR identified by the auditors related to plan length is appropriate. Overall description in this section is reasonable.

P8 the auditors appropriately addressed the harvest inspection forms issue with a CAR. There is a description of catastrophic events occurrence which would be useful in the introductory section.

P9 The CARs related to the classification of HCVs and their monitoring are appropriate. Auditors should consider stipulating that to be consistent with the US FSC Standard, the managers need to REPORT on HCVs and their management and monitoring. It is not adequate for audit teams to try to determine the adequacy of complex conservation programs in a short audit. That is why the US standard increased the requirements for HCV assessment to include preparation of evidence for audit teams. Audit team should include the requirement for a written report in their CAR. It is possible the CAR is directing this, but it is not entirely clear.

***BV’s Answer: See tab in page 26 of the report.***

P10 OK (NA)

7 Scope OK

8 Decision OK

Appendices – not reviewed, not available.

**Is the proposed certification decision justified by the observations presented in the report?**

The decision is justified based on the information in the report, with some small exceptions and clarifications stated above.

**Additional**

Editorial:

P3 Annual turnover: \$3,600,000

P 4 Trembling Aspen (Populus tremuloide) typo

P7 has lead the Bureau

P8 "Forest management on BPL lands relies uneven-aged management"

P8 "... (pulp) material harvest strategies" typo needs a period

P8 "outbreak of spruce budworm which caused extensive throughout "

P17 "The Lands Division of the Bureau of Parks and Lands manages the forest under its care are being well managed.

Other typos highlighted in yellow in attached report.

P24 "in Maine" typo

Terminology:

P 12 "6 - Information collecting modalities..." Inappropriate term "modalities"

P 25 "9.1 - Explication on all rating, weighting systems or other systems used decisions taking"

Second Peer Review:

**Date of the review**

March 13, 2012 .....

**General comment(s) of the peer reviewer**

Based on the information in the report, it is apparent that the management goals of the Bureau of Parks and Lands within the Maine Department of Conservation are to create and maintain a forest resource which represents mature native forest ecotypes. It is stated that the state owned lands will provide for multiple uses and those uses include recreation, wildlife and timber. The information provided in the report indicates to me that equal importance is given to timber and recreational opportunities. I find no highlights addressing wildlife within the report, instead I read that value as a given.

Overall, the audit report leaves me with the feeling of a system where the employees and people managing the resources and processes don't key in on certification itself as a high priority. Yes, they have obviously sought certification and are maintaining it. However, I don't read from the report any excitement towards exemplifying their efforts to meet certification. That is not to say it

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is a bad thing. On the contrary, the nonchalance vibe I get from the lacklustre report signifies the dedication of the Maine BPL to managing the resource in a wise and sustainable manner regardless of labels.

I do question why the report shows no land area managed for NTFPs when the production of maple syrup, balsam fir tips and other non-timber products are extracted from the resource.

This review was completed in two five hour periods and includes only the audit report with process and results found. No appendices or additional documentation to the report were provided.

#### **Comments of the peer reviewer on the report**

The comments of the peer reviewer shall provide the answer to the following questions (the blank space allotted to the answer below is not restrictive, the peer reviewer can add as many lines or pages as he/she considers necessary):

### **Is the field audit work relevant and does it enable certification decision?**

Yes, the audit work is relevant. Field visits included sites where harvesting activities have been conducted, a site where maple syrup extraction occurs, and HCVF sites. I was confused and concerned by the observation notes on a number of the sites. There was repeated reference to new road construction. However, the report also states on page 21 under 6.1.6 that transportation systems are well established. Were new roads installed or were there upgrades to existing roads?

***BV Answer: The auditors inspected road maintenance and found all well done. There is little need for new road construction.***

This is an important observation when minimizing site disturbance.

Also, there was one site visited where no observation notes are provided – Region: EAST; Location: Plt 14; Acres: 122; Ha: 27. I am curious about this, especially since “Plt” automatically brings “plantation” to my mind?

***BV Answer: Already corrected - site selected and not visited – it is a plantation which is what many estates are called in the region.***

### **Is the information presentation clear enough and does it enable certification decision?**

#### 1.1 General description and Identification

The report succinctly identifies the BPL as the entity overseeing management of the resource, that these are “public reserved” lands, and the mission for which the forest resources are managed.

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1.2 Description of the forest and non-forest landbase is pretty straightforward. The fact that the summary of forest and non-forest land protected from commercial harvesting of timber shows no land devoted to NTFPs is misleading to me since the report findings clearly refers to NTFPs being produced. I recognize the distinction may be “protected from commercial harvest of timber”; however, I think it would be of value to include the non-timber products within this section.

The very limited use of herbicides is commendable.

1.3 Adequate.

1.4 Good explanation of process and format for developing and maintaining management plans. Inclusion of the public, although mandated, appears to be taken seriously by the Bureau. Strong emphasis throughout the report on the goal of the BPL to improve the value of the forest resource. The value list includes environmental, social, and economic measures.

Background information provided concerning outbreak of spruce budworm effect on resource appropriate to provide explanation of accelerated harvest in hardwood stands to remove lower grade pulpwood and poor quality timber aimed at improving overall stand composition. This explains why AAC exceeded in hardwood forest types.

1.5 Forest inventory and calculation annual allowable cut appears to be adequate for determining sustainable harvest and to meet goals of resource management.

2 Appropriate.

3 Appropriate

4

4.1 Appropriate

4.2 Appropriate

4.3 Appropriate. However, referring to this audit as the “initial” audit is confusing. This is a renewal audit. The previous section (4.2) specifies that the initial certification audit has already taken place.

4.4 Appropriate.

5

5.1 Appropriate.

5.2 The list of documents reviewed appears to be appropriate. I did wonder whether the Silvicultural Advisory Committee minutes reviewed represented the public advisory committee referenced under 1.4 for discussing draft plans. If not, I would deem documentation from that process to be pertinent.

5.3 Appropriate.

5.4 Sites visited during the audit appear to be appropriate and adequate for evaluation. Observations made concerning new road construction were puzzling as noted above under general comments. Also, the lack of observation notes for the Plt 14 site is questionable.

5.5 Unable to conclude whether stakeholders consulted were fully representative. No Appendix E provided for review. Of the replies received, it does appear that a broad range of stakeholders were consulted.

5.6 None

5.7 Again, this was not an initial audit but this may simply be standard terminology. The closing meeting appropriate.

6.1.1 The CAR to document written commitment to FSC Principles and Criteria is appropriate. Although oversight of this would appear to be significant, the auditor's conclusion that evidence of commitment was observed reduces it to a documentation technicality.

6.1.2 Appropriate.

6.1.3 Straightforward.

6.1.4 These are lands reserved for public use. Community relations are inherent throughout the system. The minor CAR for incorporating safety and other contractor requirements into the stumpage sale contract is appropriate.

6.1.5 Again, reference to NTFPs which is not supported by the summary under 1.2. This section does support the multiple use management concept outlined as an objective of the Public Reserve Lands. Appropriate.

6.1.6 The overall management goal to improve the forest resource guides silvicultural and other management activity decisions as stated within the report. FSC Principle 6 Environmental Impacts appear to be addressed appropriately within the system.

I find inconsistency between the field visit observation notes referring to new road construction and the notation of a well established transportation system. Just need clarification on this.

***BV Answer: Answered on top of this document***

6.1.7 Agreement with CAR1.

6.1.8 The CAR request in regards to developing and implementing consistent monitoring of activities is appropriate. Although it appears that the BPL places importance on minimizing environmental impacts, the stringency of monitoring does not reflect that importance.

6.1.9 CAR 2 and CAR 3 both appropriate to findings. Based on the report, the Main BPL places priority on maintaining HCVFs.

6.1.10 None.

6.2 No appendices provided for review.

6.3 Appropriate.

6.4 None.

7 Appropriate.

8.1 Reference "initial" audit versus "renewal" audit. Clarification?

8.2 None

8.3 CARs appropriate.

8.4 None

8.5 Appropriate.

9 None.

10 Appendices not reviewed. Not provided.

**Is the proposed certification decision justified by the observations presented in the report?**

The decision is justified based on the information in the report, with noted clarifications stated above.

**25.2 - Responses to Stakeholders**

Date	Ref. Remark	Remarks Received	FSC Criteria-indicator	Answer Client	Answer Lead Auditor	Answer Bureau Veritas Certification
02/12/2011	1	I'm writing in response to your letter dated November 11, 2011 regarding the Forest Stewardship Council forest management recertification audit for State of Maine, Bureau of Parks and Lands. You have requested my input into this process as a stakeholder. I will respond that as the executive director of North Maine Woods I have worked with staff of the Bureau of Parks and Lands for over 35 years and have first hand knowledge of the Bureau's forest landbase and forest practices. My experience is that bureau staff is very professional in managing Maine's forests. From my exposure to other FSC audits and forest operational tours, it is my opinion that BPL forests meet the criteria to be re-			Thank you for your letter of State's forestry program.	

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		certified. While I have heard members of the public express gratitude and appreciation for the way BPL forests are managed, I have not heard any complaints or negative comments. If you have any additional questions, please feel welcome to contact me using the contact information on the letterhead. Thank you for the opportunity to comment during this audit process				
18/12/2011	2	SAPPI is very supportive of the BPL and it programs. They provide a sustainable source of fibre and good forest management.			No comment.	
12/12/2011	3	BPL does an excellent job, supports them 100%.			No comment.	
4/12/2011	4	Had favorable opinions about the BPL - wanted to go on field audits – could not be arranged easily.			No comment.	
31/12/2011	5	Very favorable letter.			No comment.	
16/12/2011	6	Gets along well with BPL they work on cooperative projects. Unfortunately BPL does not control the snow.			No comment.	
15/12/2011	7	Good place to work			No comment.	
16/12/2011	8	No violations of the FPA in over 3 years (possibly ever).			No comment.	
15/12/2011	9	Tries to cut as much as possible on BPL as it is friendlier and the			No comment.	

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		forest is softer.				
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