



Surveillance Audit Report

2010-2014 Sustainable Forestry Initiative® Standard

October 14, 2011

A. Ohio Division of Forestry

FRS #: C0043580

B. Scope: Land management on the Ohio state forests and the Vinton Furnace Experimental State Forest and related sustainable forestry activities of the Ohio Division of Forestry. The SFI Certificate Number is NSF-SFIS-C0043580. No Change Changed

C. NSF Audit Team: Lead Auditor: Mike Ferrucci

Auditor: Brendan Grady

D. Audit Dates: September 21-23, 2011

E. Reference Documentation:

2010-2014 SFI Standard®; Ohio Division of Forestry -SFI Indicators and Evidence Matrix 2011, other Ohio Division of Forestry Documentation:

F. Audit Results: Based on the results at this visit, the auditor concluded

- Acceptable with no nonconformances; or
- Acceptable with minor nonconformances to be corrected before the next scheduled audit visit;
- Not acceptable with one or two major nonconformances - corrective action required;
- Several major nonconformances - the certification may be canceled without immediate action

G. Changes to Operations or to the SFI Standard:

Are there any significant changes in operations, procedures, specifications, FRS, etc. from the previous visit? Yes No If yes, provide brief description of the changes:

H. Other Issues Reviewed:

- Yes No Public report from previous audit(s) is posted on SFB web site.
- Yes No N.A. SFI and other relevant logos or labels are utilized correctly. If no, document on CAR forms.
- Yes No The program is a Multi-site Organization:

Multi-Site Organization: A n organization having an identified central function (hereafter referred to as a central office — but not necessarily the headquarters of the organization) at which certain activities are planned, controlled or managed and a network of local offices or branches (sites) at which such activities are fully or partially carried out.

Source: SFI Requirements, Section 9, Appendix: Audits of Multi-Site Organizations

IAF-MD1 or The alternate approach outlined in SFI Requirements, Section 9, Appendix 1 was assessed by NSF's Lead Auditor during the certification audit.
 Yes **No** Concerns/ issues are listed in the checklist (to be reviewed by NSF Forestry Program Manager)

I. Corrective Action Requests:

Corrective Action Requests issued this visit (through NSF's on-line OASIS audit tool):

1. Multi-site requirements regarding internal audits covering issues managed centrally
2. Process for establishing corrective and preventive measures related to findings from internal audits and evaluating the effectiveness of corrective actions taken

Corrective Action Plan is not required.

Corrective Action Plan is required within sixty days of this visit (for Minor Nonconformances). CARs will be verified during the next Surveillance Audit.

Your Corrective Action Plans should be provided through your NSF On-line Interface. Any questions should be directed to Tyrek A. Morgan 734-827-6869 tmorgan@nsf-isr.org.

At the conclusion of this Surveillance Audit visit, the following CARs remain open:

MAJOR(S): 0 MINOR(S): 2 Opportunities For Improvement (OFIs) identified: 5

H. Future Audit Schedule:

Follow-up or Surveillance Audits are required by the 2010-2014 Sustainable Forestry Initiative Standard ®. The next Surveillance Audit is scheduled for September 17-19, 2012. The assigned lead auditor will contact you 2-3 months prior to this date to reconfirm and begin preparations. Recertification must be completed before October 27, 2013

For multi-site organizations: The sampling plan requires audits of the central function and 3 of 16 sites each year.

Appendices:

Appendix I: Surveillance Notification Letter and Audit Schedule

Appendix II: Public Surveillance Audit Report

Appendix III: Audit Matrix

Appendix IV: SFI Reporting Form

Appendix I



**Surveillance Notification Letter
and Audit Schedule**



September 13, 2011

Chad Sanders, Land Management
Ohio Department of Natural Resources
Division of Forestry
2045 Morse Rd. Bldg H-1
Columbus OH, 43229-6693

Re: 2011 Annual Surveillance Audit Plan

Dear Mr. Sanders,

We would like to confirm with you that the annual audit for ODOF has been scheduled for September 21-23, 2011, as you agreed during previous communications with SCS and NSF staff.

This annual audit will be a partial review of your FSC certificate (certificate # SCS-FM/COC-00130N) to confirm that there is continued conformance with the requirements of the FSC-US Forest Management Standard and that progress is being made in closing your CARs. It will also include an SFI Surveillance audit (certificate # NSF-SFIS-C0043580). The audit team will consist of Brendan Grady and Mike Ferrucci. The audit will include:

FSC

- A focused assessment of the status of outstanding corrective action requests and recommendations. As part of this evaluation, corrective action associated with the following Criteria will be assessed: 9.4, 9.1, 8.3, 8.2, 8.1, 7.4, 7.1, 6.5, 6.3, 6.2, 4.5, 4.4. Also, observations were issued against the following indicators: 1.5, 5.6, 6.1, 7.2, and 7.3
- For forests of your size, FSC requires that certain Criteria and Indicators be reviewed every year. According to this, the following Criteria need to be reviewed during the audit: 1.5; 2.3; 3.2; 4.2; 4.4; 5.6; 6.2; 6.3; 6.9; 8.2; and 9.4.
- Therefore the total scope of the Criteria evaluated during the audit will include Indicators from:
1.5, 2.3, 3.2, 4.2, 4.4, 4.5, 5.6, 6.1, 6.2, 6.3, 6.5, 6.9, 7.1, 7.2, 7.3, 7.4, 8.1, 8.2, 8.3, 9.1, and 9.4

SFI

Audit will review 2010 Minor Non-conformances and OFIs, and topics listed on final page of this plan.

- Scope Statement: Land management on the Ohio state forests and the Vinton Furnace Experimental Forest and related sustainable forestry activities of the Ohio Division of Forestry. The SFI Certificate Number is NSF-SFIS-C0043580.

Logistics

2011 Ohio State Forest Certification Audit Schedule

WEDNESDAY (September 21)

- 8:00 -11:00 am FSC Topics
- 11:00 - Noon SFI Topics
- Noon - 2:00 pm Drive to Hocking State Forest
- 2:00 - 5:30 pm **Audit Hocking State Forest**
- Evening Holiday Inn Express in Logan, Ohio.

THURSDAY (September 22)

- 7:30 am Leave Hotel
- 8:00 - 10:00 **Vinton Furnace State Forest**
- 10:00 - 11:00 Travel to Zaleski State Forest
- 11:00- 5:30 pm **Audit Zaleski State Forest sites**
- 5:00- 6:00 pm Travel to Hotel near Shawnee State Forest
- Evening Holiday Inn in Portsmouth, Ohio.

FRIDAY (September 23)

- 7:00 am Leave Hotel
- 7:30 – Noon **Shawnee State Forest**
- Noon- 3:00 pm Travel to Columbus (lunch on way to Columbus)
- 3:00pm Exit Briefing at Airport
- 3:30 pm End Audit (MF Delta Flight 4350 4:45 pm from Columbus, Ohio)

Documentation Requested

Please provide the following documentation prior to the audits:

- Any updated responses to outstanding Corrective Action Requests and Observations at least one week prior to the audit. This evidence may be supplemented, by additional information provided during the audit.

Please have the following documents and/or information prepared for the audit:

- Complaints received
- Accident records
- Training records
- Operational plans for the next 12 months
- Inventory records
- Harvesting records
- Chemical use records
- Records of sales of FSC certified products

Please also provide contact information (name, title, organization, home, office, and/or cell phone numbers, and email if available) for the following:

- One or more active loggers on your FMU(s);

- Other contractors on the FMU(s), such as timber inventorying firms;
- Regulatory personnel;
- Any new key stakeholders.

Note: FSC-oriented portions of audit plan deleted...

If you have any questions, please feel free to contact us.

Sincerely,

Brendan Grady

Program Manager - Forest Management Certification

2000 Powell St., Suite 600 | Emeryville, CA 94608 USA

tel: 510.452.8034 | fax: 510.452.6898

bgrady@scscertified.com

www.SCScertified.com



Mike Ferrucci

Forestry Program Manager - NSF-ISR

Office and Mobile: 203-887-9248

mferrucci@iforest.com

SFI Additions to Audit Plan:

2011 Audit Focus Areas - SFI Requirements:

- Indicator 1.1.1 (Planning and Inventory; 2010 OFI, see below)
- Objective 2 (Regeneration, Chemical Use, Soil/Forest Productivity, Forest Health)
- Indicator 3.1.1 (2010 Minor Non-conformance, see below)
- Objective 4 (2010 Minor Non-conformance, see below)
- Objective 6 (Special Sites)
- Objective 15 (Research and Greenhouse Gas)
- Indicator 17.1.5 (2010 OFI, see below)
- Objective 19 (Reporting)
- Objective 20 (Management Review)
- Multi-site Requirements

2010 SFI Minor Non-conformances:

Indicator 3.1.1 requires a “Program to implement state or provincial best management practices during all phases of management activities.” Minor Non-conformance 2010-01: BMPs are not in place on Blackburn Ridge Road.

Indicator 4.1.4 requires the “Development and implementation of criteria, as guided by regionally appropriate best scientific information, to retain stand-level wildlife habitat elements such as snags, stumps, mast trees, down woody debris, den trees and nest trees.” Minor Nonconformance 2010-02: Stand-level wildlife habitat guidelines are confusing and somewhat contradictory; foresters are unlikely to be able to consistently implement them.

Three opportunities for improvement were identified in 2010:

- Indicator 1.1.1 requires “Forest management planning at a level appropriate to the size and scale of the operation, including: ... recommended sustainable harvest levels for areas available for harvest.”
Opportunity for Improvement: Recommended sustainable harvest levels are provided at the compartment level, but there is no document which compiles individual prescriptions to provide sustainable harvest levels across any individual forest or for the entire system.
- Indicator 4.2.1 requires “Collection of information on Forests with Exceptional Conservation Value and other biodiversity-related data through forest inventory processes, mapping or participation in external programs, such as NatureServe, state or provincial heritage programs, or other credible systems. Such participation may include providing non-proprietary scientific information, time and assistance by staff, or in-kind or direct financial support.” Opportunity for Improvement: There is an opportunity to improve by more systematically contributing information to the Ohio Biodiversity Database.
- 17.1.5 requires “Program Participants are knowledgeable about credible regional conservation planning and priority-setting efforts that include a broad range of stakeholders and have a program to take into account the results of these efforts in planning.”
There is an opportunity to improve the program to specify how the landscape goals of the state forest system are implemented at each state forest.

Appendix II



Ohio Division of Forestry - SFI Summary Surveillance Audit Report

PENDING APPROVAL OF CAR PLANS FOR 2 MINOR NON-CONFORMANCES

The SFI Program of the Ohio Division of Forestry has achieved conformance with the SFI Standard®, 2010-2014 Edition, according to the NSF-ISR SFIS Certification Audit Process.

NSF-ISR initially certified the Ohio Division of Forestry to the SFIS on October 28, 2010. This report describes the first annual follow-up Surveillance Audit designed to focus on changes in the standard, changes in operations, the management review system, and efforts at continuous improvement. In addition, a subset of SFI requirements were selected for detailed review.

The Ohio Department of Natural Resources – Division of Forestry (ODNR-DOF) manages 21 state forests covering more than 200,000 acres in 21 Ohio counties mostly in Ohio’s un-glaciated southeastern region. The Chief of the Division and State Forester of Ohio, is given statutory authority for multiple-use management of state forests through Ohio Revised Code (ORC), Section 1503. The following additional background on the certification goals and on the Ohio State Forests was excerpted from the Request for Proposals that initiated this project.

State forests are grouped into eight (8) administrative units; with each unit having a manager and associated support staff, as outlined in Appendix A. There are approximately 70 employees on state forests; approximately 20 professional foresters or administrators and 50 support staff. There are eleven (11) Division of Forestry field offices located throughout the State. Further, the ODNR-DOF is headquartered at 2045 Morse Road, Building H-1, Columbus, OH 43229-6693.

On October 25, 2007, Ohio Governor Ted Strickland issued a Directive to the Ohio Department of Natural Resources – Division of Forestry to obtain certification of Ohio’s State forests in order to promote good forest management practices. To comply with the Governor’s directive, maintain the market for forest products, and to continue sustainable, multiple-use management; ODNR-DOF desires services to conduct full assessments and ongoing surveillance audits of ODNR-DOF state forests relative to FSC and SFI certification.

In 1916, the state forest system in Ohio was born with the purchase of 1,721 acres to become the first two state forests. Most state forest land was acquired from the 1920’s through the 1950’s... Forest management occurs on state forests to

promote forest health and sustainability, wood products that contribute to local communities, recreational opportunities that require a large land base, and outreach and education to private landowners.

State forests have four (4) active programs: a land management program, a prescribed fire program, a recreation and law enforcement program, and an infrastructure and maintenance program. Each program has a program administrator. Each program conducts a variety of activities each year. Timber sales average approximately 8 million board feet on approximately 25 different sales each year. Both even-aged and uneven-aged management occurs on state forests. State forest silviculture is actively focusing on the oak regeneration problem and developing even-aged harvesting coupled with prescribed fire silvicultural systems. Partial timber harvesting occurs on approximately 2,500 acres per year and regeneration harvesting occurs on approximately 400 acres per year. Revenue from state forest timber sales are distributed to local governments and ODNR. Prescribed fire activities average approximately 1500 acres each year on approximately eight (8) different units. Recreational opportunities exist and are managed in the form of 462 miles of bridle or hiking trails, and 40 miles of motorized trails...

Management of Ohio's state forest is being guided by a strategic plan implemented in 2008, as well as 5-year forest-specific management plans and annual work plans. Annual work plans have been completed for fiscal year 2010. Forest-specific management plans are in-progress at this time but are expected to be completed within the next ten (10) months. Further, all land management and prescribed fire activities follow the policies and procedures of an internal guidance manual that contains all aspects of operational, environmental, and governmental policies.

Ohio Division of Forestry is responsible for forest management and land administration for the Ohio State Forests. The organization's SFI Management Representative is Chad Sanders, Land Management Administrator.

The surveillance audit was performed by NSF-ISR on September 21-23, 2011 by an audit team headed by Mike Ferrucci, Lead Auditor. Audit team members fulfill the qualification criteria for conducting SFIS Certification Audits of "Section 9. SFI 2010-2014 Audit Procedures and Auditor Qualifications and Accreditation" contained in Requirements for the SFI 2010-2014 Program: Standards, Rules for Label Use, Procedures, and Guidance.

The objective of the audit was to assess conformance of the Division of Forestry's SFI Program to the requirements of the Sustainable Forestry Initiative® Standard, 2010-2014 Edition.

The scope of the SFIS Audit included forest management operations. Forest practices that were the focus of field inspections included those that have been under active management over the planning period of the past two years. In addition practices conducted earlier were also reviewed as appropriate (regeneration and BMP issues, for example). In addition, SFI obligations to

promote sustainable forestry practices, to seek legal compliance, and to incorporate continual improvement systems were within the scope of the audit.

Several of the SFI Performance Measures or Indicators were outside of the scope of Ohio Division of Forestry's SFI program and were excluded from the scope of the certification audit as follows:

- Indicator 2.1.4 involving planting exotic species
- Performance Measure 2.5 and Indicator 2.5.1 involving improved planting stock
- Indicator 3.2.5 involving situations where the state lacks BMPs
- Objectives 8 through 13 for procurement
- Indicators 19.2.1 and 19.2.3 involving past reporting under the SFI program

No indicators were modified.

SFIS Surveillance Audit Process

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

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

The possible findings for specific SFI requirements included Full Conformance, Major Non-conformance, Minor Non-conformance, Opportunities for Improvement, and Practices that exceeded the Basic Requirements of the SFIS. Surveillance Audits generally focus on conformance issues and do not generally address exceptional practices.

Overview of Audit Findings

Ohio Division of Forestry's SFI Program was found to be in substantial conformance with the SFIS Standard. The NSF-ISR Audit team reviewed all previous minor non-conformances and corrective action plans implemented by Ohio Division of Forestry as follows:

1. Closed Minor Non-conformance 2010-01: BMPs have been implemented on Blackburn Ridge Road. (Indicator 3.1.1 requires a "Program to implement state or provincial best management practices during all phases of management activities.")
2. Closed Minor Nonconformance 2010-02: Stand-level wildlife habitat guidelines have been revised, wildlife-related provisions in Chapters 4 and 5 of the Ohio State Forest Land Management Manual were updated, and training on these new approaches was provided to staff. (Indicator 4.1.4 requires the "Development and implementation of

criteria, as guided by regionally appropriate best scientific information, to retain stand-level wildlife habitat elements such as snags, stumps, mast trees, down woody debris, den trees and nest trees.”)

There are two new Minor Non-conformances regarding the ISO-requirements for eligibility for multi-site sampling.

Multi-site Requirement Section 9, Appendix 1, 4.1.2, d, v: Maintain an internal audit or monitoring program sufficient to provide annual performance data on overall organizational conformance with the relevant standard.

Notes: Monitoring protocols are varied and widespread, with a focus on timber harvests, roads and trails, and vegetation treatments.

Minor Non-conformance: Internal auditing sufficient to assess overall conformance with the SFI 2010-2014 Standard was not demonstrated for issues managed centrally.

Multi-site Requirement Section 9, Appendix 1, 4.1.2, d, vii: Establish corrective and preventive measures if required and evaluate the effectiveness of corrective actions taken.

Notes: Corrective and preventive measures are currently focused on third-party audits, with other issues addressed to some degree in various program’s reviews and management processes.

Minor Non-conformance: Evidence was not provided of a systematic approach to internally-generated findings.

Ohio Division of Forestry has developed plans to address these new issues. Progress in implementing the remaining open corrective action plans will be reviewed in subsequent surveillance audits.

Five opportunities for improvement were also identified, and included:

SFI Indicator 4.1.4 requires “Development and implementation of criteria, as guided by regionally appropriate best scientific information, to retain stand-level wildlife habitat elements such as snags, stumps, mast trees, down woody debris, den trees and nest trees.” There is an opportunity to improve by more fully considering the alternative factors for selection of retention trees in deferment harvests.

SFI Indicator 15.3.2 requires “Program Participants are knowledgeable about climate change impacts on wildlife, wildlife habitats and conservation of biological diversity through international, national, regional or local programs.” There is an opportunity to improve field staff’s knowledge and awareness of climate change impacts.

SFI Indicator 16.1.3 requires “Staff education and training sufficient to their roles and responsibilities.”

There is an opportunity to improve record-keeping for professional training.

There is an opportunity to improve the system for ensuring that new employees receive needed training.

SFI Indicator 20.1.3 requires “Annual review of progress by management and determination of changes and improvements necessary to continually improve conformance to the SFI

2010-2014 Standard.” There is an opportunity to improve the system for documenting management review meetings.

These findings do not indicate a current deficiency, but served to alert Ohio Division of Forestry to areas that could be strengthened or which could merit future attention.

NSF-ISR also identified the following areas where forestry practices and operations exceed the basic requirements of the SFI Standard:

Performance Measure 5.4: Program Participants shall support and promote recreational opportunities for the public. Ohio Division of Forestry exceeds the standard by providing exceptional recreational opportunities.

Performance Measure 15.3: Program Participants shall individually and/or through cooperative efforts involving SFI Implementation Committees, associations or other partners provide in-kind support or funding for forest research to improve forest health, productivity, and sustainable management of forest resources, and the environmental benefits and performance of forest products. Ohio Division of Forestry exceeds the standard by extensive, long-term support of research.

The next surveillance audit is scheduled for September 17-19, 2012.



General Description of Evidence of Conformity

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

Objective 1. Forest Management Planning - To broaden the implementation of sustainable forestry by ensuring long-term forest productivity and yield based on the use of the best scientific information available.

Summary of Evidence –Forest management plans for these lands consists of several interlocked documents:

- a. The Ohio Land Management Manual
- b. The Shawnee Wilderness Plan
- c. The 2008 Strategic Plan for State Forests
- d. Forest-Specific 5-year management plans
- e. Forest-Specific Annual Work Plans
- f. The Backcountry Area Management Plan
- g. Grouse and Turkey Area Management Plan, and
- h. The RSA and HCVF Assessments.
- i. Desired Future Condition – May 2011

Supporting documentation provided by the Ohio Division of Forestry also and the associated inventory data and growth models provided additional key evidence of conformance.

Objective 2. Forest Productivity - To ensure long-term forest productivity, carbon storage and conservation of forest resources through prompt reforestation, soil conservation, afforestation and other measures.

Summary of Evidence – Field observations and associated records were used to confirm practices. Ohio Division of Forestry has programs for reforestation, for protection against insects, diseases, and wildfire, and for careful management of activities which could potentially impact soil and long-term productivity.

Objective 3. Protection and Maintenance of Water Resources - To protect water quality in streams, lakes and other water bodies.

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

Objective 4. Conservation of Biological Diversity including Forests with Exceptional Conservation Value To manage the quality and distribution of wildlife habitats and contribute to the conservation of biological diversity by developing and implementing stand- and landscape-level measures that promote habitat diversity and the conservation of forest plants and animals, including aquatic species.

Summary of Evidence – Field observations, written plans and policies detailed in the Ohio Land Management Manual, use of college-trained field biologists, availability of specialists, and regular staff involvement in conferences and workshops that cover scientific advances were the evidence used to assess the requirements involved biodiversity conservation.

Objective 5. Management of Visual Quality and Recreational Benefits - To manage the visual impact of forest operations and provide recreational opportunities for the public.

Summary of Evidence – Field observations of completed operations and policies/procedures for visual quality were assessed during the evaluation. Further maps of recreation sites, combined with field visits, helped confirm a strong recreation program.

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

Summary of Evidence – Field observations of completed operations, records of special sites, training records, and written protection plans were all assessed during the evaluation.

Objective 7. Efficient Use of Forest Resources - To promote the efficient use of forest resources.

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

Objectives 8 through 13. NA

Objective 14. Legal and Regulatory Compliance -

Compliance with applicable federal, provincial, state and local laws and regulations.

Summary of Evidence – Field reviews of ongoing and completed operations were the most critical evidence. No evidence of regulatory problems was found.

Objective 15. Forestry Research, Science, and Technology - To support forestry research, science, and technology, upon which sustainable forest management decisions are based.

Summary of Evidence – Financial records were confirmed and some recipients of research support were interviewed.

Objective 16. Training and Education -To improve the implementation of sustainable forestry practices through appropriate training and education programs.

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

Objective 17. Community Involvement in the Practice of Sustainable Forestry -

To broaden the practice of sustainable forestry by encouraging the public and forestry community to participate in the commitment to sustainable forestry, and publicly report progress.

Summary of Evidence – Mailing lists, agendas for meetings, and selected summaries of comments were sufficient to assess the requirements.

Objective 18: Public Land Management Responsibilities -

To support and implement sustainable forest management on public lands.

Not reviewed during 2011 Surveillance Audit.

Objective 19. Communications and Public Reporting - To broaden the practice of sustainable forestry by documenting progress and opportunities for improvement.

Summary of Evidence – Interviews, copies of reports filed with SFI Inc. and the SFI Inc. website provided evidence.

Objective 20. Management Review and Continual Improvement - To promote continual improvement in the practice of sustainable forestry, and to monitor, measure, and report performance in achieving the commitment to sustainable forestry.

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

Relevance of Forestry Certification

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

1. Sustainable Forestry

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

2. Forest Productivity and Health

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

3. Protection of Water Resources

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

4. Protection of Biological Diversity

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

5. Aesthetics and Recreation

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

6. Protection of Special Sites

To manage forests and lands of special significance (ecologically, geologically or culturally important) in a manner that protects their integrity and takes into account their unique qualities.

7. Responsible Fiber Sourcing Practices in North America

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

8. Avoidance of Controversial Sources including Illegal Logging in Offshore Fiber Sourcing

To avoid wood fiber from illegally logged forests when procuring fiber outside of North America, and to avoid sourcing fiber from countries without effective social laws.

9. Legal Compliance

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

10. Research

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

technology.

11. Training and Education

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

12. Public Involvement

To broaden the practice of sustainable forestry on public lands through community involvement.

13. Transparency

To broaden the understanding of forest certification to the SFI 2010-2014 Standard by documenting certification audits and making the findings publicly available.

14. Continual Improvement

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

Source: Sustainable Forestry Initiative® (SFI) Standard, 2010-2014 Edition

For Additional Information Contact:

Mike Ferrucci
SFI Program Manager
NSF-ISR
26 Commerce Drive
North Branford, CT 06471
203-887-9248
mferrucci@iforest.com

Chad Sanders
Land Management Administrator
ODNR-Division of Forestry
2045 Morse Road, Bldg H-1
Columbus, Ohio 43229-6693
614-265-6701
Chad.Sanders@dnr.state.oh.us

Appendix III



Audit Matrix

NSF-ISR SFI 2010-2014 MATRIX INCLUDING GUIDANCE FOR TRANSITION REQUIREMENTS

Findings and Instructions:

C	Conformance
Exr	Exceeds the Requirements
Maj	Major Non-conformance
Min	Minor Non-conformance
OFI	Opportunity for Improvement (can also be in Conformance)
NA	Not Applicable
Likely Gap *	Likely Gap Against 2010-2014 SFIS*
Likely Conf. *	Likely Conformance With 2010-2014 SFIS*
	* formerly used for transition issues; Gap columns retained for use during Baseline Audits.
Auditor	Optional; may be used for audit planning.
10, 11	Date Codes, for example: 11= September 2011
Other	Words in <i>italics</i> are defined in the standard.

LMM Ohio State Forest Land Management Manual

FRAS Ohio's Forest Resource Assessment & Strategy: 2010

IEM Ohio Division of Forestry SFI Indicators and Evidence Matrix 2011

Objective 1. Forest Management Planning

To broaden the implementation of *sustainable forestry* by ensuring *long-term forest productivity* and yield based on the use of the *best scientific information* available.

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
1.1	Program Participants shall ensure that forest management plans include long-term harvest levels that are sustainable and consistent with appropriate growth-and-yield models.	MF	11						
Notes	Tiered system of plans: statewide strategies and programs; 5-year state forest plans; and annual work plans. Reviewed: Statewide Forest Resource Assessment and Statewide Forest Resource Strategy (FRAS)								

	2010-2014 Requirement (Performance Measures bold)	Audit or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
1.1.1	Forest management planning at a level appropriate to the size and scale of the operation, including: a. a long-term resources analysis; b. a periodic or ongoing forest inventory; c. a land classification system; d. soils inventory and maps, where available; e. access to growth-and-yield modeling capabilities; f. up-to-date maps or a geographic information system; g. recommended sustainable harvest levels for areas available for harvest; and h. a review of non-timber issues (e.g. recreation, tourism, pilot projects and economic incentive programs to promote water protection, carbon storage, bioenergy feedstock production, or biological diversity conservation, or to address climate-induced ecosystem change).	MF	11						
Notes	<p>“Update 2011: DOF revised Desired Future Conditions, 5-year management plans, and formulated new initiative to set annual harvest goal at 40% of annual growth.” Ohio Division of Forestry SFI Indicators and Evidence Matrix 2011.</p> <p>Discussed the draft management plan for the Vinton Furnace State Experimental Forest which is based on the existing stewardship plan. Have an inventory from 2006 acquired along with the property. The other 20 state forests have 5-year management plans, all were revised to incorporate the revised Desired Future Conditions.</p> <p>Reviewed cruising reports for some of the selected harvest areas visited. These provide prescriptions for all of the management units (generally similar to stands). Also reviewed the “Marking Considerations” reports which provide that “as marked” prescription for the actual cutting units.</p>								

1.1.2	Documentation of annual harvest trends in relation to the sustainable forest management plan in a manner appropriate to document past and future activities.	MF	11						
<i>Notes</i>	The method for setting system-wide harvest target was recently changed from bottom-up based on prescriptions at the stand-level to an overall target of 40% of growth on lands available for harvest.								
	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
1.1.3	A forest inventory system and a method to calculate growth and yield.	MF	11						
<i>Notes</i>	<p>Confirmed through review of documents and inventory data for most compartments visited that there is a robust inventory system in place that is found in a forest information system (GENUS) and the inventory database.</p> <p>2009 overall inventory of the largest forests, covering 80%+ of the forestland, supplemented by the 20-year inventory system in which each year 5% of the compartments are inventoried prior to the development of any harvest or treatment prescriptions. DOF approach to inventory updates is provided in Chapter 3 of the LM manual relating to the 20-year compartment review process and post-harvest cruising. Growth is calculated using FIA data and/or FVS (Northeast variant) based on the 2009 dataset of 80% of the land and models using FVS for growth. The remaining 20% is estimated using FIA data county average.</p> <p>Inventory data for some of the management units selected for field visits was confirmed and appeared to match the stand conditions.</p>								
	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
1.1.4	Periodic updates of forest inventory and recalculation of planned harvests to account for changes in growth due to productivity increases or decreases (e.g. improved data, long-term drought, fertilization, climate change, forest land ownership changes, etc.).	MF	11						
<i>Notes</i>	Ohio Division of Forestry's approach to inventory updates is provided in Chapter 3 of the LM manual relating to the 20-year compartment review process and post-harvest cruising. Ohio Division of Forestry conducts post-harvest cruising to update the inventory data (on all partial cuts and shelterwood cuts.) Recalculation of the G&Y is possible based on the updated inventory data.								
	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
1.1.5	Documentation of forest practices (e.g., planting, fertilization, and thinning) consistent with assumptions in harvest plans.	NR							
<i>Notes</i>	Not reviewed during 2011 Surveillance Audit.								

Objective 2. Forest Productivity.

To ensure *long-term forest productivity*, carbon storage, and *conservation* of forest resources through prompt *reforestation*, *soil conservation*, *afforestation* and other measures.

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
2.1	Program Participants shall promptly reforest after final harvest.	MF	11						
<i>Notes</i>	“Update 2011: A new prescribed fire monitoring protocol is being implemented. The silv regime will be (in most cases) site prep burn, monitor regen, regeneration harvest, release burn, monitor regen. The protocol will be using SILVAH Oak regen plots. Updated chapter 12 of LM manual. This will better ensure natural regen establishment.” Ohio Division of Forestry SFI Indicators and Evidence Matrix 2011								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
2.1.1	Designation of all harvest areas for either natural regeneration or by planting.	MF	11						
<i>Notes</i>	All harvests reviewed were documented as natural regeneration in the marking considerations, provided by cut section.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
2.1.2	Reforestation, unless delayed for site-specific environmental or forest health considerations or legal requirements, through planting within two years or two planting seasons, or by planned natural regeneration methods within five years.	MF	11						
<i>Notes</i>	Confirmed by field observations; regeneration appears to be sure and fairly swift.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
2.1.3	Clear criteria to judge adequate regeneration and appropriate actions to correct understocked areas and achieve acceptable species composition and stocking rates for both planting and natural regeneration.	MF	11						

Notes	Foresters are trained in and use the SILVAH Oak system (offshoot of SILVAH which has been customized for West Virginia and Ohio) for evaluating successful regeneration prior to final harvest.								
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	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
2.1.4	Minimized plantings of exotic tree species, and research documentation that exotic tree species, planted operationally, pose minimal risk.	NA							
Notes	NA - None planted.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
2.1.5	Protection of desirable or planned advanced natural regeneration during harvest.	MF	11						
Notes	Confirmed by field observations.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
2.1.6	Planting programs that consider potential ecological impacts of a different species or species mix from that which was harvested.								
Notes	Not reviewed during 2011 Surveillance Audit; very little planting is done.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
2.1.7	Afforestation programs that consider potential ecological impacts of the selection and planting of tree species in non-forested landscapes.	MF	11						
Notes	DOFs afforestation projects are very limited and the small number of examples were for carbon projects in formally floodplain forests. Species planted are native.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
2.2	Program Participants shall minimize chemical use required to achieve management objectives while protecting employees, neighbors, the public and the environment, including wildlife and aquatic habitats.	MF	11						
<i>Notes</i>	“Update 2011: OWJC program continues with limited funding. Two staff foresters focus on invasive control. All chemical use on state forests are for either invasives or TSI.” Ohio Division of Forestry SFI Indicators and Evidence Matrix 2011								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
2.2.1	Minimized chemical use required to achieve management objectives.	MF	11						
<i>Notes</i>	The program continues to be quite limited. All chemical use on state forests are for either invasives or TSI.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
2.2.2	Use of least-toxic and narrowest-spectrum pesticides necessary to achieve management objectives.	MF	11						
<i>Notes</i>	Most treatments involve the use of roundup for treatment of invasive plants.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
2.2.3	Use of pesticides registered for the intended use and applied in accordance with label requirements.	NR							
<i>Notes</i>	Not reviewed during 2011 Surveillance Audit.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
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2.2.4	Use of integrated pest management where feasible.	MF	11						
<i>Notes</i>	Ohio Division of Forestry policy; Ohio State Forest Land Management Manual.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
2.2.5	Supervision of forest chemical applications by state- or provincial-trained or certified applicators.	NR							
<i>Notes</i>	Not reviewed during 2011 Surveillance Audit.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
2.2.6	Use of management practices appropriate to the situation, for example: <ul style="list-style-type: none"> a. notification of adjoining landowners or nearby residents concerning applications and chemicals used; b. appropriate multilingual signs or oral warnings; c. control of public road access during and immediately after applications; d. designation of streamside and other needed buffer strips; e. use of positive shutoff and minimal-drift spray valves; f. aerial application of forest chemicals parallel to buffer zones to minimize drift; g. monitoring of water quality or safeguards to ensure proper equipment use and protection of streams, lakes and other water bodies; h. appropriate storage of chemicals; i. filing of required state or provincial reports; and/or j. use of methods to ensure protection of threatened and endangered species. 	NR							
<i>Notes</i>	Not reviewed during 2011 Surveillance Audit.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
2.3	Program Participants shall implement forest management practices to protect and maintain forest and soil productivity.	MF	11						
<i>Notes</i>	See indicators.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
2.3.1	Use of soils maps where available.	MF	11						
<i>Notes</i>	Soils layer included in GIS; used in planning harvest.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
2.3.2	Process to identify soils vulnerable to compaction, and use of appropriate methods to avoid excessive soil disturbance.	MF	11						
<i>Notes</i>	ODOF has a wet weather policy; soils maps are routinely used to plan harvests and identify highly erodible sites. Observed proper skid road layout showing that soils are considered and potential impacts are mitigated.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
2.3.3	Use of erosion control measures to <i>minimize</i> the loss of soil and site <i>productivity</i> .	MF	11						
<i>Notes</i>	BMP use is specified in various documents and ODOF personnel are familiar with the various BMPs. Field observations confirm that BMP practices, including sale planning, harvest unit design, road layout, and post-harvest remediation such as installation of proper waterbars, use of brush or hay mulch, are generally superb.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
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2.3.4	Post-harvest conditions conducive to maintaining site productivity (e.g. limited rutting, retained down woody debris, minimized skid trails).	MF	11						
<i>Notes</i>	Confirmed by field observations.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
2.3.5	Retention of vigorous trees during partial harvesting, consistent with scientific silvicultural standards for the area.	MF	11						
<i>Notes</i>	Confirmed by field observations.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
2.3.6	Criteria that address harvesting and site preparation to protect soil productivity.	MF	11						
<i>Notes</i>	Confirmed that the wet weather logging policy is included in the timber sale contracts.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
2.3.7	Road construction and skidding layout to minimize impacts to soil productivity and water quality.	MF	11						
<i>Notes</i>	Field observations confirm good practices implemented during sale planning and harvest unit design to ensure that road layout and construction minimize impacts to soils and water quality. Loggers always have bulldozers equipped with versatile control of the blades, ensuring that skid roads are properly constructed where needed, and that waterbars are constructed according to BMP specifications.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
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2.4	Program Participants shall manage so as to protect forests from damaging agents, such as environmentally or economically undesirable wildfire, pests, diseases and invasive exotic plants and animals, to maintain and improve long-term forest health, productivity and economic viability.	MF	11						
<i>Notes</i>	Forest health programs and issues are covered in Chapter 10 of the Ohio State Forest Land Management Manual. “Update 2011: Asian Longhorn Beetle discovered in Ohio 2011. DOF partnership with APHIS and Ohio Dept. of Agr. Private land however, staff engaged in surveys, mapping, and educational efforts.” Ohio Division of Forestry SFI Indicators and Evidence Matrix 2011.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
2.4.1	Program to protect forests from damaging agents.	MF	11						
<i>Notes</i>	Ohio Division of Forestry has a forest pest program that includes extensive monitoring and specific activities to protect the forest from damaging agents including silvicultural treatments, research, monitoring and forest health surveys. The department also provides assistance to other forest managers and volunteer fire departments. Monitoring information is stored in a database which managers and field foresters contribute information to and can access. The forest health program has one program staff person (Lisa Bauer) and a fire program with associated staff. Ohio Division of Forestry’s approach to forest protection is outlined in chapter 10 of the Ohio State Forest Land Management Manual. The manual describes the fire program, the forest health program, the key pests (Emerald Ash Borer, Gypsy Moth, White Oak Decline, Invasive plants). T								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
2.4.2	Management to promote healthy and productive forest conditions to minimize susceptibility to damaging agents.	MF	11						
<i>Notes</i>	Forests visited were generally healthy and properly stocked, although some are overstocked. Species are well matched to the sites. Management practices are designed to promote healthy forest conditions. Salvage and improvement thinning treatments were observed.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
2.4.3	Participation in, and support of, fire and pest prevention and control programs.	MF	11						

Notes	<p>“COLUMBUS, OH – The Wilkesville Fire Department of Vinton County will receive a 1992 International tanker truck through the Ohio Department of Natural Resources (ODNR), Division of Forestry.</p> <p>The division will provide the equipment, which has an original value of \$37,063, at no charge to the fire department through the U.S. Department of Defense Fire Fighter Property (FFP) Program.” http://ohiodnr.com/Default.aspx?alias=ohiodnr.com/forestry</p> <p>“VII. Wildland Fire</p> <p>Suppression: The Division of Forestry has the statutory authority for fire suppression and protection within the hill country of the state. Zaleski State Forest is responsible for these duties in Vinton, Meigs, and Athens Counties. Division employees serve as initial attack resources within the forest boundaries and assist VFD’s outside the forest boundaries, when requested. Most requests involve the use of heavy equipment.” Source Vinton Furnace Work Plan FY12</p> <p>Shawnee State Forest covers several local counties in terms of fire suppression support.</p>
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	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
2.5	Program Participants that deploy improved planting stock, including varietal seedlings, shall use sound scientific methods.	NA							
Notes	NA because the Ohio Division of Forestry does not have any operational planting programs. Planting projects are incidental.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
2.5.1	Program for appropriate research, testing, evaluation and deployment of improved planting stock, including varietal seedlings.	NA							

Objective 3. Protection and Maintenance of Water Resources

To protect water quality in rivers, streams, lakes, and other water bodies.

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
3.1	Program Participants shall meet or exceed all applicable federal, provincial, state and local water quality laws, and meet or exceed best management practices developed under Canadian or U.S. Environmental Protection Agency–approved water quality programs.	MF	11						
<i>Notes</i>	Foresters complete a “Timber Harvest Notice of Intent (NOI)” in advance of all timber harvests, and submit this to the local Soil & Water Conservation District. The form outlines 8 standard BMPs which involve streams, skid roads and trails, roads, and log landings, and provide for a written description of alternative approaches.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
3.1.1	Program to implement state or provincial best management practices during all phases of management activities.	MF	11						
<i>Notes</i>	<p>Closed 2010 Minor Non-conformance. The issue was that BMPs were not in place on Blackburn Ridge Road. From Ohio Division of Forestry Corrective Action Plan: “Blackburn Ridge Road is an un-maintained township road at Shawnee State Forest that has limited use and access. Ohio DOF did not have a mechanism in place to maintain limited-use township roads; therefore, Blackburn Ridge Road did not have adequate BMP’s.”</p> <p>Confirmed that the elements of the Ohio Division of Forestry Corrective Action Plan provided below were completed: “Containment Plan: In October 2010, to prevent possible erosion and water quality issues, DOF re-graded and drained Blackburn Ridge Road and brought it in line with the BMP standards for Ohio. Corrective Action Plan: Ohio DOF will formulate a set of inspection, scheduling, and maintenance standards for limited-use roads on state forests and include these maintenance standards in our land management manual and the planned road activities in our annual work plans. Preventative Action Plan: A new limited-use road maintenance standard will be written and included in our land management manual. All state foresters will receive training on the new standards. State foresters must catalog, inspect, and schedule all limited-use roads for maintenance and include a list of scheduled activities in each annual work plan. Completion Date: October 2011 – BMPs are in place on Blackburn Ridge Road. December 2010 – a new limited-use road maintenance standard will be in place as policy. August 2011 – all limited-use roads will be inspected and scheduled for maintenance and all staff will be trained.</p>								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
3.1.2	Contract provisions that specify conformance to best management practices.	MF	11						

<i>Notes</i>	Requirements for use of BMPs are described in the timber sale prospectuses and are in the timber sale contracts.								
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	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
3.1.3	Plans that address wet-weather events (e.g. forest inventory systems, wet-weather tracts, definitions of acceptable operating conditions).	MF	11						
<i>Notes</i>	Such plans are in place, including provisions in the timber sale and timber harvesting contracts and the wet-weather policy. Timber sale administrators' notes demonstrate that sales are occasionally closed or temporarily suspended due to wet weather and unstable soil conditions.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
3.1.4	Monitoring of overall best management practices implementation.	MF	11						
<i>Notes</i>	The audit team reviewed Ohio Division of Forestry "Cutting and Logging Inspection" reports for all completed and active harvests that were reviewed in the field, as well as a few projects not actually visited. Reports are generally filled out weekly. These forms provide for recording the sale administrators evaluation of BMPs, residual stand damage, utilization, and sale progress. Comments sections provided short but useful narrative descriptions of sale progress.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
3.2	Program Participants shall have or develop, implement and document riparian protection measures based on soil type, terrain, vegetation, ecological function, harvesting system and other applicable factors.	MF	11						
<i>Notes</i>	See indicators.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
3.2.1	Program addressing management and protection of rivers, streams, lakes, and other water bodies and riparian zones.	MF	11						

Notes	A zoning system which provides for no harvesting or limited harvesting near the largest streams and rivers and the SMZ policy which provides for an inner “no-cut” and an outer “filter strip” are outlined in the Ohio State Forest Land Management Manual.								
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	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
3.2.2	Mapping of rivers, streams, lakes, and other water bodies as specified in state or provincial best management practices and, where appropriate, identification on the ground.	MF	11						
Notes	These features are shown on sale maps provided to the audit team; features were buffered out of some sales that the team inspected. GIS includes rivers, streams, lakes, and other water bodies.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
3.2.3	Implementation of plans to manage or protect rivers, streams, lakes, and other water bodies.	MF	11						
Notes	Confirmed by field observations.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
3.2.4	Identification and protection of non-forested wetlands, including bogs, fens and marshes, and vernal pools of ecological significance.	MF	11						
Notes	Confirmed by field observations in two areas where small, non-forested wetlands were within sale area they were protected with no-cut buffers.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
3.2.5	Where regulations or best management practices do not currently exist to protect riparian areas, use of experts to identify appropriate protection measures.	NA							
Notes	NA: Ohio does have BMPs to protect riparian areas.								

Objective 4. Conservation of Biological Diversity including Forests with Exceptional Conservation Value.

To manage the quality and distribution of wildlife habitats and contribute to the conservation of biological diversity by developing and implementing stand- and landscape-level measures that promote a diversity of types of habitat and successional stages, and conservation of forest plants and animals, including aquatic species.

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
4.1	Program Participants shall have programs to promote biological diversity at stand- and landscape-levels.	MF	11						
<i>Notes</i>	See indicators.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
4.1.1	Program to promote the conservation of native biological diversity, including species, wildlife habitats and ecological community types.	MF	11						
<i>Notes</i>	“DOF has a focus on oak ecology and has designed treatments specific to promoting and conserving xeric species and oak regeneration. DOF has a partnership with DOW and biologists are involved in our planning process. Update 2011: DOW staff (3 persons) provided input and comprehensive comments on all state forests annual work plans and site plans.” Source: Ohio Division of Forestry SFI Indicators and Evidence Matrix 2011 The preceding statements were supported by documents and by interviews with Ohio Division of Forestry and by Wildlife personnel.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
4.1.2	Program to protect threatened and endangered species.	MF	11						
<i>Notes</i>	As specified in the Ohio State Forest Land Management Manual, ODOF has a comprehensive program to protect threatened and endangered species. Foresters check the database of threatened and endangered species during planning prior to ground disturbing activities. These are also covered in management plans. Ohio Division of Wildlife staff conducts training of field foresters in T and E species identification and management.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
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4.1.3	Program to locate and protect known sites associated with viable occurrences of critically imperiled and imperiled species and communities also known as Forests with Exceptional Conservation Value. Plans for protection may be developed independently or collaboratively, and may include Program Participant management, cooperation with other stakeholders, or use of easements, conservation land sales, exchanges, or other conservation strategies.	MF	11						
Notes	DOF uses Ohio Biodiversity database during pre-assessment stage of ground disturbance projects to identify and protect known sites. The zoning process used in the development of State Forest Management Plans provides protection for special areas that may or do include communities with exceptional conservation value.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
4.1.4	Development and implementation of criteria, as guided by regionally appropriate best scientific information, to retain stand-level wildlife habitat elements such as snags, stumps, mast trees, down woody debris, den trees and nest trees.	MF	11				11		
Notes	<p>There is an opportunity to improve by more fully considering the alternative factors for selection of retention trees in deferment harvests.</p> <p>Closed Minor Nonconformance 2010-02: Stand-level wildlife habitat guidelines are confusing and somewhat contradictory; foresters are unlikely to be able to consistently implement them.</p> <p>“Update 2011: DOF in partnership with DOW revised the retention guidelines, updated the LM manual chapter 4 and 5, and provided training to staff.” Source: Ohio Division of Forestry SFI Indicators and Evidence Matrix 2011</p>								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
4.1.5	Program for assessment, conducted either individually or collaboratively, of forest cover types, age or size classes, and habitats at the individual ownership level and, where credible data are available, across the landscape, and take into account findings in planning and management activities.	NR							
Notes	Not reviewed during 2011 Surveillance Audit.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
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4.1.6	Support of and participation in plans or programs for the conservation of old-growth forests in the region of ownership.	NR							
<i>Notes</i>	Not reviewed during 2011 Surveillance Audit.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
4.1.7	Participation in programs and demonstration of activities as appropriate to limit the introduction, impact and spread of invasive exotic plants and animals that directly threaten or are likely to threaten native plant and animal communities.	MF	11						
<i>Notes</i>	<p>“1) The Ohio Woodland Job Corps – temporary crews of forest workers who treat invasive species on state forests</p> <p>2) Private lands invasive species assistance – DOF has one full-time project employee who gives assistance to private landowners and other public land managers on the id and control of invasive species. This position also has an outreach and education. Update 2011: these programs continue.” Source: Ohio Division of Forestry SFI Indicators and Evidence Matrix 2011. Interviews with managers confirmed statement above.</p>								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
4.1.8	Program to incorporate the role of prescribed or natural fire where appropriate.	MF	11						
<i>Notes</i>	<p>Discussed and reviewed documentation regarding enhanced/updated post-fire monitoring protocols. They have adopted the “Silvah-Oak” protocol that includes observations of overstory, understory, and mid-story pre-treatment and then 3-5 years after treatment. Silvah-Oak has been modified for use in Ohio by the USFS Delaware lab. For less than 100 acres there will be a plot every 5 acres, with a lower intensity of plots on larger treatment areas.</p> <p>Fire studies being done at Tar Hollow SF (with an existing invasive plant problem) and Vinton Experimental Forest (no invasive plant problem).</p>								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
4.2	Program Participants shall apply knowledge gained through research, science, technology and field experience to manage wildlife habitat and contribute to the conservation of biological diversity.	MF	11						
<i>Notes</i>	See indicators.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
4.2.1	Collection of information on Forests with Exceptional Conservation Value and other biodiversity-related data through forest inventory processes, mapping or participation in external programs, such as NatureServe, state or provincial heritage programs, or other credible systems. Such participation may include providing non-proprietary scientific information, time and assistance by staff, or in-kind or direct financial support.	MF	11						
<i>Notes</i>	<p>In 2010 there was an opportunity to improve reported for more systematically contributing information to the Ohio Biodiversity Database. Ohio Division of Forestry has responded to this OFI by enhancing their program to support the collection of biodiversity information.</p> <p>“Update 2011: DOF has an in-house botanist who review every positive “hit” on timber sales and forwards his review of the site to DOW for updated the Ohio Biodiversity Database.” Source: Ohio Division of Forestry SFI Indicators and Evidence Matrix 2011</p>								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
4.2.2	A methodology to incorporate research results and field applications of biodiversity and ecosystem research into forest management decisions.	MF	11						
<i>Notes</i>	Ohio Division of Forestry relies primarily on the Ohio Division of Wildlife to meet this requirement. Interviewed Mike Reynolds, Ohio Division of Wildlife, who confirmed the close cooperation and described several projects, initiatives, and the work done to update Chapter 5 of the Ohio State Forest Land Management Manual.								

Objective 5. Management of Visual Quality and Recreational Benefits.

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

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
5.1	Program Participants shall manage the impact of harvesting on visual quality.	MF	11						
<i>Notes</i>	Confirmed by field observations that harvest planning and implementation are using a variety of approaches to manage visual impacts.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
5.1.1	Program to address visual quality management.	MF	11						
<i>Notes</i>	DOF incorporates guidelines from NRAES and others into a written protocol and training for foresters on logging aesthetics. Trained foresters plan and oversee all harvest activity.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
5.1.2	Incorporation of aesthetic considerations in harvesting, road, landing design and management, and other management activities where visual impacts are a concern.	MF	11						
<i>Notes</i>	Confirmed by field observations that harvest planning and implementation are using a variety of approaches to manage visual impacts.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
5.2	Program Participants shall manage the size, shape and placement of clearcut harvests.	MF	11						
<i>Notes</i>	<p>“Historically, clearcut size has to be less than 25 acres per policy.” Ohio Division of Forestry SFI Indicators and Evidence Matrix 2011. Current policy requires that clearcuts larger than 10 acres must have significant retention. Field observations support these statements; few clearcuts were observed, except for places affected by wildfire or forest health issues, and these clearcuts were generally small.</p> <p>Marking Considerations form, filled out for every cut unit during sale preparation, includes a section “Greenup and Retention Considerations”. Two key items included are “Most Recent Adjacent Harvest” and “Average height of reproduction in most recent adjacent regeneration harvest”.</p>								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
5.2.1	Average size of clearcut harvest areas does not exceed 120 acres (50 hectares), except when necessary to meet regulatory requirements or to respond to forest health emergencies or other natural catastrophes.	MF	11						
<i>Notes</i>	2010 average clearcut size 17 acres (total 530 acres). "Individual cutting sections (units) and sales are tracked in DOF's forest information system (Genus). DOF determines that the average size of clearcut cutting sections is 17.39 acres (for the last 5 years) by doing a simple average of all cutting sections in the GIS." Ohio Division of Forestry SFI Indicators and Evidence Matrix 2011								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
5.2.2	Documentation through internal records of clearcut size and the process for calculating average size.	MF	11						
<i>Notes</i>	2010 average clearcut size 17 acres (total 530 acres). "Individual cutting sections (units) and sales are tracked in DOF's forest information system (Genus). DOF determines that the average size of clearcut cutting sections is 17.39 acres (for the last 5 years) by doing a simple average of all cutting sections in the GIS." Ohio Division of Forestry SFI Indicators and Evidence Matrix 2011								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
5.3	Program Participants shall adopt a green-up requirement or alternative methods that provide for visual quality.	MF	11						
<i>Notes</i>	See indicators.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
5.3.1	Program implementing the green-up requirement or alternative methods.	MF	11						
<i>Notes</i>	Marking Considerations form, filled out for every cut unit during sale preparation, includes a section "Greenup and Retention Considerations". Two key items included are "Most Recent Adjacent Harvest" and "Average height of reproduction in most recent adjacent regeneration harvest".								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
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5.3.2	Harvest area tracking system to demonstrate conformance with the green-up requirement or alternative methods.	MF	11						
<i>Notes</i>	GIS used by Ohio Division of Forestry is comprehensive and sophisticated. It supplements the use of the “Marking Considerations” form which has provisions for recording greenup considerations.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
5.3.3	Trees in clearcut harvest areas are at least 3 years old or 5 feet (1.5 meters) high at the desired level of stocking before adjacent areas are clearcut, or as appropriate to address operational and economic considerations, alternative methods to reach the performance measure are utilized by the Program Participant.	MF	11						
<i>Notes</i>	Field observations.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
5.4	Program Participants shall support and promote recreational opportunities for the public.	MF		11					
<i>Notes</i>	<u>Ohio Division of Forestry exceeds the standard by providing exceptional recreational opportunities.</u> DOF has a Law Enforcement and Recreation program. All state forests are open to some type of recreation. Recreation program has standards and guidelines and is a focus of the strategic plan. Also see indicator.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
5.4.1	Provide recreational opportunities for the public, where consistent with forest management objectives.	MF		11					
<i>Notes</i>	All Ohio State Forests offer some form of recreation; the range of uses and activities offered is impressive. Confirmed some of these facilities during the 2011 Surveillance Audit.								

Objective 6. Protection of Special Sites.

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

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
6.1	Program Participants shall identify special sites and manage them in a manner appropriate for their unique features.	MF	11						
Notes	“Update 2011: DOF has in-house botanist who review sites and forwards his finding to the DOW for updating of the Ohio Biodiversity Database. DOW provided botanist to review HCVF areas during monitoring. His findings led to modifying one timber sale (Hocking A-3 Proposed Timber Sale) in order to better protect the site.” Source: Ohio Division of Forestry SFI Indicators and Evidence Matrix 2011 this site, on Hocking State Forest, was briefly visited by audit team (focus was on the adjacent HCVF area).								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
6.1.1	Use of information such as existing natural heritage data, expert advice or stakeholder consultation in identifying or selecting special sites for protection.	MF	11						
Notes	DOF policies require that special sites are considered prior to activity; all sites are checked against the Ohio Biodiversity database and the Historical Society Database. DOF also maintains a GIS layer of special sites that was put together internally based on a self-assessment.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
6.1.2	Appropriate mapping, cataloging and management of identified special sites.	MF	11						
Notes	1,600 acres of HCVFs are mapped, and the program to review a portion of them each year, on a 5-year cycle, was discussed.								

Objective 7. Efficient Use of Forest Resources.

To promote the efficient use of forest resources.

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
<i>7.1</i>	Program Participants shall employ appropriate forest harvesting technology and in-woods manufacturing processes and practices to minimize waste and ensure efficient utilization of harvested trees, where consistent with other SFI Standard objectives.	MF	11						
<i>Notes</i>	Forest products will be offered for sale through both the traditional state forest timber sales (stumpage) and merchandising sales. Firewood permits are available for sale to the public.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
<i>7.1.1</i>	Program or monitoring system to ensure efficient utilization, which may include provisions to ensure: <ul style="list-style-type: none"> a. management of harvest residue (e.g. slash, limbs, tops) considers economic, social and environmental factors (e.g. organic and nutrient value to future forests) and other utilization needs; b. training or incentives to encourage loggers to enhance utilization; c. cooperation with mill managers for better utilization of species and low-grade material; d. exploration of markets for underutilized species and low-grade wood and alternative markets (e.g. bioenergy markets); or e. periodic inspections and reports noting utilization and product separation. 	MF	11						
<i>Notes</i>	<p>Confirmed by field observations that utilization is generally fairly good; there are some issues with utilization of small, low-value Sawlogs.</p> <p>DOF has a marketing and utilization program that focuses on these issues and promoting markets for low grade, firewood, and biomass. DOF also has contract and harvest specs to promote utilization.</p> <p>Merchandising program for some harvests in which the ODOF hires contract loggers and then uses state crews to buck logs which are merchandized in the wood yards in the forest; this has been very successful. This applies to 10-15% of the total harvest, or about 1.2 million bf/yr.</p>								

Objectives 8-13 are Not Applicable

Objective 14. Legal and Regulatory Compliance.

Compliance with applicable federal, provincial, state and local laws and regulations.

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
<i>14.1</i>	Program Participants shall take appropriate steps to comply with applicable federal, provincial, state and local forestry and related social and environmental laws and regulations.								
<i>Notes</i>	See indicators.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
<i>14.1.1</i>	Access to relevant laws and regulations in appropriate locations.	NR							
<i>Notes</i>	Not reviewed during 2011 Surveillance Audit.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
<i>14.1.2</i>	System to achieve compliance with applicable federal, provincial, state or local laws and regulations.	MF	11						
<i>Notes</i>	All projects are carefully planned by trained foresters supported by other professionals as needed, with review by experienced managers. This project approval process contributes to compliance record.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
<i>14.1.3</i>	Demonstration of commitment to legal compliance through available regulatory action information.	MF	11						
<i>Notes</i>	No reports of non-compliance; interviews of Ohio Division of Forestry and internet search.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
<i>14.2</i>	Program Participants shall take appropriate steps to comply with all applicable social laws at the federal, provincial, state and local levels in the country in which the Program Participant operates.	MF	11						
<i>Notes</i>	See indicators.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
<i>14.2.1</i>	Written policy demonstrating commitment to comply with social laws, such as those covering civil rights, equal employment opportunities, anti-discrimination and anti-harassment measures, workers' compensation, indigenous peoples' rights, workers' and communities' right to know, prevailing wages, workers' right to organize, and occupational health and safety.	MF	11						
<i>Notes</i>	DOF human resources administrator oversees notices and trainings on this subject. Records are mandated and available. State agency mandates compliance and training on these issues.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
<i>14.2.2</i>	Forestry enterprises will respect the rights of workers and labor representatives in a manner that encompasses the intent of the International Labor Organization (ILO) core conventions.	MF	11						
<i>Notes</i>	There have not been any ILO-related complaints. If any occur NSF must pass these along to SFI Inc. There have not even been any grievances. Managers and program leaders are exempt, but non-employees are organized into 2 unions: one for public employees and one for law enforcement.								

Objective 15. Forestry Research, Science, and Technology.

To support forestry research, science, and technology, upon which sustainable forest management decisions are based.

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
<i>15.1</i>	Program Participants shall individually and/or through cooperative efforts involving SFI Implementation Committees, associations or other partners provide in-kind support or funding for forest research to improve forest health, productivity, and sustainable management of forest resources, and the environmental benefits and performance of forest products.	MF	11						
<i>Notes</i>	<p>“DOF supports research by providing sites for research on state forests. A list of sites is available. DOF also partners with USFS Delaware in their myriad of research projects by assisting with prescribed burns and other activities. DOF is expected to complete the purchase of the Vinton Furnace Experimental Forests where over 50 years of forest research has taken place. DOF commits to maintaining that forest specifically for research purposes. Update 2011: DOF now owns and manages Vinton Furnace State Experimental Forest. DOF formulating new charter and committee structure to review research. DOF partnership with USFS Research. DOF mapping and delineating research zone on VF.”</p> <p>Source: Ohio Division of Forestry SFI Indicators and Evidence Matrix 2011</p> <p>Confirmed “Ohio Department of Natural Resources, Division of Forestry, Vinton Furnace State Experimental Forest, Research Advisory Committee, Research and Monitoring Subcommittee, Draft Charter” which describes the purpose, membership, meeting schedule, and process.</p>								
	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>

15.1.1	<p>Financial or in-kind support of research to address questions of relevance in the region of operations. The research shall include some of the following issues:</p> <ul style="list-style-type: none"> a. forest health, productivity, and ecosystem functions; b. chemical efficiency, use rate and integrated pest management; c. water quality and/or effectiveness of best management practices including effectiveness of water quality and best management practices for protecting the quality, diversity and distributions of fish and wildlife habitats; d. wildlife management at stand- and landscape-levels; e. conservation of biological diversity; f. ecological impacts of bioenergy feedstock removals on productivity, wildlife habitat, water quality and other ecosystem functions; g. climate change research for both adaptation and mitigation; h. social issues; i. forest operations efficiencies and economics; j. energy efficiency; k. life cycle assessment; l. avoidance of illegal logging; and m. avoidance of controversial sources. 	MF		11					
<i>Notes</i>	Support for the Vinton Furnace Experimental Forest (see previous performance measure) is one form of the division's extensive research support.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
15.1.2	Research on genetically engineered trees via forest tree biotechnology shall adhere to all applicable federal, state, and provincial regulations and international protocols.	NA							
<i>Notes</i>	No such research is conducted.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
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15.2	Program Participants shall individually and/or through cooperative efforts involving SFI Implementation Committees, associations or other partners develop or use state, provincial or regional analyses in support of their sustainable forestry programs.	MF	11						
<i>Notes</i>	“Update 2011: SIC produced one new brochure for landowner outreach. DOF has two invasive species focused foresters for landowner outreach.” Source: Ohio Division of Forestry SFI Indicators and Evidence Matrix 2011								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
15.2.1	Participation, individually and/or through cooperative efforts involving SFI Implementation Committees and/or associations at the national, state, provincial or regional level, in the development or use of some of the following: a. regeneration assessments; b. growth and drain assessments; c. best management practices implementation and conformance; d. biodiversity conservation information for family forest owners; and e. social, cultural or economic benefit assessments.	MF	11						
<i>Notes</i>	“DOF was major contributor of the statewide forest resource assessment (FRAS). It is updated every five years and covers these indicators. DOF incorporates the results and strategies outlined in the FRAS into our management plans.” Source: Ohio Division of Forestry SFI Indicators and Evidence Matrix 2011								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
15.3	Program Participants shall individually and/or through cooperative efforts involving SFI Implementation Committees, associations or other partners broaden the awareness of climate change impacts on forests, wildlife and biological diversity.	MF	11						
<i>Notes</i>	See indicators.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
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15.3.1	Where available, monitor information generated from regional climate models on long-term forest health, productivity and economic viability.	MF	11						
<i>Notes</i>	<p>“The statewide forest resource assessment (FRAS) contains information on climate change. DOF partners with the USFS Delaware Lab who employs Dr. Louis Iverson and leading climatologist. Dr. Iverson’s work is integrated in a host of forest research that DOF is involved with. Staff are able to view an interactive website from Dr. Iverson that details current and future distributions of species and communities. Further, relevant DOF staff received training from a USFS climate workshop and seminars.”</p> <p>Some Ohio Division of Forestry managers and staff specialists have taken training and/or attended workshops.</p>								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
15.3.2	Program Participants are knowledgeable about climate change impacts on wildlife, wildlife habitats and conservation of biological diversity through international, national, regional or local programs.	MF	11				11		
<i>Notes</i>	<p><u>There is an opportunity to improve field staff’s knowledge and awareness of climate change impacts.</u></p> <p>Staff interviewed displayed a wide range of knowledge and awareness of climate change impacts.</p>								

Objective 16. Training and Education.

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

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
<i>16.1</i>	Program Participants shall require appropriate training of personnel and contractors so that they are competent to fulfill their responsibilities under the SFI 2010-2014 Standard.	MF	11						
<i>Notes</i>	See indicators.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
<i>16.1.1</i>	Written statement of commitment to the SFI 2010-2014 Standard communicated throughout the organization, particularly to facility and woodland managers, fiber sourcing staff and field foresters.	MF	11						
<i>Notes</i>	The commitment is documented in the Ohio governor’s Directive to the Ohio DNR (10.25.07) to pursue dual certification (SFI and FSC) and in the memo from the Ohio State Forester and Chief of the Division of Forestry dated 10.20.10.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
<i>16.1.2</i>	Assignment and understanding of roles and responsibilities for achieving SFI 2010-2014 Standard objectives.	MF	11						
<i>Notes</i>	Field staff, managers, and the CoC Coordinator have clear understanding of the requirements and of their respective roles and responsibilities.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
<i>16.1.3</i>	Staff education and training sufficient to their roles and responsibilities.	MF	11				11 (2)		

<i>Notes</i>	<p><u>There is an opportunity to improve record-keeping for professional training.</u></p> <p><u>There is an opportunity to improve the system for ensuring that new employees receive needed training.</u></p> <p>“Training programs planned for the year include:</p> <p>A. Monthly Safety meetings for employees.</p> <p>B. Annual CPR training and bi-annual First Aid Training.</p> <p>C. Training necessary for employees to keep their Ohio Commercial Pesticide License.</p> <p>D. All Forest Officers will attend trainings and firearms qualifications as required by Division of Forestry Policy.</p> <p>E. Annual Fireline Refresher and other appropriate fire training classes”</p> <p>Source Vinton Furnace Work Plan FY12</p>
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	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
16.1.4	Contractor education and training sufficient to their roles and responsibilities.	MF	11						
<i>Notes</i>	The one contractor interviewed during the 2011 audit was trained to the level of a qualified logging professional.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
16.1.5	Forestry enterprises shall have a program for the use of certified logging professionals (where available) and qualified logging professionals.	MF	11						
<i>Notes</i>	Master Logger status is required; this is stated in timber sale documentation.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
16.2	Program Participants shall work individually and/or with SFI Implementation Committees, logging or forestry associations, or appropriate agencies or others in the forestry community to foster improvement in the professionalism of wood producers.	NR							
<i>Notes</i>									

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
16.2.1	<p>Participation in or support of SFI Implementation Committees to establish criteria and identify delivery mechanisms for wood producers' training courses that address:</p> <ul style="list-style-type: none"> a. awareness of sustainable forestry principles and the SFI program; b. best management practices, including streamside management and road construction, maintenance and retirement; c. reforestation, invasive exotic plants and animals, forest resource conservation, aesthetics, and special sites; d. awareness of responsibilities under the U.S. Endangered Species Act, the Canadian Species at Risk Act, and other measures to protect wildlife habitat (e.g. Forests with Exceptional Conservation Value); e. logging safety; f. U.S. Occupational Safety and Health Administration (OSHA) and Canadian Centre for Occupational Health and Safety (COHS) regulations, wage and hour rules, and other provincial, state and local employment laws; g. transportation issues; h. business management; i. public policy and outreach; and j. awareness of emerging technologies. 	NR							
<i>Notes</i>									
	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>

16.2.2	<p>Participation in or support of SFI Implementation Committees to establish criteria for recognition of logger certification programs, where they exist, that include:</p> <ul style="list-style-type: none"> a. completion of SFI Implementation Committee recognized logger training programs and meeting continuing education requirements of the training program; b. independent in-the-forest verification of conformance with the logger certification program standards; c. compliance with all applicable laws and regulations including responsibilities under the U.S. Endangered Species Act, the Canadian Species at Risk Act and other measures to protect wildlife habitat; d. use of best management practices to protect water quality; e. logging safety; f. compliance with acceptable silviculture and utilization standards; g. aesthetic management techniques employed where applicable; and h. adherence to a management or harvest plan that is site specific and agreed to by the forest landowner. 	NR							
<i>Notes</i>									

Objective 17. Community Involvement in the Practice of Sustainable Forestry.

To broaden the practice of sustainable forestry by encouraging the public and forestry community to participate in the commitment to sustainable forestry, and publicly report progress.

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
<i>17.1</i>	Program Participants shall support and promote efforts by consulting foresters, state, provincial and federal agencies, state or local groups, professional societies, conservation organizations, indigenous peoples and governments, community groups, sporting organizations, labor, universities, extension agencies, the American Tree Farm System® and/or other landowner cooperative programs to apply principles of sustainable forest management.								
<i>Notes</i>									

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
<i>17.1.1</i>	Support, including financial, for efforts of SFI Implementation Committees.	MF	11						
<i>Notes</i>	Confirmed Andy Sabula Forest Industries Coordinator ODNR Division of Forestry is listed on the Ohio Sustainable Forestry Committee.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
<i>17.1.2</i>	Support for the development of educational materials for use with forest landowners (e.g. information packets, websites, newsletters, workshops, tours, etc.).	NR							
<i>Notes</i>	Not reviewed during 2011 Surveillance Audit.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>

17.1.3	Support for the development of regional, state or provincial information materials that provide forest landowners with practical approaches for addressing special sites and biological diversity issues, such as invasive exotic plants and animals, specific wildlife habitat, Forests with Exceptional Conservation Value, and threatened and endangered species.	NR							
Notes	Not reviewed during 2011 Surveillance Audit.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
17.1.4	Participation in efforts to support or promote conservation of managed forests through voluntary market-based incentive programs such as current-use taxation programs, Forest Legacy Program or conservation easements.	MF	11						
Notes	<p>Completion of the acquisition of the Vinton Furnace State Experimental Forest which had already protected a working forest through a conservation easement with the then owner (a forestland investment company).</p> <p>Completed the purchase of the Vinton Experimental Forest (50 year history of research and demonstration) and add it to the Ohio State Forest system as a Forest Legacy project. Ohio DNR manages the Ohio Forest Legacy Program. The Nature Conservancy works closely with ODOF on forest conservation issues.</p>								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
17.1.5	Program Participants are knowledgeable about credible regional conservation planning and priority-setting efforts that include a broad range of stakeholders and have a program to take into account the results of these efforts in planning.	MF	11						
Notes	<p>Ohio Division of Forestry has done considerable work responding to the 2010 Opportunity for Improvement, which stated “There is an opportunity to improve the program to specify how the landscape goals of the state forest system are implemented at each state forest.”</p> <p>“DOF was the main contributor of the statewide forest resource assessment (FRAS). DOF contributes to DOW conservation action plans – Karner Blue Butterfly, Indiana Bat, etc. DOF has a Forest Advisory Council that gives council to the Division. Further, DOF has a consultation process and encourages participation. This is communicated (Pathways to Participation) on our website and in open houses. Update 2011: DOF produced the statewide FRAS (Forest Resources Assessment and Strategies) in 2010 with partners and stakeholder input. DOF has adopted the biodiversity goals from the FRAS for state forests. 5-year plans and desired future conditions were revised to reflect these goals.” Source: Ohio Division of Forestry SFI Indicators and Evidence Matrix 2011.</p> <p>The revised Ohio Division of Forestry’s “Desired Future Condition” document describes 3 main goals for the entire state forest system. These are listed in the revised five-year work plans, with a description in the annual work plans (“Summary of Strategic Plan Actions”) as to how these are being sought in the particular forest through the actions of the AWP. The descriptions are the same for each of the forests.</p>								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
17.2	Program Participants shall support and promote, at the state, provincial or other appropriate levels, mechanisms for public outreach, education and involvement related to sustainable forest management.	MF	11						
<i>Notes</i>	See indicator.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
17.2.1	Periodic educational opportunities promoting sustainable forestry, such as a. field tours, seminars, websites, webinars or workshops; b. educational trips; c. self-guided forest management trails; d. publication of articles, educational pamphlets or newsletters; or e. support for state, provincial, and local forestry organizations and soil and water conservation districts.	MF	11						
<i>Notes</i>	<p>Used documents such as annual work plans and 5-year plans to confirm activities supporting conformance. For example at Vinton Furnace State Experimental Forest: “X. Public Information/Outreach: Planned Events: Contact or personally meet with the county commissioners, township trustees and school boards in Athens and Vinton Counties at least once per year.</p> <p>Vinton Furnace State Experimental Forest will be represented at Open Houses at the Athens-ODNR Headquarters and Shawnee State Forest. Partnerships: Township Trustees, National Wild Turkey Federation, US Fish and Wildlife Service, local VFD’s, Division of Wildlife, Ohio State University School of Natural Resources, Ohio University, US Forest Service, and Hocking Technical College.</p> <p>Volunteers: Volunteer groups to help with projects and maintenance at the forest will always be welcomed. Interpretive Programs: Participation in school conservation programs, as time and funds are available. An additional component of the purchase of this forest is that of education. An education subcommittee is currently being formed under the guidance of the RAC. This committee will be tasked with identifying educational opportunities and demonstration areas. This subcommittee will also give guidance and plans to help form the 5 year management plan.</p> <p>Summary (2-3 year future projects): Develop new partnerships with volunteer groups as applicable. Develop educational tours and workshops with coordination of the education subcommittee.” Source Vinton Furnace Work Plan FY12</p>								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
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17.3	Program Participants shall establish, at the state, provincial, or other appropriate levels, procedures to address concerns raised by loggers, consulting foresters, employees, <u>unions</u>, the public or other Program Participants regarding practices that appear inconsistent with the SFI Standard principles and objectives.								
<i>Notes</i>	Not reviewed during 2011 Surveillance Audit.								

Objective 18. Public Land Management Responsibilities.

To promote and implement sustainable forest management on public lands.

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
<i>18.1</i>	Program Participants with forest management responsibilities on public lands shall participate in the development of public land planning and management processes.	NR							
<i>Notes</i>	Not reviewed during 2011 Surveillance Audit.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
<i>18.2</i>	Program Participants with forest management responsibilities on public lands shall confer with affected indigenous peoples.	NR							
<i>Notes</i>	Not reviewed during 2011 Surveillance Audit.								

Objective 19. Communications and Public Reporting.

To broaden the practice of sustainable forestry by documenting progress and opportunities for improvement.

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
<i>19.1</i>	A Certified Program Participant shall provide a summary audit report, prepared by the certification body, to SFI Inc. after the successful completion of a certification, recertification or surveillance audit to the SFI 2010-2014 Standard.	MF	11						
<i>Notes</i>	See indicators.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
<i>19.1.1</i>	The summary audit report submitted by the <i>Program Participant</i> (one copy must be in English), shall include, at a minimum, <ul style="list-style-type: none"> a. a description of the audit process, <i>objectives</i> and scope; b. a description of substitute <i>indicators</i>, if any, used in the audit and a rationale for each; c. the name of <i>Program Participant</i> that was audited, including its SFI representative; d. a general description of the <i>Program Participant's</i> forestland and manufacturing operations included in the audit; e. the name of the <i>certification body</i> and <i>lead auditor</i> (names of the <i>audit team</i> members, including <i>technical experts</i> may be included at the discretion of the <i>audit team</i> and <i>Program Participant</i>); f. the dates the certification was conducted and completed; g. a summary of the findings, including general descriptions of evidence of conformity and any nonconformities and corrective action plans to address them, opportunities for improvement, and exceptional practices; and h. the certification decision. 	MF	11						
<i>Notes</i>	Summary report prepared by NSF Lead Auditor contains this information.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
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19.2	Program Participants shall report annually to SFI Inc. on their conformance with the SFI 2010-2014 Standard.	MF	11						
<i>Notes</i>	See indicators.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
19.2.1	Prompt response to the SFI annual progress report.	MF	11						
<i>Notes</i>	Rachel Dierolf, Manager of Statistics and Labeling, SFI confirmed that the SFI annual progress report was provided promptly. Transmittal email (from ODOF) and acknowledgement email (from SFI) both dated 3.14.11.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
19.2.2	Recordkeeping for all the categories of information needed for SFI annual progress reports.	MF	11						
<i>Notes</i>	Ohio Division of Forestry has good information systems and has demonstrated the ability to compile and report various types of information.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
19.2.3	Maintenance of copies of past reports to document progress and improvements to demonstrate conformance to the SFI 2010-2014 Standard.	MF	11						
<i>Notes</i>	The completed “2010 Progress Report Form” was provided to the auditors as part of the information transfer (via flash drive).								

Objective 20. Management Review and Continual Improvement.

To promote continual improvement in the practice of sustainable forestry, and to monitor, measure and report performance in achieving the commitment to sustainable forestry.

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
20.1	Program Participants shall establish a management review system to examine findings and progress in implementing the SFI Standard, to make appropriate improvements in programs, and to inform their employees of changes.								
Notes	The management review system is described in Section H of the Ohio State Forest Land Management Manual. Interviews confirmed that this approach is still in place: "Update 2011: The integration committee continues to serve as our mechanism for management review. The summer meeting of the integration committee serves as our annual SFI management review. Completed in August 2011." Source: Ohio Division of Forestry SFI Indicators and Evidence Matrix 2011								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
20.1.1	System to review commitments, programs and procedures to evaluate effectiveness. Note: For multi-site programs the auditing requirements of Section 9 or the ISO MD-1 requirements must be followed (see Multi-site Checklist); at a minimum internal audits or monitoring that spans all sites and addresses the relevant part of the SFI Standard is expected.								
Notes	Ohio State Forest Land Management Manual Chapter 12 "Monitoring": "C. Program Monitoring State Forest programs such as Fire, Land Management, Law Enforcement, Recreation, and Forest Health all have various ways of monitoring and reporting. Forest Health and Fire monitoring is discussed in Chapter 10 of this manual. The data captured during these monitoring activities is cataloged, tracked, and reported on at least once per year. These reports are analyzed by our Division administration and also the Integration Committee. Abbreviated reports are cataloged in the Division's annual report. Program monitoring is a key aspect on determining whether plan objectives are being fulfilled... ... E. Incorporation of Monitoring Results into Management Planning. The results of monitoring efforts are used at various levels to make management decisions. Compartment reviews, activity inspections, and inventory are used at the forest, district, and program levels. Growth & Yield and harvest levels are used at management levels to evaluate sustainability. Monitoring results are analyzed at by the Division administration and the Integration Committee for compliance and effectiveness. The administration and the Integration Committee make policy and procedural recommendations back to the forest and district level based on the results of monitoring."								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
20.1.2	System for collecting, reviewing, and reporting information to management regarding progress in achieving SFI 2010-2014 Standard objectives and performance measures.	MF	11						
<i>Notes</i>	ODOF has assigned Chad Sanders the lead staff role for assessing conformance to the SFI Standard. He works closely with the ODOF leadership in this effort. Confirmed a broad set of monitoring activities as outlined in chapter 12 of the Ohio State Forest Land Management Manual. Some issues with the system (internal audits) are detailed in the following section on ISO Multi-site Requirements.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFI</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
20.1.3	Annual review of progress by management and determination of changes and improvements necessary to continually improve conformance to the SFI 2010-2014 Standard.	MF	11				11		
<i>Notes</i>	<p><u>There is an opportunity to improve the system for documenting management review meetings.</u></p> <p>Reviewed and confirmed the Integration Meeting held August 22 2011; these notes were compiled from memory after the event.</p> <p>An agenda was provided for the management review, but no written minutes were available during the audit. Interviewed Chad Sanders and Dan Balsar, Deputy Chief.</p>								

Multi-site Certification – Two Options

A multi-site organization is defined as an organization having an identified central function (hereafter referred to as a central office – but not necessarily the headquarters of the organization) at which certain activities are planned, controlled or managed and a network of local offices or branches (sites) at which such activities are fully or partially carried out.

Organization does **NOT** meet the definition above; the remaining questions do not apply and all remaining portions of the multi-site checklists may be deleted from the report.

Option 1: Alternate Approach to Multi-site Certification Sampling based on the Requirements for the SFI 2010-2014 Program, Section 9, Part 5.1 & Appendix 1

- a) What specific activities are planned, controlled or managed at the central office?
Budgeting, inventory, support for research, management review, policies, procedures, guidance, and management planning.
- b) For each activity, provide evidence: See main checklist on preceding pages.

General Eligibility Criteria:

A legal or contractual link shall exist between all sites.

Yes No Evidence The authority of the Ohio Division of Forestry and the powers of the Ohio State Forester to manage these lands extend across all sites. “Sites” are considered, for purposes of this checklist, to be the state forests; those state forests that have been combined for management are considered to be one site.

The scope and scale of activities carried out by participating sites shall be similar.

Yes No Evidence The state forests are authorized for a set of activities specified by law and consistent across all sites.

The management system framework shall be consistent across all sites (allowing for site level procedures to reflect variable local factors).

Yes No Evidence Field observations confirmed that land management is carried out for the same goals and using the same procedures and tools at all sites. See main checklist.

Central Function Requirements:

Provide a commitment on behalf of the whole multi-site organization to establish and maintain practices and procedures in accordance with the requirements of the relevant standard.

Yes No Evidence: The commitment is documented in the Ohio governor’s Directive to the Ohio DNR (10.25.07) to pursue dual certification (SFI and FSC) and in the memo from the Ohio State Forester and Chief of the Division of Forestry dated 10.20.10.

Provide all the sites with information and guidance needed for effective implementation and maintenance of practices and procedures in accordance with the relevant standard.

Yes No Evidence: Guidance flows through various channels, with the Forest Certification Committee and the Management Review Committee (aka The Integration Committee) being central to the

management of certification-related issues. The Ohio Division of Forestry State Forest Land Management Manual details a broad range of procedures, including provisions specific to certification. Field personnel know what they need to do.

Maintain the organizational or contractual connection with all sites covered by the multisite Organization including the right of the Central Function to exclude any site from participation In the certification in case of serious non-conformities with the relevant standard.

Yes No Evidence Ohio Division of Forestry has the legal authority to exclude sites/agencies as needed.

Keep a register of all the sites of the multi-site organization, including (for SFI 2010-2014 Standard) the forest area associated with each participating site.

Yes No Evidence Scope statement lists

Maintain an internal audit or monitoring program sufficient to provide annual performance data on overall organizational conformance with the relevant standard.

Yes No Evidence Monitoring protocols are varied and widespread, with a focus on timber harvests, roads and trails, and vegetation treatments. **Minor Non-conformance: Internal auditing sufficient to assess overall conformance with the SFI 2010-2014 Standard was not demonstrated for issues managed centrally.**

Maintain an internal audit or monitoring program sufficient to provide periodic performance data on overall organizational conformance with the relevant standard.

Yes No Evidence Periodic monitoring, coupled with annual monitoring, appears to meet the requirements.

Operate a review of the conformity of sites based on results of internal audit and/or monitoring data sufficient to assess Organizational performance as a whole rather than at the individual site level.

Yes No Evidence See Objective 20 from main SFI Checklist; this review is based mostly on overall conformance as assessed during 3rd-Party audits.

Establish corrective and preventive measures if required and evaluate the effectiveness of corrective actions taken.

Yes No Evidence Corrective and preventive measures are currently focused on third-party audits, with other issues addressed to some degree in various program's reviews and management processes.

Minor Non-conformance: Evidence was not provided of a systematic approach to internally-generated findings.

Establish procedures for inclusion of new sites within the multi-site organization including an internal assessment of conformity with the standard, implementation of corrective and preventive measures and a requirement to inform the relevant certification body of changes in participation prior to including the sites within the scope of the certification.

Yes No Evidence All appropriate lands are included; when lands are purchased they are added as appropriate. Auditors work with Ohio Division of Forestry each year to understand scope.

Individual Site Functions and Responsibilities

Sites implement and maintain the requirements of the relevant standard.

Yes No Evidence Field reviews and interviews; see main checklist.

Sites respond effectively to all requests from the Central Function or certification body for relevant data, documentation or other information whether in connection with formal audits or reviews or otherwise.

Yes No Evidence Sites appear to comply with changes in the program driven by third-party audits or other centrally-directed changes. Sites have provided all requested information prior to, during, and after audits.

Sites provide full co-operation and assistance in respect of the satisfactory completion of internal audits, reviews, monitoring, relevant routine enquiries or corrective actions.

Yes No Evidence Sites are compliant and cooperative with centrally-issued directives.

Sites implement relevant corrective and preventive actions established by the central office.

Yes No Evidence Responses to CARs indicate sites implement CAR plans which stem from third-party audits. Sites clearly comply with centrally-administered policies, directives, procedures, etc.

Option 2: NSF-ISR Multi-site Certification Justification based on MD1: 2007

Sampling and Non-sampling

Option 1 was selected; Option 2 questions were deleted.

End of Multi-site Checklists

Scope Statement:

Land management on the Ohio state forests and the Vinton Furnace Experimental **State** Forest and related sustainable forestry activities of the Ohio Division of Forestry. The SFI Certificate Number is NSF-SFIS-C0043580.

2011 Audit Focus Areas - SFI Requirements:

- Indicator 1.1.1 (Planning and Inventory; 2010 OFI, see below)
- Objective 2 (Regeneration, Chemical Use, Soil/Forest Productivity, Forest Health)
- Indicator 3.1.1 (2010 Minor Non-conformance, see below)
- Objective 4 (2010 Minor Non-conformance, see below)
- Objective 6 (Special Sites)
- Objective 15 (Research and Greenhouse Gas)
- Indicator 17.1.5 (2010 OFI, see below)
- Objective 19 (Reporting)
- Objective 20 (Management Review)
- Multi-site Requirements: south 15 forests with 4 managers/units; north 7 forests with 3 managers/units

Sites and Participants

Wednesday September 21, 2011

Opening meeting

Brendan Grady, SCS

Mike Ferrucci, NSF

Chad Sanders - Land Management - North, ODOF

Gregg Maxfield, Northern District Forest Manager, ODOF

Mike Bowden, Fire Program Coordinator, ODOF

Greg Guess, Southern District Land Management Coordinator, ODOF

Aaron Klos, Fire Program/GIS, ODOF

Nate Jester, District Forester – South

Dan Balser, Assistant Chief, ODOF

+ Two foresters at Hocking

Hocking State Forest

Hocking Compartment B-5: Inventory and prescriptions, 282 acres, 8 management units, significant protection for wetlands, steep slopes, trails.

Hocking Timber Sale Contract 1005: Reviewed three completed “Cut Sections”: Cut Section 2 – Shelterwood, good oak regeneration, soils adequately stable and minimally affected; Cut Sections 1 and 3 – thinning

Horse Trails: close review of trail conditions, discussion of maintenance and of trail stabilization work including hardened trail sections; funding available from unit’s budgeted maintenance funds (limited) and through grant funds

HockingA-3 Proposed Timber Sale: Modified by eliminating one of three proposed cut sections because it was adjacent to a HCVF (see next item) and botanist heard singing of rare Hermit thrush

Rhododendron Hollow HCVF: hemlock-hardwood forest, with Appalachian oak nearby, hollow with stream

Thursday September 22, 2011

Brendan Grady, SCS
Mike Ferrucci, NSF
Chad Sanders - Land Management - North, ODOF
Gregg Maxfield, Northern District Forest Manager, ODOF
Mike Bowden, Fire Program Coordinator, ODOF
Greg Guess, Southern District Land Management Coordinator, ODOF
Nate Jester, District Forester – South
Dan Balsler, Assistant Chief, ODOF
Ron Collins, Forest Tech
Christopher Kerr, Forest Tech
Danzil Walker, Forester – Zaleski
Tom Shuman, Forest Manager – Zaleski
Dan Yaussy, USFS Research, Delaware OH

+ ODOW Biologist

Richard Hardin, Richard Hardin Logging

Vinton Furnace State Experimental Forest

Beard Cemetery: Completed 19 acre deferment harvest; Cemetery adjacent; Low visibility, good aesthetics, BMPs.

Union Ridge: Active 44 acre deferment harvest; Interviewed Richard Hardin, Richard Hardin Logging. Harvest area design, road layout, and post-harvest stabilization all were excellent. Residual stem damage was observed on 40-50% of the residual trees in a deferment harvest; this damage was caused by log skidding or by tree felling and was at levels generally less than the current definition is 1/3 of tree circumference more than 2 feet tall but which involved exposed bark patches the size of a football or larger. Observed some small, low-quality Sawlogs included with pulpwood; current markets for low-quality logs are poor, and pulpwood markets are strong.

Zaleski State Forest

A-14: Marked, not harvest; Cutting Section 3 (MU n) hardwood shelterwood with 40-60% retention

A-32: Completed 87 acre thinning

Zaleski State Forest Backpack Trail: observed trailhead parking area and sign

Zaleski State Forest Shooting Range

E-11: Completed 62-acre pine seed-tree harvest

Friday September 22, 2011

Brendan Grady, SCS
Mike Ferrucci, NSF
Chad Sanders - Land Management - North, ODOF
Gregg Maxfield, Northern District Forest Manager, ODOF
Greg Guess, Southern District Land Management Coordinator, ODOF
Nate Jester, District Forester – South
Dale Egbert, Forester
J.D. Deemer – Law Enforcement, ODOF

Shawnee State Forest

B10 B11 Inactive, Long Hollow McBride Run Active now. Mitigation for Rattlesnake.
Retention Areas. Bridle Trail. Intermittent adjacent

G22 In Active Rock Lick Hollow Inactive. Re-marked retention per policy.
Intermittent adjacent

A29 Active Inactive. 2 loggers. 3 sections left. Trail Intermittent adjacent

B14 Active Active Now. Aesthetic considerations. Intermittent adjacent

Closing Meeting:

Dan Balsler, Assistant Chief, ODOF
Chad Sanders - Land Management - North, ODOF

Appendix IV



SFI Reporting Form (if needed)

No changes

