



Surveillance Audit Report

2010-2014 Sustainable Forestry Initiative® Standard

October 27, 2014

A. Program Participant's Name: Ohio Division of Forestry **FRS #:** C0043580

B. Scope: Land management on the Ohio state forests and the Vinton Furnace Experimental State Forest including SFI Objectives 1-7 and 14 through 20. The SFI Certificate Number is NSF-SFIS-C0043580.

No Change Changed

C. NSF Audit Team: Lead Auditor: Mike Ferrucci

D. Audit Dates: October 21-23, 2014

E. Reference Documentation:

2010-2014 SFI Standard®

Company SFI Documentation: Ohio State Forest Land Management Manual
Ohio Division of Forestry Indicators and Evidence Matrix, 2010-2014 Standard, SFI

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 unless immediate action is taken.

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 reports from previous audits are posted on SFB web site.
- Yes No N.A. SFI and other relevant logos or labels are utilized correctly.
- Yes No The program is a Multi-site Organization:
Multi-Site Organization: An organization having an identified central function (hereafter referred to as a central office) 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 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): None

- 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.
- Corrective Action Plan is required within thirty days of this visit (for Major Nonconformances). The auditor will make arrangements to verify the corrective action has been effectively implemented. All major nonconformance(s) must be closed by the auditor prior to the next scheduled surveillance audit by a special verification visit or by desk review if possible, or the certificate may be withdrawn.

Your Corrective Action Plans should be provided through your NSF On-line Interface. Any questions should be directed to Dan Freeman your NSF-ISR Client Relations Manager (CRM): Phone: 734-214-6228 or Email: dfreeman@nsf-isr.org.

At the conclusion of this Surveillance Audit visit, the following CARs remain open:
MAJOR: 0; MINOR: 0; Opportunities For Improvement (OFIs) identified: 1.

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 October 2015. The assigned lead auditor will contact you 2-3 months prior to this date to reconfirm and begin preparations. The next recertification must be completed before the end of October, 2016. The option exists to seek certification against the 2015-2019 Sustainable Forestry Initiative Standard ® in early October, 2015.

For multi-site organizations:

The sampling plan requires audits of the central function and 3 of the state forest sites each year.

Appendices:

Appendix I: Surveillance Notification Letter and Audit Schedule

Appendix II: Public Surveillance Audit Report

Appendix III: Audit Matrix, Interviewees, and Site Notes

Appendix IV: SFI Reporting Form

Appendix I



Surveillance Audit Notification Letter and Audit Schedule



September 19, 2014

Re: Confirmation of 2014 SFI Standard Surveillance Audit

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

Dear Mr. Sanders,

I am scheduled to conduct the Surveillance Audit of the Ohio Division of Forestry October 21-23, 2014. This is a partial review of your SFI Program to confirm that it continues to be in conformance with the applicable parts of the SFI Standard. The audit will be conducted in conjunction with your FSC Annual Audit which is covered in a separate plan

Please review the scope of your current certificate and inform me of any changes: 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.

I will conduct the audit along, as the NSF-ISR Lead Auditor. During the audit I will:

1. Review progress on achieving SFI objectives and performance measures and the results of the management review of your SFI Program;
2. Review all relevant components of your SFI program;
3. Review logo and/or label use;
4. Confirm public availability of public reports; and
5. Evaluate the multi-site requirements.

Multi-Site Sampling Plan:

Because the state forest system consists of multiple administrative units a multi-site sampling approach is required. The central office records and information are portable (available remotely). Thus the central office functions will be assessed while the audit team visits field units and during travel between units. The following state forests are to be visited:

State Forest	Date(s)	Auditor(s)
Perry S.F.	10.21.14 (a.m.)	Mike Ferrucci
Blue Rock S.F.	10.21.14 (p.m.)	Mike Ferrucci
Pike S.F.	10.21.14 (p.m.) 10.23.14 (8-3:30)	Kyle Meister in office late afternoon on 21 st ; Both auditors on the 23 rd .
Dean S.F.	10.21.14 (8-3)	Kyle Meister
Brush Creek S.F.	10.22.14 (8-4)	Both auditors

SFI Requirements Selected for Review

Objectives 1 to 7: Requirements for Land Management (generally covered in field)

- 2.1 Prompt Reforestation After Harvest
- 2.2 Minimize Use of Chemicals
- 2.3 Protect and Maintain Forest & Soil Productivity
- 2.4 Forest Protection
- 2.5 Scientific Use of Improved Planting Stock
- 3.1 Best Management Practices
- 3.2 Riparian Protection Measures
- 5.1 Visual Quality of Harvests
- 5.2 Clear-cut Size, Shape, Placement
- 5.3 “Green Up” or Alternative Methods
- 5.4 Support Recreational Opportunities for the Public
- 7.1 Efficient Utilization

Objectives 14 to 20 Requirements for All Program Participants

- 14.1 Forestry Law/Reg. Compliance System
- 14.2 Social Law Compliance (including ILO)
- 16.1 Training of Contractors and Personnel
- 16.2 Improved Wood Producer Professionalism
- 18.1 Public Lands Planning Involvement
- 18.2 Public Lands Conferring with Native Peoples
- 19.1 Summary Audit Report (following audits)
- 19.2 Annual Reporting to SFI, Inc.
- 20.1 Management Review System

The enclosed tentative schedule can be adapted either in advance or on-site to accommodate any special circumstances. Please make arrangements for lunches to expedite the visits.

Please assemble your evidence of conformance to the applicable requirements. This should include relevant policies, plans, procedures, and documents which show how you meet each of the requirements. Any of this evidence that is in electronic form and thus easily emailed should be provided in advance, particularly the management plan (or a summary) and any core certification program documents (for example your main procedure document or a table showing how each requirement is met, if these are part of your system).

Please a list of land management sites or activities within the selected state forests for the past 2 years. After the auditors have selected a sample for field review we may ask for additional information.

I look forward to visiting you and evaluating continual improvement in your SFI Program. If you have any questions regarding this planned audit, please contact me.

Best Regards,

Michael Ferrucci

Mike Ferrucci, Lead Auditor, NSF-ISR, Ltd.
203-887-9248 mferrucci@iforest.com
Enclosure: Agenda for Surveillance Audit

Agenda for Surveillance Audit
C0043580- Ohio Division of Forestry
Sustainable Forestry Initiative Standard (2010-2014)

Note: General Schedule for Kyle Meister highlighted thus; details later by Kyle

Monday October 20, 2014

- Ferrucci travels to Columbus, arranges his own lodging near airport, ODOF will pick him up Tuesday morning at 6:30 am
- Meister travels to Chillicothe, lodging arranged by ODOF

Lodging: Ferrucci Monday evening confirmed at Ramada Inn East Airport
ODOF has made reservations for 2 auditors in Chillicothe (Christopher Inn and Suites) as needed

Tuesday October 21, 2014

K.M.: 8 am to 2 pm Dean State Forest; 3 to 5 pm either Pike S.F. or review of FSC issues

Ferrucci at Perry State Forest 8 am to Noon

- 8 am Opening Meeting/Agenda Review
- Review changes to the Facility Record Sheet (contact information, billing information)
 - Discuss changes/improvements to the SFI Program, changes in operations, or changes in scope since the certification audit
 - Review SFI Audit Procedures
 - Discuss field site visit provisions and other logistical issues
 - Review SFI Survey forms and confirm public report is available to public
 - Review minutes of Management meetings
 - Review Logo or Label use issues
 - Multi-site requirements review
 - As time allows, begin SFI Program Review (Note: The SFI Auditor will continue SFI Central Office Program Review during travel time between field visits, and in evenings as needed. Most aspects of SFI Objectives 1 to 7 to be reviewed in field.)

9 am Office portion of audit of Perry State Forest

10 -12 Field portion of audit of Perry State Forest

Noon Lunch on drive to Blue Rock S.F. (to be arranged by Ohio Division of Forestry)

Ferrucci at Blue Rock State Forest 1 pm to 4:30 pm

1 pm Office portion of audit of Perry State Forest

2-4:30 Field portion of audit of Perry State Forest

Evening: Return to Chillicothe

Wednesday October 22, 2014

K.M. and M.F. audit together

8-10 am Office at Brush Creek S.F.: Review local documents, refine field audit plan

Noon Lunch in field (to be arranged by Ohio Division of Forestry)

10-4 pm Field portion of audit of Brush Creek State Forest

Evening: Return to Chillicothe

Thursday October 23, 2014

K.M. and M.F. audit together

8-9 am As needed, office audit at Pike State Forest; Refine field audit plan

Noon Lunch in field (to be arranged by Ohio Division of Forestry)

9 am-2 pm Field portion of audit of Pike State Forest

2-2:30 Review findings and issues, prepare for closing meetings

2:30 Closing Meetings, SFI and FSC

3:30 pm Adjourn audit

ODOF will drive Ferrucci to Columbus airport for Delta 2361 departing 7 pm; Meister will drive home in his own vehicle

Lodging: Ferrucci Monday evening confirmed at Ramada Inn East Airport
ODOF has made reservations for 2 auditors in Chillicothe (Christopher Inn and Suites) as needed

Appendix II



Ohio Division of Forestry 2014 SFI Summary Surveillance Audit Report

The SFI Program of the Ohio Division of Forestry has achieved continuing 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 and re-certified the program in 2013 based on review of the program against all of the SFI requirements. Annual Surveillance Audits are required to focus on changes in the standard, changes in operations, the management review system, and efforts at continuous improvement, with a sample of SFI requirements selected for detailed review each year. This report describes the 2014 Surveillance Audit.

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 is taken from Ohio Division of Forestry’s web site:

Ohio has 21 state forests covering more than 200,000 acres. Ohio State Forests vary in size from nearly 64,000 acres to less than 500 acres and are located in 21 Ohio counties. These forests are managed for multiple uses including sustainable timber production, wildlife habitat, soil and water protection, and recreation.

Some 88% of Ohio’s forested land is owned by private landowners, most owning less than 50 acres. Ohio State Forests provide a unique opportunity to demonstrate the benefits of long-term management to an increasing number of private landowners. These lands are managed on a landscape scale not possible with small land holdings.

Ohio’s State Forests were mostly acquired in the form of degraded forest lands. The majority of state forest acreage was purchased prior to 1950, but acquisitions continue to be made to the present day ([Vinton Furnace Experimental Forest acquisition](#)). Forestry in Ohio began during the early years of the national conservation movement in the late 1800’s, and the state forest system began in 1916 (see [History of Ohio State Forests](#)).

The Division of Forestry is committed to achieving and maintaining this important [state forest certification](#).

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.

The 2014 Surveillance Audit was performed by NSF-ISR on October 21-23, 2014 by Mike Ferrucci, Lead Auditor with support from Kyle Meister, SCS-Global. 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 firm’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

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. Re-Certification Audits generally focus on conformance issues and do not generally address exceptional practices.

Overview of 2014 Audit Findings

Ohio Division of Forestry's SFI Program was found to be in substantial conformance with the SFIS Standard, with one opportunity for improvement and several areas where the program exceeds the requirements.

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 was ample evidence of conformance, with an impressive amount and diversity of stand-level retention in and associated with harvests. The positive amount of retention includes projects involving the ecologically-important and silviculturally/operationally challenging goals for regenerating oak-hickory dominated stands in this landscape.

There is an Opportunity for Improvement in the area of stand-level wildlife habitat elements, specifically trees with hollow sections that may serve as dens or nest sites in the future. Active dens and nest sites do not appear to have been impacted.

This finding indicates an area that could be strengthened or which could merit future attention.

2014 Exceptional Practices

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

Performance Measure 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." The Ohio Division of Forestry provides an exceptional level of support for logger training and for programs which foster improvement in the professionalism of wood producers.

Performance Measure 17.2: "Program Participants shall support and promote, at the state, or other appropriate levels, mechanisms for public outreach, education and involvement related to sustainable forest management."

The Ohio Division of Forestry Exceeds the Requirements for Periodic educational opportunities promoting sustainable forestry.

Attention to infrastructure, including roads, buildings, and recreational sites was impressive.

2014 Update Regarding Audit Findings from 2013

There was one minor non-conformance in 2013:

Minor Non-conformance 2013-01: On one site at Shawnee State Forest a salvage clear-cut on about 300 acres was conducted in 2010 following ice damage and a severe wildfire. There has been no assessment of the regeneration nor is there a plan to ensure desirable regeneration within 5 years.

SFI Indicator 2.1.3 requires “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.”

2014 Update: Ohio Division of Forestry developed and implemented a plan to address this issue, and the finding was closed. Progress in implementing the corrective action plan was reviewed in the 2014 surveillance audit: Specialists devised a sampling protocol and sampled the site in the summer of 2014 using aerial photos to delineate areas of sparse vegetation. For those limited areas of sparse vegetation SILVAH regeneration plots were put in and data assessed. The results from the data analysis show that even in the sparsely vegetated areas there was oak dominance in the majority of the areas. 82% met the stocking guidelines (more than 400 desirable seedlings per acre) 20% were partially-stocked with desirable trees and only 8% were non-stocked. The non-stocked portion of the affected area will be reviewed next to determine whether the ecological benefits of some open habitat justify the regeneration delay.

In 2013 one opportunity for improvement was identified:

There was an opportunity to improve silviculture associated with partial harvests (thinning in even-aged systems and intermediate/regeneration techniques in uneven-aged systems).

SFI Performance 2.3 requires that “Program Participants shall implement forest management practices to protect and maintain forest and soil productivity.”

SFI Indicator 2.3.5 requires “Retention of vigorous trees during partial harvesting, consistent with scientific silvicultural standards for the area.”

2014 Update: Changes have been made in the marking guides, resolving this issue.

The next surveillance audit is scheduled for October, 2015.



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. Grouse and Turkey Area Management Plan, and
- g. 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 close to water resources and reviewed documentation associated with ongoing or completed harvests.

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 an exemplary 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 products of research support were reviewed.

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.

Summary of Evidence – Reviewed open house records and planning documents for selected State Forests. Also found that the organization posts detailed information regarding planned practices on its web site.

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. Follow-up actions for internal audit findings were also reviewed.



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:

Norman Boatwright, SFI Program Manager NSF International 843.229.1851 nboatwright12@gmail.com	Chad Sanders, Forest Certification Contact ODNR-Division of Forestry 419.938.6222 Ext 13 Chad.Sanders@dnr.state.oh.us
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Appendix III



Audit Matrix, Interviewees, and Site Notes

matrix

Ohio Division of Forestry
NSF-ISR SFI 2010-2014 MATRIX GUIDANCE FOR AUDITORS

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 (used for scoping or baseline audits)*
Likely Conf. *	Likely Conformance With 2010-2014 SFIS (used for scoping or baseline audits)*
Auditor	Optional; may be used for audit planning.
12, 13	Date Codes, for example: 12= July 2012; 13=Aug. 2013
Other	Words in <i>italics</i> are defined in the standard.

Yes No N.A. NSF mark (logo) is being used correctly.

Audit Notes: No use of the NSF mark. The SFI mark is used correctly on the Ohio Division of Forestry's web site:
<http://ohiodnr.com/Forestry/Certification/tabid/22816/Default.aspx>

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	14						
Notes	The planning for the state forest system is documented in a tiered system of plans: statewide strategies and programs; 5-year state forest plans; and annual work plans. These documents are comprehensive and well-written. See indicators below for more details of how plans were reviewed.								

	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	14						

<i>Notes</i>	<p>2014:</p> <p>Planning at the level of compartments/stands/timber sales and harvests is quite comprehensive and is detailed on forms or records. These include: cruising reports, stocking guides, marking maps, marking estimates, marking transmittal information sheets, Bid Prospectuses with harvest maps, Timber Sale Agreements, fact sheets, and cutting and logging inspection forms.</p> <p>Reviewed Ohio Department of Natural Resources, Division of Forestry: Five Year Forest Management Plan for Pike State Forest which includes a summary, the history of the forest, a description including biophysical details of the forest and a general description of the landscape, a section on sustained yield and forest-level growth, management objectives and goals including zoning, fire management, recreation, public awareness, law enforcement, facility maintenance and infrastructure, staffing, budgets, monitoring, and maps/data.</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> <p>All forest managers have access to ARC GIS on their desktop systems, with training and ARC licenses more broadly applied. More of the GIS work is being done by others beyond Greg Guess and by Chad Sanders.</p> <p>Item g: Harvest level target is 40% of the annual growth. Last year the actual harvest level was 30% of growth. The rolling 5 yr average of harvest levels is at 25% of growth.</p> <p>2013: Reviewed: Statewide Forest Resource Assessment and Statewide Forest Resource Strategy (FRAS)</p> <p>Work plans are written each year for all managed state forests.</p> <p>Reviewed FY 14 Annual Work Plan for the Southern District State Forests.</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	14																						
<i>Notes</i>	<table border="1" data-bbox="275 959 915 1089"> <thead> <tr> <th>Year</th> <th>BF</th> <th>Tons</th> <th>Acres</th> </tr> </thead> <tbody> <tr> <td>FY2014</td> <td>12,548,919</td> <td>98,173</td> <td>2,565</td> </tr> <tr> <td>FY2013</td> <td>12,844,964</td> <td>57,757</td> <td>2,309</td> </tr> <tr> <td>FY2012</td> <td>10,647,961</td> <td>75,180</td> <td>2,518</td> </tr> </tbody> </table> <p>In 2011 the Ohio Division of Forestry revised Desired Future Conditions, 5-year management plans, and formulated a new initiative to set annual harvest goal at 40% of annual growth. The annual growth is 41,195,000 board feet. Average of harvest levels over rolling 5 year is at 25% of growth.</p> <p>State forest management plans include “Section B. Sustained Yield and Forest Level Growth”. The explanation of inventory and growth projection methods and the presentation of results are clear and understandable.</p>									Year	BF	Tons	Acres	FY2014	12,548,919	98,173	2,565	FY2013	12,844,964	57,757	2,309	FY2012	10,647,961	75,180	2,518
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	2010-2014 Requirement	Audit -or	C	EXR	Maj	Min	OFI	Likely Gap *	Likely Conf. *																

1.1.3	A forest inventory system and a method to calculate growth and yield.	MF	14						
Notes	<p>2014: Inventory data for some of the management units selected for field visits was confirmed and appeared to match the stand conditions. Otherwise this indicator was not reviewed during the 2014 SFI Audit.</p> <p>2013: Discussed the ongoing use of 2009 inventory data. Have not updated inventory data on the northern or the smaller southern forests (except Mohican in the north, 4,500 acres was inventoried in 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>
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.).								
Notes	<p>Not reviewed during the 2014 SFI Audit.</p> <p>2013: 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. The most recent inventory was completed for 80% of the lands in 2009 and for the Mohican State Forest in 2011. The smaller state forests do not have comprehensive inventory, and work from area-based “prescription cruising”. For these areas, comprising less than 20% of the managed acres, FIA data is used to develop harvest levels.</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>
1.1.5	Documentation of forest practices (e.g., planting, fertilization, and thinning) consistent with assumptions in harvest plans.	MF	14						
Notes	<p>Ohio Division of Forestry has a comprehensive ARC GIS-based system for recording forest practices. The system stores information on recent timber sales, inventory data, silvicultural activities (TSI, grapevine control, prescribed fire), wild fire, and special sites.</p> <p>Harvest levels are not driven by expectations of responses to silvicultural treatments.</p>								

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	14						
Notes	<p>“DOF manages hardwood forests for natural regeneration. DOF has an oak ecology and management focus that seeks to provide advanced oak regeneration and tending prior to final harvest or overstory removal. DOF promotes improvement cuts, shelterwood and deferment harvests coupled with fire and other practices to promote oak regeneration prior to overstory removal. Regeneration is assessed during the prescription process. A new prescribed fire monitoring protocol is being implemented. The 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.” Source: SFI Indicators and Evidence Matrix, Ohio Division of Forestry 2014</p> <p>Also see indicators below.</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>
2.1.1	Designation of all harvest areas for either natural regeneration or by planting.	MF	14						
Notes	<p>Confirmed that: “All harvests are documented as natural regeneration in the marking estimate.” SFI Indicators and Evidence Matrix, Ohio Division of Forestry 2014. Planting is rare (none in past year).</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>
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	14						
Notes	<p>“All harvests are documented as natural regeneration. DOF has policies in place to consider incidental planting for aesthetic or carbon projects and those occur as budgets allow.” SFI Indicators and Evidence Matrix, Ohio Division of Forestry 2014</p> <p>The Silvah Oak system is employed in most cases to assess the amount, condition, and competitiveness of advance regeneration (tree seedlings and sprouting potential) prior to implementing regeneration treatments. This assures successful, desirable regeneration.</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>

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 regen.	MF	14						
Notes	<p>The criterion for natural regeneration is 400 trees per acre. The Silvah Oak system is employed in most cases to assess the amount, condition, and competitiveness of advance regeneration (tree seedlings and sprouting potential) prior to implementing regeneration treatments, assuring successful, desirable regeneration in the vast majority of treatment sites.</p> <p>Update for the 2013 Minor Non-conformance: Ohio Division of Forestry developed and implemented a plan to address this issue, and the finding was closed. Progress in implementing the corrective action plan was reviewed in the 2014 surveillance audit: Specialists devised a sampling protocol and sampled the site in the summer of 2014 using aerial photos to delineate areas of sparse vegetation. For those limited areas of sparse vegetation SILVAH regeneration plots were put in and data assessed. The results from the data analysis show that even in the sparsely vegetated areas there was oak dominance in the majority of the areas. 82% met the stocking guidelines (more than 400 desirable seedlings per acre) 20% were partially-stocked with desirable trees and only 8% were non-stocked. The non-stocked portion of the affected area will be reviewed next to determine whether the ecological benefits of some open habitat justify the regeneration delay.</p> <p>(2013: Minor Non-conformance: On a site at Shawnee State Forest a salvage clear-cut on about 300 acres was conducted in 2010 following ice damage and a severe wildfire. There had been no assessment of the regeneration nor a plan to ensure desirable regeneration within 5 years.)</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>
2.1.4	Minimized plantings of exotic tree species, and research documentation that exotic tree species, planted operationally, pose minimal risk.	NA							
Notes	NA; there is no planting of exotics.								

	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	14						
Notes	Most advance regeneration is of sprouting species (oaks) which are capable of sprouting, often into better-quality stems, if damaged during logging.								

	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.	MF	14						

<i>Notes</i>	<p>2014: “Regeneration focused on oak ecology is the vital consideration of ecological impacts. The context being Ohio’s forests are changing to shade tolerant species (sugar maple, red maple, beech, black gum are most common) and DOF is likely the only organization attempting to influence that shift on our lands by promoting the intermediate tolerant or xeric species through our practices. The ecological impacts of this influence are positive to wildlife and a host of other forest attributes.” Ohio Division of Forestry</p> <p>2013: Very little planting is done; some is planned using native hardwoods to reforest former agricultural land, but at small scale.</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>
2.1.7	Afforestation programs that consider potential ecological impacts of the selection and planting of tree species in non-forested landscapes.	NA							
<i>Notes</i>	No afforestation is being 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>
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	14						
<i>Notes</i>	“All chemical use on state forests are for either invasives or TSI.” SFI Indicators and Evidence Matrix, Ohio Division of Forestry 2014 Ohio Division of Forestry seldom uses forest chemicals, and generally to control invasive plants or to control weeds near facilities. Also see indicators below.								

	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	14						

Notes	Ohio Division of Forestry uses forest chemicals sparingly, and generally only to control invasive plants or to control weeds near facilities.				
	242 acres reported treated in past year:				
	Commercial name of pesticide/herbicide	Active ingredient	Quantity applied annually (kg or lbs)	Size of area treated during previous year (ha or ac)	Reason for use
	Arsenal	Imazapyr	10 gallons	42 acres	Invasive and Brush Control
	Garlon	Triclopyr	20 gallons	63 acres	Invasive and brush control
	Glyphosate	Glyphosate	27 gallons	135 acres	Herbaceous weed control
Escort	Metsulfuron methyl	6 ounces	2 acres	Weed and brush control	

	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	14						
Notes	The most commonly-used chemical is Glyphosate. Glyphosate has no soil activity; it only will work on vegetation it is applied to. It has low toxicity, and applied as a cut stump treatment (one common use on this land base) is used in very small quantities.								

	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.	MF	14						
Notes	Trained foresters involved in chemical prescriptions. Interviews confirmed that applicators apply chemicals in accordance with labels. “Precommercial projects are planned using the “Precommercial Project Proposal”. This includes a prescription, a plan, consideration of non-timber issues and impacts. Proposals are reviewed and approved and receive in-progress and final inspections.” SFI Indicators and Evidence Matrix, Ohio Division of Forestry 2014								

	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>
2.2.4	Use of integrated pest management where feasible.	MF	14						

Notes	<p>Integrated pest management is specified in the LM manual.</p> <p>Predator beetles for control of Hemlock Woolly Adelgid have been released on private forests in Ohio by Ohio Division of Forestry program, and plans are in place to release them on state forest lands this fall.</p> <p>Stocking control is a key aspect of forest health and IPM. Forests observed were generally well-stocked to only slightly over-stocked.</p> <p>Foresters and managers are aware of acute (outbreak) forest health issues, with specialists available to provide advice. Outbreaks are tracked.</p> <p>Chemicals are applied based on site-specific prescriptions. Treatments are devised to minimize chemicals used.</p>
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	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFl</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.	MF	14						
Notes	Interviewed Jared Craig, District Land Management Administrator for overview of the pesticide program and review his credentials as a Certified Commercial (Pesticide) Applicator. He described the other credential the “Trained Service Person” which many equipment operators and conservation aides have.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFl</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
2.2.6	<p>Use of management practices appropriate to the situation, for example:</p> <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. 	MF	14						

Notes	<p>2014: Interviewed Jared Craig, who described the routine use of most of the above list of chemical BMPs.</p> <p>2013: Reviewed pre- and post-application documentation and interviewed two Ohio Division of Forestry foresters regarding a treatment that was visited on Shawnee State Forest. The following were confirmed: chemicals used must be on the Ohio Division of Forestry’s pre-approved list, pre-application planning, label was reviewed, Heritage database checked, low-pressure spray of low volumes directly onto cut surfaces.</p>								
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	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFl</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	14						
Notes	See indicators below.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFl</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
2.3.1	Use of soils maps where available.	MF	14						
Notes	Soils information is found on the USDA web site Soil Survey (not included in their GIS). This information is used in planning harvests as described by Greg Guess.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFl</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	14						
Notes	<p>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. Soils maps are provided to local foresters by the central office for the prescription cruises.</p> <p>Foresters and managers are familiar with soils and factor these into harvesting decisions. One soil type mentioned as being challenging is the “silt loess cap” which can be 1 to 4 feet deep and has a rounded soil structure which is problematic when wet or when very dry.</p>								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFl</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	14						

<i>Notes</i>	<u>Field observations confirmed very good installation of BMP practices that were highly effective. Examples included proper skid road layout with respect to slopes and sensitive portions of sites, effective use of brush, and waterbars.</u>
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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>
2.3.4	Post-harvest conditions conducive to maintaining site productivity (e.g. limited rutting, retained down woody debris, minimized skid trails).	MF	14						
<i>Notes</i>	Confirmed by field observations of completed units that sites had limited rutting, retained down woody debris, minimized skid trails, and effective use of waterbars.								

	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	14						
<i>Notes</i>	<p>2014: The marking guidelines for contract markers have been modified to clarify silvicultural guidelines. Some earlier treatments in hardwood stands are being done in conjunction with the Fiber Supply Agreement, and in these treatments undesirable seed sources (red maple) are being significantly reduced, and the crowns of the desirable oak trees are being released for increased growth and ultimately for enhanced seed production.</p> <p>2013: There is an opportunity to improve silviculture associated with partial harvests (thinning in even-aged systems and intermediate/regeneration techniques in uneven-aged systems).</p> <p>In 2013 auditors reviewed several sites to assess silvicultural practices, including a partial harvest site before harvest (by reviewing marked trees) and other sites after harvest was completed. The trees (to be) removed are generally the least vigorous, and the trees (to be) retained are generally the most vigorous, although some vigorous but mature trees are also removed. Scientific silvicultural standards are generally followed, although improvements could be made.</p> <p>The silvicultural goals on most sites include maintaining oak components and regenerating future stands containing a significant percentage of oak. This goal is known throughout the eastern U.S. to be very challenging. Considerable information exists providing methods to accomplish this goal. The extensive use of SIVAH Oak helps ensure conformance, as this system is a widely-recognized approach to the problems associated with regenerating oak trees and associated oak types.</p> <p>There are aspects of this challenge which some ODOF foresters did not demonstrate familiarity. Selection systems are known to be particularly ineffective in regenerating oaks, yet on one site (first example) a thinning was prescribed in a selection system without any effort to implement the corresponding regeneration portion of the silvicultural system. At another site (second example) the importance of the thinning in the full sequence of treatments of an even-aged system was not considered (preparatory harvests are often prescribed instead of thinning when the end of the rotation is approaching). Opportunities to release existing oak regeneration (first site example) or to remove undesirable seed sources (second site example) were not fully exploited. The application of appropriate silviculture is particularly challenging when timber marking contractors are employed.</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>
2.3.6	Criteria that address harvesting and site preparation to protect soil productivity.	MF	14						
<i>Notes</i>	<p>Confirmed that Ohio Division of Forestry has a wet weather logging policy and that it is referred to in the timber sale requirements (contracts specify that the terms listed in timber sale prospectus are incorporated into the contract). This policy was found in timber sale contracts for all field sites reviewed, with the exception of some of the special Glatfelter commitment, which has a blanket contract with the same provisions.</p> <p>Wet Weather Logging Guidelines are found in Chapter 8 of the Ohio State Forest Land Management Manual.</p> <p>Several sites reviewed during audits had documentation of harvests being suspended due to wet weather, with contractors not working on the first (rainy) day of the audit.</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>
2.3.7	Road construction and skidding layout to minimize impacts to soil productivity and water quality.	MF	14						
<i>Notes</i>	<p>Confirmed with field observations skidding layout to minimize impacts. Few new roads are built, and those built are carefully planned to minimize their length and impacts.</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>
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	14						
<i>Notes</i>	<p>See indicators below.</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>
2.4.1	Program to protect forests from damaging agents.	MF	14						

Notes	Trained foresters conduct informal assessments and formal prescription cruises, during which time they assess forest health and modify management as needed. The recent “Forest Health Pests and Pathogens in Ohio Forests: A Field Identification Guide” is widely used.								
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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>
2.4.2	Management to promote healthy and productive forest conditions to minimize susceptibility to damaging agents.	MF	14						
Notes	Confirmed by field observations that stands are managed to maintain vigorous condition, generally through stocking control, and increasingly as stands age through regeneration of mature stands. Specialists are available to supplement knowledge of foresters, which is substantial.								

	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	14						
Notes	Ohio Division of Forestry provides significant support to local fire-fighting efforts (interviews confirmed). Greg Guess and Ben Hayes worked together to provide training to local fire departments. Confirmed materials are available for fire prevention and awareness education.								

	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: At this time there is very little planting done, with no planting in the past year.								

	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							
Notes	NA: At this time there is very little planting done, with no planting in the past year.								

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	14						
Notes	See indicators below.								

	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	14						
Notes	2014: For all harvests foresters complete the voluntary “Timber Harvest Notice of Intent” which is a BMP-focused, site-specific harvest plan that is provided to the local Soil and Water Conservation District.								

	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	14						
Notes	Confirmed provisions that specify conformance to best management practices are included in timber sale contracts in Clause 6.								

	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	14						

Notes	<p>The program includes forest inventory systems, wet-weather tracts, and definitions of acceptable operating conditions. Foresters attempt to work with contractors to ensure that they take appropriate actions when wet weather affects logging. Some cut-to-length operations occur.</p> <p>Wet Weather Logging Guidelines are found in Chapter 8 of the Ohio State Forest Land Management Manual.</p> <p>Several sites reviewed during audits had documentation of harvests being suspended due to wet weather, with contractors not working on the first (rainy) day of the audit.</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>
3.1.4	Monitoring of overall best management practices implementation.	MF	14						

Notes	<p>Foresters regularly assess harvests and fill out “Ohio Division of Forestry Cutting & Logging Inspection Sheets” each time they visit an active timber harvest site. This form includes a section on BMPs. The use of this form was confirmed at the sites selected for field review.</p> <p>Road systems are monitored and records kept of maintenance needs (culvert and bridge inventory).</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>
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	14						

Notes	See indicators below.								
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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>
3.2.1	Program addressing management and protection of rivers, streams, lakes, and other water bodies and riparian zones.	MF	14						

Notes	<p>Foresters plan all harvests in accordance with BMPs and with the Ohio State Forest Land Management Manual. Senior managers review proposed harvests, and the projects are provided in advance to biologists.</p> <p>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.</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>
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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	14						
Notes	<p>GIS demonstration included wetland/watercourse information, which is based on the “blue line streams” on the topographic map layer.</p> <p>Tract maps associated with timber sale planning and administration showed watercourses and showed buffer areas, generally by means of cutting unit boundaries which are set up away from watercourses and significant ravines. Foresters interviewed demonstrated understanding of other types of wetlands, although most of these are associated with watercourses (floodplains).</p> <p>Ephemeral streams are now being assessed and if they have characteristics of intermittent streams they are treated as such. Chapter 4 of the L.M. Manual includes a section “Streamside Management Zones” which has been amended to now state Both perennial and intermittent streams will be buffered from normal timber sale activities. Perennial streams are defined as solid blue lines on 7.5’ USGS topographic quadrangles and intermittent streams are defined as blue dashed lines on the same map scale <u>OR streams with an average of 4 feet or greater width and a rocky substrate.</u></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>
3.2.3	Implementation of plans to manage or protect rivers, streams, lakes, and other water bodies.	MF	14						
Notes	Confirmed by field observations that the program for the protection of wetlands and watercourses is being implemented and is effective.								
	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	14						
Notes	Many smaller, non-linear wetlands are in landforms which are zoned in ways to preclude or minimize impacts from timber management (flood plains). Small vernal pools are not common except at Maumee State Forest, but are covered in the standing water-body policy which is in the LM Manual in Chapter 4.								
	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 statewide BMPs.								

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							
Notes	2014: Not reviewed during the 2014 SFI Audit. 2013: The program for biological diversity is described in Chapter 5 of the Ohio State Forest Land Management Manual, confirmed by interviews and by documents reviewed. Also see indicators below.								

	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	14						
Notes	2014: Limited review during the 2014 SFI Audit. The Ohio Department Of Natural Resources - Indiana Bat Management Strategy is provided to foresters and incorporated into management. 2013: The program for biological diversity is described in Chapter 5 of the Ohio State Forest Land Management Manual, confirmed by interviews and by some documents reviewed. Chapter 4 outlines Timber Harvest Preparation and conveys that “a Division of Wildlife biologist shall be consulted prior to site disturbing activities”. Chapter 5 details goals for desired future conditions and the method of consultation, including annual consultation on the site-level prescriptions and local, direct consultation as needed. Some state forests include “Special Wildlife Management Areas” designated to enhance habitat for and propagation of designated species. These include areas at Tar Hollow and Zaleski State Forests for ruffed grouse management and several thousand acres at Zaleski State Forest for wild turkey management. Throughout the system oak/hickory forests are recognized as an important native species association, and silviculture that promotes the regeneration of this type “shall be favored”. Confirmed by field observations that this is done in most cases, except selection silviculture as zoned. The Ohio Department Of Natural Resources - Indiana Bat Management Strategy is provided to foresters and incorporated into 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>
4.1.2	Program to protect threatened and endangered species.	MF	14						

Notes	<p>2014: Limited review during the 2014 SFI Audit. The Ohio Department Of Natural Resources - Indiana Bat Management Strategy is provided to foresters and incorporated into management. Reviewed one site on Tar Hollow State Forest where the Ohio Division of Forestry altered the layout of a sold timber sale to protect a state-listed potentially-threatened plant and a small section of potential habitat of the Timber Rattlesnake.</p> <p>2013: As specified in the Ohio State Forest Land Management Manual (Chapter 4), the division 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. Heritage data provided to the audit team as an example includes August 2013 email to Shawnee State Forest and associated maps.</p> <p>All foresters have on their checklist to complete T&E trainings, some form of which is offered regularly. Ohio Division of Wildlife staff periodically conducts training of field foresters in T and E species identification and management, but not in 2013. In 2013, representative from Wildlife Management Institute provided training on bird species in decline due to lack of early successional species.</p> <p>Foresters maintain current lists of Ohio's T&E species and many have developed skills in identifying T&E plants, particularly uncommon trees, shrubs, and some of the herbaceous plants. DOW conducted trainings for Field Foresters in previous years, and will again in the future.</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>
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.								

Notes	<p>Not reviewed during the 2014 SFI Audit.</p> <p>2013: DOF uses Ohio Biodiversity database during pre-assessment stage of ground disturbance projects to identify and protect known sites.</p> <p>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.</p> <p>One field site selected for review was a pending timber sale which had been significantly modified (reduced areas for harvest) based on advice from biologists from the Wildlife Division and specialists to protect habitat for timber rattlesnakes.</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>
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	14				14		

Notes	<p><u>There is an Opportunity for Improvement in the area of stand-level wildlife habitat elements, specifically trees with hollow sections that may serve as dens or nest sites in the future. Active dens and nest sites do not appear to have been impacted.</u></p> <p>Criteria for stand-level wildlife habitat elements to retain are found in Ohio State Forest Land Management Manual Chapter 4, which has sections on streamside management zones, retention trees, and legacy trees. Also found in “Timber Marking on Ohio State Forests 122713”.</p> <p>Confirmed by field observations that these criteria are implemented during timber management. The team observed several completed even-aged regeneration harvests; retention was either clumped within (termed clear-cut with retention) or dispersed throughout (termed deferment harvest) the cutting unit. Active dens and nest trees are not intentionally selected for harvest, although some are likely inadvertently included in harvests.</p> <p>In some harvest areas (marked or completed) there were missed opportunities to provide for development or retention of hollow trees or portions of trees. Such trees are left uncut in reserves and riparian buffer areas, but many species using hollow trees for habitat or denning/nesting are known to be territorial. Further the guidelines don’t highlight to need to provide for recruitment of hollow trees as potential future den trees: “For other partial harvests, such as intermediate harvests, no specific retention guidelines are needed since the residual stand will be of suitable stocking.” Source: “Timber Marking on Ohio State Forests 122713”.</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>
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.	MF							

Notes	<p>2014: Not reviewed during the 2014 SFI Audit.</p> <p>2013: The forest management program places a high priority on managing to promote and sustain biodiversity. Management is guided by strategic and tactical plans developed with input from the Ohio Division of Wildlife. Assessments are primarily focused on cover types at the scale of the ownership and of the individual forest, compartment, or stand, but consideration is also given to the surrounding landscape including adjacent lands. Interviews and documents reviewed show that findings of these various assessments are considered when management decisions are made.</p> <p>The Hocking State Forest Five Year Forest Management Plan includes habitat goals for “an early successional habitat focus area” with planned shorter rotations to “provide a sustainable flow of early successional habitat”. This is based on analysis of the forest’s age/size classes as well as consideration of habitats available in the surrounding landscape.</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>
4.1.6	Support of and participation in plans or programs for the conservation of old-growth forests in the region of ownership.	MF							
Notes	2014: Not reviewed during the 2014 SFI Audit. Unchanged from 2013: There is little old growth in this region, most on federal lands. Some state lands have been reserved from harvest and will develop old growth.								

	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	14						
Notes	<p>2014: Pesticide use table and interviews demonstrate continued efforts to control invasive species.</p> <p>2013: The Ohio Woodland Job Corps had been focused on control of invasive plants, but this program has ended. Foresters continue to implement some invasive-control treatments of invasive plants, but the overall level of effort has declined.</p> <p>Ohio Division of Forestry has a forest health program and has been implementing aggressive measures to combat the spread of Asian Long-horned beetle. Sanitation and salvage efforts continue with respect to ash trees affected by the Emerald Ash Borer.</p> <p>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.</p> <p>The Hocking State Forest Five Year Forest Management Plan includes mention of invasive species concerns, with Ailanthus altissima, autumn olive, and multiflora rose the biggest concerns.</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	14						
Notes	<p>Spring of 2014 in the Southern District Three burns, 351 acres; Two burn units were done Tar Hollow and one in Zalesky State Forest. Weather conditions have been unfavourable and are the limiting factor. Plan for 9 burns 1527 acres, two slated for fall 2014 and the rest in the spring. Fire studies being done at Tar Hollow SF (with an existing invasive plant problem) linked to one of the planned spring burns, and at Vinton Experimental Forest (no invasive plant problem).</p> <p>All field personnel and many office personnel have fire training and are expected to participate in prescribed burns.</p> <p>When planning for fires known rattlesnake dens trigger consultation with the Ohio Division of Wildlife.</p> <p>The Ohio Division of Forestry has a program for prescribed fire managed partially centrally and partially by the districts. All field personnel and many office personnel have fire training and are expected to participate in prescribed burns. There have been 7 burns covering 816 acres over the past 3 years and 4 in 2013, based on data provided by Greg Guess.</p> <p>2013: Confirmed the agenda for the 2013 Ohio Certified Prescribed Fire Manager Training Course.</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							
<i>Notes</i>	See indicators below.								

	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							
<i>Notes</i>	<p>2014: Not reviewed during the 2014 SFI Audit.</p> <p>2013: The Ohio Natural Heritage Database and involvement with the Division of Wildlife are the key aspects of the program.</p> <p>In 2010 there was an opportunity to improve adding 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. Foresters report any new information to Greg Guess.</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							
<i>Notes</i>	<p>2014: Not reviewed during the 2014 SFI Audit.</p> <p>2013: Ohio Division of Forestry relies primarily on the Ohio Division of Wildlife to meet this requirement. There are several forms of consultation, but most is done in an annual project review. Mike Reynolds, Ohio Division of Wildlife reviewed the FY14 proposed timber sale marking and prescribed burns, and documented his review in a letter to Ohio Division of Forestry's Chief on September 24, 2013.</p> <p>Division of Wildlife also provided "Managing Forest Birds in Southeast Ohio", a recent publication of land management guidelines for forest birds. Copies were given to all state forests. Some of this research occurred on state forestland. Guidelines included are for some T&E bird species.</p>								

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	14						
<i>Notes</i>	See indicators below.								

	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	14						
<i>Notes</i>	Chapter 6 of the Ohio State Forest Land Management Manual describes the program, which includes harvest inspection forms The Ohio Division of Forestry 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	14						
<i>Notes</i>	Confirmed by field observations that this indicator is met. For example there is considerable retention of large, live trees within “clear-cut” blocks, or there are large retention patches located within them, helping to mitigate the visual impacts. Loading areas in completed harvests were generally free of logging debris. Skid trails are smoothed and are seeded as needed, generally for erosion control, but also useful for esthetic reasons.								

	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 clear-cut harvests.	MF	14						
<i>Notes</i>	Confirmed by field observations that most clear-cuts are modest in size and well-buffered by uncut or lightly-cut stands. These clear-cuts are also located to minimize visual impact by locating them away from public roads and recreational sites in most cases.								

	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 clear-cut 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	14						
<i>Notes</i>	2014: The average clear-cut size for 2013 was 11 acres. 2013: The average clear-cut size for 2012 was 12.6 acres. Confirmed by field observations that most clear-cuts are modest in size and well-buffered by uncut or lightly-cut stands.								

	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 clear-cut size and the process for calculating average size.	MF	14						
<i>Notes</i>	2014: The average clear-cut size for 2013 was 11 acres. 2013: The average clear-cut size for 2012 was 12.6 acres. The calculations were provided to the auditor, and are based on data from the timber sales database.								

	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	14						
<i>Notes</i>	See indicators below.								

	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	14						
<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>

5.3.2	Harvest area tracking system to demonstrate conformance with the green-up requirement or alternative methods.	MF	14						
<i>Notes</i>	GIS and maps were reviewed. All timber harvests are shown on maps and have detailed records, including GIS-linked databases. Foresters review maps and walk sites while planning harvests to ensure that green-up requirements are met.								

	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 clear-cut 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 clear-cut, or as appropriate to address operational and economic considerations, alternative methods to reach the performance measure are utilized by the Program Participant.	MF	14						
<i>Notes</i>	Much regeneration is done using shelterwood systems. Very few silvicultural clear-cuts are done; all clear-cuts and overstory removal harvests (shelterwood, with regeneration in place before removal of overstory trees) observed were surrounded by mature stands. Confirmed conformance 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>
5.4	Program Participants shall support and promote recreational opportunities for the public.	MF		14					
<i>Notes</i>	See indicators below.								

	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		14					

<p><i>Notes</i></p>	<p><u>The Ohio Division of Forestry provides excellent recreational opportunities for the public including walking and horse trails, camp sites, shooting ranges and other types of recreational development.</u></p> <p>2014: Y-Bridge Longbeards, the local National Wild Turkey Federation chapter, sponsors a guided turkey hunt for disabled hunters annually at Blue Rock that is done prior to the normal season. The logistics of the hunt are supported out of the forest, with support from Ohio Division of Forestry staff volunteers and crew including road cleaning, trail clearing, posting of signs and event cleanup. Site is an ADA-type hunter access trail/road maintained on the forest.</p> <p>Map “Perry State Forest APV Area Including 2014 Expanded APV Trails” and review of extensive APV trail system and related infrastructure. This and other APV recreation facilities provide a range of options for off-road vehicles.</p> <p>Map “Perry State Forest” and field sites of APV Area, Bridle Trails, Hunter Access Trails (including ADA-compliant options), fishing lakes.</p> <p>2013: The Shawnee State Forest has an 8,000 acre wilderness area (designated in 1972 and shown on maps) and an extensive network of backpacking trails (Shawnee State Forest Backpacking Map).</p> <p>Mohican State Forest has a horse camp, an extensive trail system, and several trails groups that work with state forest managers cooperatively on trail maintenance and management. There are 3 horse trail groups, 1 for mountain bikes, and 1 for traditional hiking.</p> <p>Hocking State Forest has a group camp, a horse camp with 23 sites, a fire tower, 40 miles of bridle trails, portions of the Buckeye Trail and unique “Climbing and Rappelling Areas”. Hocking Hills Winter Hike manages by parks but includes events and hiking on the Hocking State Forest. The staff conducts about 30 fire prevention events each year. The Hocking State Forest is an important part of Hocking Counties’ recreation industry.</p>
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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	14						
<i>Notes</i>	See indicators below.								

	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	14						
<i>Notes</i>	2014: 2013: Confirmed conformance by interviews, review of documents associated with harvest sites visited, and by viewing examples of information from Heritage provided to the organization’s field foresters by Greg Guess. Any “hits” are generally reviewed on-site with specialists.								

	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	14						
<i>Notes</i>	Confirmed conformance by interviews, review of documents associated with harvest sites visited, and by viewing the organization’s GIS. The Ohio Department Of Natural Resources - Indiana Bat Management Strategy is provided to foresters and incorporated into management. Reviewed one site on Tar Hollow State Forest where the Ohio Division of Forestry altered the layout of a sold timber sale to protect a state-listed potentially-threatened plant and a small section of potential habitat of the Timber Rattlesnake. Management plans, such as the Five Year Forest Management Plan for Pike State Forest, include sections describing forest zoning for some cultural areas and special site zoning layer. Further, environmentally-sensitive areas are protected by BMPs, SMZs, and forest zoning.								

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	14						
<i>Notes</i>	2014: 2013: Most harvests are lump-sum stumpage sales, providing an incentive to the buyer to harvest efficiently. Some of the harvests are put through the Ohio Division of Forestry’s log merchandizing system to ensure that Sawlogs are directed to the highest-value end use. Markets exist for all species and grades.								

	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	14						

Notes	<p>Thinning treatments are often marked to attract strong bids from sawmills; these buyers prefer sales without much pulpwood.</p> <p>The Ohio Division of Forestry operates a sawmill at the Zaleski State Forest to produce lumber for use on public lands or public projects.</p> <p>Item a: logging slash is distributed throughout harvest units, including intentional use on skid roads and trails to stabilize sites and discourage use by all-terrain vehicles.</p> <p>Items b: Training on utilization is part of the Ohio Master Logger training, but is more commonly done by contractors and purchasing mills.</p> <p>Item d: Ohio Division of Forestry has firewood programs at each forest. In some forests the staff cuts the wood and removes it from wood yards, etc. and moves it to a central location where it can be purchased by citizens, who pay \$25 for a day or \$100 per month to purchase firewood.</p> <p>e. Foresters are expected to assess harvests and do fill out “Ohio Division of Forestry Cutting & Logging Inspection Sheets” each time they visit an active timber harvest site. This form includes a section on utilization. The use of this form was confirmed at several of the sites selected for field review.</p>
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The following six objectives do not apply:

Objective 8. Landowner Outreach. To broaden the practice of sustainable forestry by forest landowners through fiber sourcing programs.

Objective 9. Use of Qualified Resource and Qualified Logging Professionals.

To broaden the practice of sustainable forestry by encouraging forest landowners to utilize the services of forest management and harvesting professionals.

Objective 10. Adherence to Best Management Practices.

To broaden the practice of sustainable forestry through the use of best management practices to protect water quality.

Objective 11. Promote Conservation of Biological Diversity, Biodiversity Hotspots and High-Biodiversity Wilderness Areas.

To broaden the practice of sustainable forestry by conserving biological diversity, biodiversity hotspots and high-biodiversity wilderness areas.

Objective 12. Avoidance of Controversial Sources including Illegal Logging. To broaden the practice of sustainable forestry by avoidance of illegal logging.

Objective 13. Avoidance of Controversial Sources including Fiber Sourced from Areas without Effective Social Laws.

To broaden the practice of sustainable forestry by avoiding controversial sources.

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>OFl</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.	MF	14						
<i>Notes</i>	See indicators below.								

	2010-2014 Requirement	Audit -or	<u>C</u>	<u>EXR</u>	<u>Maj</u>	<u>Min</u>	<u>OFl</u>	<u>Likely Gap *</u>	<u>Likely Conf. *</u>
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14.1.1	Access to relevant laws and regulations in appropriate locations.	MF	14						
Notes	Laws and regulations are summarized in the Ohio State Forest Land Management Manual. Every forester has a copy of this 3-ring binder, and updates are provided by the central office as needed and during the annual refresher training. Laws and regulations are also available on-line on the Ohio Division of Forestry's web site.								

	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>
14.1.2	System to achieve compliance with applicable federal, provincial, state or local laws and regulations.	MF	14						
Notes	Trained professional foresters plan and layout or oversee all projects and experienced forest managers review all projects, with further review by specialists at higher levels in the organization. For example a sale set up by a Land Management Forester would be reviewed by the Forest Manager (property level) and then by the District Land Management Administrator. In some cases the project would be reviewed by the District Forester or possibly by staff in Columbus. All bid prospectuses are ultimately widely reviewed, including by specialists. Marking plans are reviewed by the Integration Committee and the Division of Wildlife.								

	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>
14.1.3	Demonstration of commitment to legal compliance through available regulatory action information.	MF	14						
Notes	There have not been any violations in the past year.								

	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>
14.2	Program Participants shall take appropriate steps to comply with all applicable social laws at the federal, provincial, state and local levels in the country in which the Program Participant operates.	MF	14						
Notes	See indicators below.								

	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>

14.2.1	Written policy demonstrating commitment to comply with social laws, such as those covering civil rights, equal employment opportunities, anti-discrimination and anti-harassment measures, workers' compensation, indigenous peoples' rights, workers' and communities' right to know, prevailing wages, workers' right to organize, and occupational health and safety.	MF	14						
Notes	Posters in offices provide information on employee rights. There is also an employee handbook and information on the web site for employees.								

	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>
14.2.2	Forestry enterprises will respect the rights of workers and labor representatives in a manner that encompasses the intent of the International Labor Organization (ILO) core conventions.	MF	14						
Notes	2014: Dan Balsler interviewed to confirm that there have been no ILO-related complaints. Workers' rights are respected; non-exempt employees have the right to organize in public employees union. If there any ILO-related complaints these must be reported to NSF, which must pass these along to SFI Inc.								

Not selected for complete review in 2014 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>
15.1	Program Participants shall individually and/or through cooperative efforts involving SFI Implementation Committees, associations or other partners provide in-kind support or funding for forest research to improve forest health, productivity, and sustainable management of forest resources, and the environmental benefits and performance of forest products.	MF		14					
Notes	<u>Ohio Division of Forestry exceeds the standard by extensive, long-term support of research.</u> See indicators below.								

	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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15.1.1	<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		14					
Notes	<p>2014: Interviewed Joanne Rebbeck, Researcher, USDA Forest Service, Delaware Laboratory who confirmed a long-term research relationship. Interested in doing research to link phenology of vegetation with timing of emergence of rattlesnakes from their dens, and working towards an agreement.</p> <p>State Forest management plans describe many past research projects.</p> <p>Source: AWP 2014 Fiscal Year</p> <p><i>Research:</i> Over the years, numerous studies have taken place within the State Forest system. Opportunities to conduct research projects exist for any person or group. A special use permit must be applied for and the activity must be approved by the Chief of the Division of Forestry. Current research partners include, but are not limited to, Division of Wildlife (DOW), Ohio State University (OSU), Ohio University (OU), and the US Forest Service (USFS).</p> <p>Vinton Furnace State Forest has a unique history with research that predates state ownership. The US Forest Service has been conducting research on this property since 1952. A special zone has been created at the Vinton Furnace State Forest in which only forest management related to research is conducted.</p> <p>When the property was purchased by the state of Ohio, grant agreements and deed stipulations required a research committee be formed to evaluate and approve research projects conducted at Vinton Furnace State Forest. This committee is composed of representatives from the Division of Wildlife, US Forest Service, US Fish and Wildlife Service and the Division of Forestry. This Research Advisory Committee (RAC) is chaired by the Chief of the Division of Forestry.”</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>
15.1.2	Research on genetically engineered trees via forest tree biotechnology shall adhere to all applicable federal, state, and provincial regulations and international protocols.								

<i>Notes</i>	2014: Not reviewed during the 2014 SFI Audit. 2013: No tree planting has been done over the past 2 years. Some planting is planned, using nursery stock obtained from ArborGen. Hardwood trees will be planted, and they have not been produced using genetic engineering or tree improvement systems.								
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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>
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.								
<i>Notes</i>	Not reviewed during the 2014 SFI 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>
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							
<i>Notes</i>	Not reviewed during the 2014 SFI 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>
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.								
<i>Notes</i>	Not reviewed during the 2014 SFI 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>

15.3.1	Where available, monitor information generated from regional climate models on long-term forest health, productivity and economic viability.								
<i>Notes</i>	Not reviewed during the 2014 SFI 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>
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							
<i>Notes</i>	Not reviewed during the 2014 SFI Audit.								

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>
16.1	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	14						
Notes	See indicators below.								

	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>
16.1.1	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	14						
Notes	In 2007 Ohio’s (then) Governor Strickland signed a proclamation committing to the SFI Standard. On August 30, 2012 Ohio Division of Forestry Chief Bob Boyles (also considered the Ohio State Forester) sent a memo titled “Commitment to Certification” restating the SFI commitment.								

	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>
16.1.2	Assignment and understanding of roles and responsibilities for achieving SFI 2010-2014 Standard objectives.	MF	14						
Notes	Field staff, managers, and the Forest Certification Coordinator have clear understanding of the requirements and of their respective roles and responsibilities. Chad Sanders is the certification coordinator for the DOF responsible for the certification program, and audit contract admin. The certification program is implemented at the District Level by the District Foresters and associated staff. The State Forest Integration Committee deals with certification issues and policies, and was involved in the internal audits and management review, as confirmed by notes from the review.								

	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>
16.1.3	Staff education and training sufficient to their roles and responsibilities.	MF	14						

Notes	<p>Ohio Division of Forestry requires attendance by foresters in two annual trainings: fall training is refresher on the Land Management Manual; spring training topics change each year. Reviewed the annual Fall Training “Forester Refresher Agenda September 18 2014” which included these topics: HWA update on State Forests – Dave Apsley; Managing Forest Birds – Amanda Duren, OBCI; Manual Chapters 1, 5, 6, 10, 11, 12– Sanders; Manual Chapters 2, 3, 4, 7, 8, 9 – Jared Craig</p> <p>Spring Training was a bird management training based on new publication “Forest Management for Birds” provided by a partner. Attendee roster was reviewed.</p> <p>All forest managers and foresters have forestry degrees (most) or significant forestry coursework/experience and related degrees (a few). Foresters interviewed are aware of potential pests and knowledgeable regarding key current pest threats such as EAB, ALB, Gypsy moth, and others.</p> <p>A “New Forester Training Checklist” has been developed. Confirmed the effective use of an actual example for a newer employee (J.C.).</p> <p>2013 Ohio Certified Prescribed Fire Manager Training Course agenda was reviewed; this class is taken by the agency’s Certified Prescribed Fire Manager. Also reviewed agenda for this training: “ARPA, NAGPRA, Geologic Resources and 19jj”.</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	14						
Notes	<p>Logging contractors for the merchandizing sales must be Ohio Master Loggers.</p> <p>Timber purchasers must also have at least one logger with this credential on site at all times. Timber sale prospectuses have these requirements. Signs at active logging jobs inform public about the Ohio Master Logger credential.</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>
16.1.5	Forestry enterprises shall have a program for the use of certified logging professionals (where available) and qualified logging professionals.	MF	14						
Notes	<p>Logging contractors for the merchandizing sales must be Ohio Master Loggers. Timber purchasers must also have at least one logger with this credential on site at all times. Timber sale prospectuses have these requirements. Signs at active logging jobs inform public about the Ohio Master Logger credential.</p> <p>Master Loggers are qualified logging professionals; there are no logger certification programs in Ohio.</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>
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.	MF		14					

Notes	<p><u>Exceeds the Requirements: Ohio Division of Forestry provides an exceptional level of support for logger training and for programs which foster improvement in the professionalism of wood producers.</u></p> <p>Ohio Division of Forestry personnel conduct all of the Master Logger monitoring field inspections for the Ohio Forestry Association (OFA), which runs the Ohio Master Logger Program. This work is done by foresters/managers in the state forest group and in the CFM/private forestry group.</p> <p>A portion of the Scioto Trail State Forest is set up, and has been used for many years, as a logger training demonstration area. Foresters from Ohio Division of Forestry assist as trainers with logger training workshops at least annually. Another such site is planned for the northern region at the Fernwood State Forest and funding is in place (a grant was received).</p> <p>Several foresters with Ohio Division of Forestry are members or are in leadership positions in the local logger’s chapters or the state steering group of the Ohio Logger’s Standards Council. This council, working with OFA, manages all aspects of the Master Logger Program and provides loggers a forum for regular meeting, exchange of ideas, and organizing to meet the needs of the state’s harvesting community. Interviewed several Ohio Division of Forestry foresters who serve within this organization.</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>
<i>16.2.1</i>	Participation in or support of SFI Implementation Committees to establish criteria and identify delivery mechanisms for wood producers’ training courses that address: <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. 	MF		14					
Notes	<u>Exceeds the Requirements; see notes under Performance measure above.</u>								

	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> <p>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.</p>	MF	14						
<i>Notes</i>	See notes for Performance Measure 16.2.1 above.								

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.	MF	14						
<i>Notes</i>	See indicators below.								

	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	14						
<i>Notes</i>	<p>Interviewed Cotton Randall, CFM Administrator, Ohio Division of Forestry to confirm his involvement in the Ohio SFI Implementation Committee. He has attended meetings and supported efforts of the program since early 2012. This has included helping write a request for a grant under the SFI Conservation Grants Program as well as attending the regular meetings.</p> <p>Financial support is provided on an as-needed basis for special projects. Confirmed significant in-kind support (people, facilities).</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>
<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.).	MF	14						
<i>Notes</i>	This function is largely the responsibility of the Ohio Division of Forestry has a service forestry program that operates throughout the state with foresters assigned to every county. Their primary duties are to provide information and assistance to private landowners, including the development of forest management plans and aspects of the forest tax law.								

	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.	MF	14						
Notes	Generally covered by the Ohio Division of Forestry's service forestry program and by Ohio State Extension. Some of the research for "Managing Forest Birds in Southeast Ohio", a recent Division of Wildlife publication of land management guidelines for forest birds occurred on state forestland. The recommendations arising from this research are being applied on state forests.								

	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	14						
Notes	The Ohio Division of Forestry supports all three types of programs described in this indicator. For example the division has a web page "Ohio Forest Legacy Program" (http://ohiodnr.com/Forestry/tabid/5293/Default.aspx). The site provides information and recommendations regarding working with land trusts on conservation easements.								

	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.								
Notes	Not reviewed during the 2014 SFI 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>
17.2	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		14					
Notes	See indicators below.								

	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		14					
<i>Notes</i>	<p><u>The Ohio Division of Forestry Exceeds the Requirements for Periodic educational opportunities promoting sustainable forestry.</u></p> <p>Support for “A Day in the Woods” on the Vinton Furnace State Forest, the 2nd Friday Series, May to November 2014. Topics include tree and plant identification, control of invasive plants, oak regeneration, creating and using woodland maps, and wildlife food production.</p> <p>Annual school teacher field day is now held at Vinton Furnace State Forest. In past 70 or more school teachers attended. Soil and Water Conservation District’s teacher workshops are also staffed in part by Ohio Division of Forestry personnel.</p> <p>The following forests maintain self-guided forestry field tour programs in place: Maumee SF, Zaleski State Forest, Shawnee State Forest.</p> <p>The forestry program staff’s a booth at three large events each year: Paul Bunyan show, Farm Science Review in London, Ohio, Ohio State Fair.</p> <p>Each forestry office is well-stocked with fire-prevention materials and staff is expected to promote fire prevention.</p> <p>Support for forestry organizations includes significant support for the OFA (focused on logger training) including trainers and use of state lands. Brian Kelly (Scioto Trail manager) is a lead instructor for BMP trainings. He has revamped the BMP training area this year. Ohio Division of Forestry equipment operators and Ohio Division of Forestry bulldozers are used to demonstrate BMP implementation as part of the training. Scioto Trail also hosts the chainsaw level-1 training twice per year that OFA coordinates. NEW - The division received a grant from the Appalachian Forest Renewal Initiative. As part of that grant the division will develop an additional training area at Fernwood State Forest to serve the east and northern logging community.</p> <p>Some Ohio Division of Forestry foresters are involved in local logger’s chapters. Greg Guess is active in the Southern Ohio chapter and Mark Popichak in the Northeast Chapter. Nate Jester represents the Ohio Division of Forestry on the statewide Logger’s Standards Council.</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>
17.3	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.	MF	14						

<i>Notes</i>	See indicators below.
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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>
<i>17.3.1</i>	Support for SFI Implementation Committees (e.g. toll free numbers and other efforts) to address concerns about apparent nonconforming practices.	MF	14						
<i>Notes</i>	Interviewed Cotton Randall, Cooperative Forest Management Administrator, Ohio Division of Forestry to confirm his involvement in the Ohio SFI Implementation Committee. He has attended meetings and supported efforts of the program since early 2012. A Google search provided this flowchart document of the process: "Ohio SFI® Program Implementation Committee -Procedure for Handling Inconsistent Practices".								

	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>17.3.2</i>	Process to receive and respond to public inquiries. SFI Implementation Committees shall submit data annually to SFI Inc. regarding concerns received and responses.	MF	14						
<i>Notes</i>	Ohio Division of Forestry has a formal dispute resolution process which includes a complaint form and established protocols. Before this approach is used managers and foresters are expected to attempt to resolve issues informally. During the audit ample evidence was provided of efforts to respond to public inquiries, particularly regarding concerns about the use of prescribed fire.								

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.	MF	14						
<i>Notes</i>	See indicators below.								

	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>18.1.1</i>	Involvement in public land planning and management activities with appropriate governmental entities and the public.	MF	14						
<i>Notes</i>	<p>2014: Marking plans are made available to the general public by posting on the web site 30 days in advance of the open houses each year. These are done in Chillicothe (southern region), another at Maumee Forest and a third open house in New Philadelphia. Attendance was 30/15/10 respectively. These include fact sheets, 1-page summaries covering location, size, harvest method, volume, value, reason for treatment products, history of the tract and surrounding forest, special considerations, and contact information for the Ohio DNR Division of Forestry</p> <p>2013: Many of the state forests have citizen led “friends” or advisory groups. Mohican State Forest has 3 horse trail groups, 1 for mountain bikes, and 1 for traditional hiking. Recent meetings with Buckeye Forest Council and the Ohio Environmental Council were discussed and some documentation was reviewed by the audit team.</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>
<i>18.1.2</i>	Appropriate contact with local stakeholders over forest management issues through state, provincial, federal or independent collaboration.	MF	14						
<i>Notes</i>	<p>Throughout the audit it was clear that personnel at all levels within the Ohio Division of Forestry are aware of the need to solicit public input regarding forest management and land management practices. The larger and some of the more popular state forests have active “friends” groups, and managers clearly appreciate the opportunities for improved communication and practices that these groups represent.</p> <p>Managers may face continued challenges working with some external partners who have undergone significant turnover or who have requests for actions or changes in proposed actions that may not be consistent with overall needs and goals for the management of state forests for multiple stakeholder groups and interests.</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>
18.2	Program Participants with forest management responsibilities on public lands shall confer with affected indigenous peoples.	NA							
<i>Notes</i>	There are no state-recognized or federally-recognized tribes in Ohio. Ohio Division of Forestry has trained its staff on archeological and cultural laws that protect sites and cultural resources. The chief ranger at the Hopewell Natural Park Unit in Chillicothe provides training and advice.								

	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>
18.2.1	Program that includes communicating with affected indigenous peoples to enable Program Participants to: a. understand and respect traditional forest-related knowledge; b. identify and protect spiritually, historically, or culturally important sites; and c. address the use of non-timber forest products of value to indigenous peoples in areas where Program Participants have management responsibilities on public lands.	NA							
<i>Notes</i>	There are no state-recognized or federally-recognized tribes in Ohio. Special sites are protected, generally by buffering them from intrusive activities, except that on mounds they are advised to remove the trees to avoid disturbance. Generally the Ohio Division of Forestry has decided to avoid any activities on or near such sites. The division works with specialists at the Hopewell National Park and the Hopewell-Newark Earthwork Center on staff training and awareness.								

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>
19.1	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	14						
Notes	See indicators below.								

	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>
19.1.1	The summary audit report submitted by the <i>Program Participant</i> (one copy must be in English), shall include, at a minimum, 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</i> 's 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	14						
Notes	NSF provides the summary report as part of each year's overall audit report. The 2012 and 2013 audit summary reports are on the SFI web.								

	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	Program Participants shall report annually to SFI Inc. on their conformance with the SFI 2010-2014 Standard.	MF	14						

<i>Notes</i>	See indicators below.								
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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>
<i>19.2.1</i>	Prompt response to the SFI annual progress report.	MF	14						
<i>Notes</i>	Rachel Dierolf of SFI Inc. provided an email confirming timely receipt of the annual progress report.								

	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>19.2.2</i>	Recordkeeping for all the categories of information needed for SFI annual progress reports.	MF	14						
<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>
<i>19.2.3</i>	Maintenance of copies of past reports to document progress and improvements to demonstrate conformance to the SFI 2010-2014 Standard.	MF	14						
<i>Notes</i>	2013, 2012 and 2011 SFI reports were input directly on SFI internet site, with data provided maintained by Ohio Division of Forestry.								

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>
<i>20.1</i>	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.	MF	14						
<i>Notes</i>	See indicators below.								

	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>20.1.1</i>	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.	MF	14						
<i>Notes</i>	<p>The management review system is described in Section H of the Ohio State Forest Land Management Manual. In addition managers are closely involved in forestry decisions. Management review culminates with the integration committee. Internal audit conducted, documented and thorough.</p> <p>The Ohio Division of Forestry operates an Integration Committee that meets at least twice per year to review reports and plans, accomplishments, and partner and citizen input. The committee makes decisions and recommendations in order to remain in compliance with SFI standard, particularly with respect to findings from internal or third-party audits. It also works on writing and updating policies or procedures as needed. It also conducts the required annual management review (see Indicator 20.1.3 below).</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>
<i>20.1.2</i>	System for collecting, reviewing, and reporting information to management regarding progress in achieving SFI 2010-2014 Standard objectives and performance measures.	MF	14						

Notes	Internal audits are the key method for meeting this requirement. Reviewed the Internal Audit Report Memo dated September 3, 2014 from the Assistant Chief to the Chief, Ohio Division of Forestry summarized the results of the internal audit. Also interviewed both members of the internal audit team (Assistant Chief Dan Balser and Cooperative Forest Management Administrator Cotton Randall) who described process and results. A primary component of this audit was the review of the evidence matrices for both standards (FSC and SFI). Integration Meetings, including one on March 28, 2014, are another method of program review.
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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>
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	14						
Notes	2014: Integration Meeting September 3, 2014; Attendees: Dan Balser, Nate Jester, Greg Guess, Gregg Maxfield, Chad Sanders, Cotton Randal, Jarod Craig. Meeting agenda included: <ol style="list-style-type: none"> 1. Review Open Houses and Comments – Jester / South and Maxfield / North 2. Review Internal Auditing CARs - Cotton Randal 3. 2014 Audit – Perry, Blue Rock, Dean, Pike, Brush Creek 4. Forester Refresher - planning 5. Management Review for SFI 								

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?
Policies, budgets, state-wide planning, hiring, internal audits, contracting, and overall program management.
- b) For each activity, provide evidence:
See SFI Matrix above.

General Eligibility Criteria:

A legal or contractual link shall exist between all sites.

Yes No Evidence All sites are owned by the State of Ohio and are under the legal control of the Ohio Division of Forestry.

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

Yes No Evidence All sites are units of the Ohio State Forest system and operate under common procedures and goals.

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

Yes No Evidence All sites are units of the Ohio State Forest system and operate under common procedures and goals. Training and oversight is managed centrally; auditor found remarkable consistency among sites.

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 See SFI Matrix above, SFI Indicator 16.1.1.

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 The Ohio State Forest Land Management Manual, centrally-provided forms, and central oversight were confirmed.

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 Scope statement and program documents.

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 and program documents.

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

Yes No Evidence Confirmed program of internal audits; see SFI Matrix Objective 20.

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

Yes No Evidence Confirmed program of internal audits; see SFI Matrix Objective 20 as well as site-level inventory and harvest monitoring forms.

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 Confirmed program of internal audits including issues managed centrally and covered the breadth of the program; see SFI Matrix Objective 20.

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

Yes No Evidence File "SMZ addendum to close internal CAR 2013" documents the revised policy developed to address an internal CAR that arose during the 2013 Ohio Division of Forestry internal audits.

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 Information on new lands (managed by the same system and the same people, so not really new "sites" as defined in forestry) is provided to NSF as land purchases occur. These are quite minor; in the last year additional lands were less than a 0.5% addition to the acres included.

Individual Site Functions and Responsibilities

Sites implement and maintain the requirements of the relevant standard.

Yes No Evidence Based on the audit results (see checklist above) sites showed very strong fidelity to requirements of the standard. The Ohio Division of Forestry operates a comprehensive and fairly centralized management system.

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 provide information requested by the central office, based on

reviews of records. 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 have consistently quickly implemented changes driven by internal and external audit results. The most recent example is the revised ephemeral stream policy that expands the protections afforded to intermittent streams further up-drainage based on stream width and characteristics. Foresters managing sites audited have been trained, understand the policy and are implementing it on sales being planned and set up.

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

Yes No Evidence Sites have consistently quickly implemented changes driven by internal and external audit results. See previous note for evidence of adherence to less formal changes. The Corrective Action Plan for the 2013 Minor Non-conformance was implemented at the district level.

Not Applicable Option 2: NSF-ISR Multi-site Certification Justification based on MD1: 2007

2014 Interviewees and Site Notes

Tuesday October 21, 2014

Mike Ferrucci, SFI Lead Auditor visited Perry State Forest and Blue Rock State Forest SFI Opening Meeting and Perry/Blue Rock Field Sites had the same personnel:

Ohio Division of Forestry

Greg Guess, Deputy Chief, Chillicothe office

Gregg Maxfield, District Forest Manager, North District

Chad Sanders, Ohio Division of Forestry, Mohican State Forest

Dan Balsler, Ohio Division of Forestry, Columbus Central Office

Dave Glass, Forest Manager, Perry State Forest and Blue Rock State Forest

Charlie Lee, Forester, Perry State Forest and Blue Rock State Forest

Perry State Forest, Mike Ferrucci, Auditor

Site 1 Perry State Forest All-purpose Vehicle (APV) Parking Lot and related infrastructure including newly-built latrine.

Site 2 Perry State Forest ADA Hunting Area with associated trail access.

Site 3 Perry State Forest APV Area. Trail system with significant investment in trail markers, signs, parking, and hardening of trail surface as needed.

Site 4 Perry State Forest Compartment A-18, Sale# Block 1. Completed Patch Clear-cut on 2-acres of declining, storm-damaged pine plantation.

Site 5 Perry State Forest Road #1. This all-season road is in excellent condition.

Site 6 Perry State Forest Compartment A-18, Sale# Block 2. Completed Patch Clear-cut on 7-acres. Ample natural regeneration including oak, hickory, maple, sweet gum.

Site 7 Perry State Forest Compartment A-7, Cutting Section #2. Hardwood clear-cut of 12 acres completed with 3 acres of retention.

Site 8 Perry State Forest Compartment A-7, Cutting Section #1. 68-acre completed deferment harvest with several retention areas. Excellent post-harvest BMPs, good-visual quality, and many good-quality oak trees retained.

Site 9 Perry State Forest Bridle Trail in Compartment A-7 within completed timber harvest. Trail is in good condition and minimally impacted by the timber harvest (Site 9 above).

Site 10 Perry State Forest Compartment A-4. Completed 10-acre clear-cut with oak and hickory trees reserved for bat habitat needs. Minimal impacts to adjacent State Forest Bridle Trail.

Blue Rock State Forest- Mike Ferrucci, Auditor

Site 11 Blue Rock Sale 1405, Compartment A-2. Large sale (741 mbf Int. and 2,000 tons pulp) on 164 acres. 5 of 7 cutting sections were assessed:

CS#1 Hardwood Shelterwood 29 acres

CS#2 Hardwood Deferment 47 acres

CS#3 Hardwood Thinning 19 acres, good job with BMPs including ephemeral stream

CS#5 Hardwood Single-Tree Selection 12 acres

CS#6 Hardwood Single-Tree Selection 29 acres, closed, good job with bridged crossing of intermittent stream, some concern that all large, decadent scarlet oak were cut, with slightly smaller residuals left outside cut section

Site 12 (not visited in field, but files reviewed thoroughly): Blue Rock Pine Sale #1311, Compartment A-21 Pine Sale. 64-acre salvage of storm-damaged pine plantations with some hardwood pulpwood included. Sale included 7 cutting sections. Harvested by L.A. Horn Logging and Land Clearing.

Dean State Forest, Kyle Meister Auditor

Site 1 Dean State Forest. Road One slip and repair; and horse bridle trail: 2011 storm land slump; fixed in 2012. Review of road reconstruction, new drainage features, storm-proofing, project review process, and cost-sharing. Examination of horse trail conditions and discussion of maintenance/ invasive species control.

Site 2 Dean State Forest. Road Two land slip and repair and road system review: similar to first site and result of same storm, but with more drainage features installed, including large culvert and French drain. Examination of road system and property boundaries.

Site 3 Dean State Forest. Main office/ garage: inspection of new and old equipment. Discussion of long-term maintenance.

Pike State Forest, Kyle Meister Auditor

Site 1: Sale 1301: Oak-hickory shelterwood and thinning complex. Two thinning sites and one shelterwood preparation site. Focus on removal of larger, declining trees and thinning from below for retained trees within thinning areas. Shelterwood focus on removal of dominant overstory and retention of vigorous co-dominant class for next entry and removal of suppressed trees down to two-inches in diameter for securing regeneration. Retention in all areas consisted of several oak and hickory species, tulip-poplar, white ash, sugar maple, black cherry, and walnut/ butternut where present. Examination of sale boundaries, recreation trail buffers, and stream buffers on intermittent stream.

Site 2: Green Ridge A-26 Fiber Supply: operator-select thinning from below in hardwood stand and standard thinning in planted white pine stand. Hardwood area included retention of tulip-poplar, oak and hickory species, walnut/ butternut, pitch pine, sugar maple, and black cherry. Noted some uncommon oak (Chinquapin oak) and butternut retained. Removal of suppressed

tulip-poplar, white ash, and red maple. Archaeological site protected with buffer. Mostly removal of low-grade material to allow for development of stronger overstory trees.

Wednesday October 22, 2014

The following individuals were interviewed:

Ohio Division of Forestry

Greg Guess, Deputy Chief, Chillicothe office

Nate Jester, District Forest Manager, South District

Chad Sanders, Ohio Division of Forestry, Mohican State Forest

Dan Balsler, Ohio Division of Forestry, Columbus Central Office

Jared Craig, District Land Management Administrator, Chillicothe office

Dale Egbert, Forest Manager, Brush Creek State Forest

John Bauerbach, Forester

Ben Kelley, Forester

Rocco Saracina, Observer, SFI Inc.

Pike State Forest

Site 1 Pike State Forest Headquarters and Pesticide Storage Building. Warning signs, venting, and chemicals in sealed containers with labels.

Site 2 Pike S.F. APV Area. A newly-purchased tract has allowed expansion of this popular area. Facilities observed include a new “novice rider” loop, a new, larger information kiosk, parking areas, a picnic shelter, a portion of the trail and a concrete bridge over two stream crossing culverts.

Site 3 Pike State Forest Compartment 5, Stand 178. Completed merchandizing sale implementing deferment harvest (shelterwood overstory removal with retention) leaving 20 square feet of basal area per acre of mostly oak and hickory species. Confirmed ample tree seedlings, most less than 1-foot tall, including tulip-poplar, Chestnut and White oak, Sycamore, Hickory, and Maple. Harvest was completed late March 2014 by Sisels Logging, contracted to cut, limb, yard, and truck log stringers for merchandizing by Ohio Division of Forestry. Documentation of frequent (at least weekly) harvest inspections confirmed review of utilization and BMP monitoring.

Site 4 Pike State Forest Hollow Sale, Contract #1413. Active harvest conducted by Robert L. Bray Logging, Ohio Master Logging Company Certificate E13-14-0049. Owner was interviewed and logging operations observed. This high production crew had 6 skidders, two loaders, and more than one chain-saw feller present, although two skidders were parked. Three cutting sections comprise the sale.

CS#1 is an active deferment harvest with CS#2 an active 10-acre clear-cut patch within it.

CS#3 is a completed hardwood deferment closed out with well-built waterbars on the main access road that has also been mulched with straw, with some grass sprouting and leaves falling that will help stabilize. Retention had at least one low-value but larger tree, but most retention is

smaller than trees removed, consistent with the prescription and with the intent of leaving the retention until the end of the next rotation.

Brush Creek State Forest

Site 5 Brush Creek State Forest. A partially-completed “Fiber Supply Agreement” sale to Glatfelter. Two of three cutting sections were inspected:

CS#1 is a completed pine thinning on 21 acres. The residual stand consists of large, tall, well-spaced white pine trees with some very minor damage (softball-size missing bark) to the boles of about 10% of the stems from the cut-to-length logging equipment. White pine here has low value and is not likely to suffer much impact from these wounds.

CS#3 is a 90% completed pulpwood thinning on 50 acres of oak and mixed hardwood pole-size trees. Efforts were made to favor single stems or thin multiple stem clusters and to space the trees. The target of 60-80 square feet of basal area per acre is being met, with considerable but acceptable variation due to operations issues (steep slopes and tight spacing). Less damage to bark of residual trees than CS#3 but still evident.

Site 6 Brush Creek State Forest, Coffee Hollow Road culvert replacement project completed by Ohio Department of Transportation. Single 36” diameter round plastic culvert with riprap and other essential design elements implemented well.

Site 7 Brush Creek State Forest, Coffee Hollow Road rebuilding project nearly complete. The portion of the road affected by a landslide has been rebuilt, with built-in tile drainage, rip-rap to be installed in the upslope ditch, and crown and surface to high specifications.

Site 8 Brush Creek State Forest, Compartment A-37, Coffee Hollow Merchandizing Project SC#2 16 acre deferment treatment with leave-trees marked. The trees to remain meet the goals and specifications, except that provisions for leaving potential den trees (those with hollow portions) may not be adequate as 3 of the 4 such trees observed (each with hollow sections but not with active wildlife signs present) were not marked for retention.

Site 9 Brush Creek State Forest, Compartment A-39, Cut Section #1 Stumpage sale; 68 acres, leave-tree marked deferment harvest with target of 10-25 BA retention. Last harvested in the 1970s. Observation of most dominant trees (mostly red, black, and scarlet oaks) to be removed, except for those that have already fallen naturally. A few living snags present that will be removed. Good form on retained trees. Discussion of retention of dominant and co-dominant trees, legacy trees, den trees, etc.

Site 10 Brush Creek State Forest, Sale 1225. Dry Fork Creek Pine Clear-cuts on 14.5 acres in 11 small units. Removed white pine that had been planted 60+- years ago on former open agricultural land. The two units assessed have ample regeneration and retention of snags and other stand-level retention including course-woody debris.

Thursday October 23, 2014

The following individuals were involved in the audit, either on-site or interviewed:

Ohio Division of Forestry

Bob Boyles, Chief Ohio Division of Forestry

Cotton Randall, Cooperative Forest Management Administrator

Nate Jester, District Forest Manager, South District

Gregg Maxfield, District Forest Manager, North District

Greg Guess, Deputy Chief, Chillicothe office

Chad Sanders, Ohio Division of Forestry, Mohican State Forest

Dan Balser, Ohio Division of Forestry, Columbus Central Office

Tom Shuman, Southern District Fire Program Administrator, Ohio Division of Forestry

Jared Craig, District Land Management Administrator

Other Stakeholders:

Joanne Rebbeck, Researcher, USDA Forest Service, Delaware Laboratory

Eric Rousch, Forest Certification Coordinator, Glatfelter

Mike Reynolds, Research Administrator, Ohio Division of Wildlife

Tar Hollow State Forest

Site 1 Contract 1402, Compartment A-8. Active selection harvest with concerns regarding a rare plant and timber rattlesnakes. The department summarized the concerns and actions taken to address them, with a portion of the summary included below:

“... two local citizens voiced concerns that there are rocks located in a DOF timber sale that could be dens, as well as in a few prescribed burn areas.

- There are no recorded or confirmed rattlesnake dens in the area in question.
- Snakes have been seen within a 1/2 mile of this area during the summer months. Snakes move around a lot so there is no particular reason to think those particular snakes use those particular rocks for hibernacula.
- Prior to harvesting, the timber sale administrator and district manager were onsite with DOW during a field review and determined that the rocks looked like potential habitat.
- Mitigation: We committed to avoid constructing skid roads through the large rocks, would also avoid disturbing uprooted tree root wad holes, and we also educated the logger on timber rattlesnake habitat. The Division of Wildlife felt this was an appropriate response.
- These questions arose 2 years after the sale had been in a public open house, and after we painted-out trees (not to be harvested) that were near a newly found listed plant.
- DoF did a field review on the other side of the park over a year ago (A-4) with DoW and their contract rattlesnake biologist. We flagged a couple of areas for equipment avoidance due to having potential hibernacula.”

Field review supported the Ohio Division of Forestry’s position that the issues were addressed. Harvest activity has buffered the area of concern.

Appendix IV



SFI Reporting Form

The only change is to the scope of the certificate:

Land management on the Ohio state forests and the Vinton Furnace Experimental State Forest including SFI Objectives 1-7 and 14 through 20. The SFI Certificate Number is NSF-SFIS-C0043580.