

## **Ohio DNR Division of Forestry**

2045 Morse Rd. Bldg. H-1  
Columbus OH, 43229-6693

C0043580

SFI<sup>®</sup> 2015-2019 Forest Management Standard

Reassessment

November 2, 2015

## NSF International Forestry Program Audit Report

**A. Program Participant's Name**

Ohio Division of Forestry

**NSF Customer Number (FRS)**

C0043580

**B. Scope**

The Sustainable Forestry Initiative program including land management operations on 200,056 acres of Ohio State Forests and related sustainable forestry activities.

This certificate covers SFI 2015-2019 Forest Management Standard Objectives 1 through 15 and the 2010-2014 SFI Standard (Section 2). Fiber sold under this certificate counts as 100% SFI and PEFC certified forest content. The SFI Standard certification number is NSF-SFIS-6L841.

**C. NSF Audit Team**

Mike Ferrucci, Anne Marie Kittredge, Michelle Matteo

**D. Audit Dates**

October 26-29, 2015

**E. Reference Documentation**

SFI 2015-2019 Forest Management Standard

**Company Documentation**

Ohio State Forest Land Management Manual

Ohio Division of Forestry Indicators and Evidence Matrix, 2015-2015 SFI Forest Management Standard

**F. Audit Results: Based on the results of this assessment, the auditor concluded:**

- Acceptable with no nonconformities
- Acceptable with transitional nonconformities that must have an approved, implemented corrective action plan in place by December 31, 2015
- Acceptable with two minor nonconformities– corrective action required.
- Several major nonconformities – certification may be cancelled unless immediate action is taken

**G. Changes to Operations or to the Standard**

Are there any significant changes in operations, procedures, specifications, facility records, etc., from the previous visit?

- Yes (Please explain)
- No

**H. Other Issues Reviewed**

- Yes     No     N/A    Public report from previous audit(s) is posted on the SFI/SBP/etc. website
- Yes     No     N/A    Relevant logos or labels (SFI, PEFC, etc.) are utilized correctly.

Yes     No     N/A    Nonconformities from previous audit were reviewed.  
If yes, briefly explain:

**I. New Corrective Action Requests**

- Corrective action plan is not required.
- Minor Nonconformities: Corrective action plan should be provided within thirty (30) days of this visit. NSF may suspend the certificate if the plan is not received within sixty (60) days. Effectiveness of implementation of corrective actions will be verified during the next regularly scheduled visit.
- Major Nonconformities: Corrective action plan should be provided within thirty (30) days of this visit. The auditor will make arrangements to verify the corrective action has been effectively implemented. All major nonconformities must be closed by a special verification audit or by desk review. NSF may suspend the certificate if the corrective action plan is not received within sixty (60) days and/or if evidence verifying the corrective action is not provided within 120 days.

At the conclusion of this audit, the following number of NCs was communicated:

Major: 0      Minor: 2

In addition, 3 opportunities for improvement (OFIs) were identified)

Corrective actions and supporting documentation should be submitted to NSF through the NSF Online Customer Portal. For assistance, please contact your NSF Certification Project Manager.

**J. Future Audit Schedule**

Following the initial registration audit, continued certification requires annual assessments commonly referred to as "Surveillance Audits". Additionally, at the end of the certification period, maintaining certification requires the completion of a recertification or "Reassessment Audit". Your next audit is a Surveillance Audit, scheduled to be conducted the week of October 24, 2016.

**Appendices**

- [Appendix 1:](#)    Audit Notification Letter and Audit Agenda
- [Appendix 2:](#)    SFI Forest Management Public Summary Report
- [Appendix 3:](#)    Audit Standard Checklist - SFI Forest Management Standard
- [Appendix 4:](#)    Meeting Attendance
- [Appendix 5:](#)    Site Notes
- [Appendix 6:](#)    Form for Reporting SFI/PEFC Certification

## Appendix 1

### Audit Notification Letter and Audit Agenda

#### RE: Audit Notification Letter, 2015 SFI Re-Certification Audit

October 14, 2015

Chad Sanders  
Ohio Department of Natural Resources, Division of Forestry  
945 ODNR Mohican Rd., 60  
Perrysville, OH 44864

Re: Confirmation of SFI 2015 Re-Certification Audit, Ohio DNR Division of Forestry

Dear Mr. Sanders:

As agreed, the 2015 joint FSC and SFI audits of Ohio DNR are scheduled for October 26-29, 2015. Please confirm that these dates are still appropriate for the audit of your program's conformance to the SFI 2015-2019 Forest Management Standards and the FSC P&C.

As we discussed, I will be leading the SFI portion of your joint (with FSC) audit as described in the attached itinerary. This letter is intended to meet the SFI audit planning requirements and will therefore focus on the SFI part of the work. A separate FSC audit plan will be provided by SCS Global.

The audit team will consist of:

- Mike Ferrucci, NSF-International – SFI Lead Auditor
- Michelle Matteo, SCS Global Services – FSC Lead Auditor
- Anne Marie Kittredge, Forester

The 2015 SFI Re-Certification Audit is a review of your SFI Program to confirm that it is in conformance with the new SFI 2015-2019 Forest Management Standard.

During the SFI audit the team will also:

1. Review the results of the management review of your SFI Program;
2. Evaluate the multi-site requirements;
3. Review logo and/or label use;
4. Confirm public availability of public reports; and
5. Review changes in your programs, policies, and procedures.

#### SFI Audit Scope

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This certificate covers SFI 2015-2019 Forest Management Standard Objectives 1 through 15 and the 2010-2014 SFI Standard (Section 2). Fiber sold under this certificate counts as 100% SFI and PEFC certified forest content. The SFI Standard certification number is NSF-SFIS-6L841.

#### Multi-Site Sampling Plan

Ohio DNR qualifies for multi-site sampling as provided within the Requirements for the SFI 2015-2019 Program: Standards, Rules for Label Use, Procedures, and Guidance, Section 9 Auditing Requirements.

The Columbus (central) office has general control and authority over the separate state forests. As such the program is eligible for a sampling approach involving field reviews of a sample of the 21 named state forests that are organized into 10 administrative units. The sampling plan for 2015 requires visits to a minimum of 4 state forests, with the 5 forests selected for site visits indicated by bold type on the list below. These forests were selected based on the time elapsed since previous audits, the level of activity at each forest, and the level of risk or complexity of the activities. Most of the field sites to be reviewed within each forest were selected randomly. Central office issues will be reviewed primarily on the first day and the morning of the last day (see schedule).

**Forests Included in the scope of the certificate**

Beaver Creek State Forest	Blue Rock State Forest
Brush Creek State Forest	Blue Rock West State Forest
Dean State Forest	Chapin Forest Reservation
Gifford State Forest	Fernwood State Forest
Harrison State Forest	Green Springs State Nursery
Marietta State Nursery	Hocking State Forest
<b>Mohican-Memorial State Forest</b>	Maumee State Forest
Pike State Forest	Perry State Forest
<b>Scioto Trail State Forest</b>	<b>Richland Furnace State Forest</b>
<b>Shawnee State Forest</b>	Shade River State Forest
Tar Hollow State Forest	Sunfish Creek State Forest
Yellow Creek State Forest	<b>Vinton Furnace Experimental State Forest</b>
Zanesville State Nursery	Zaleski State Forest

**Audit Schedules and Travel Logistics**

The overall schedule shown below was agreed to by all parties. More detailed daily schedules are to be developed by your team as they finalize the site selection process, based on preliminary selections provided separately. Final schedules should be emailed to all involved by October 23, 2015 if possible. The schedules will be reviewed and adjusted as needed during the opening meeting or in the field to accommodate any special circumstances.

**Role of SFI Inc. Office of Label Use and Licensing**

As a reminder, your organization is responsible for contacting SFI, Inc. and complying with all requirements before using or changing any SFI label or logo. Your contact is:

Rachel Dierolf, Manager of Statistics and Labeling  
Sustainable Forestry Initiative, Inc.  
900 17<sup>th</sup> Street NW, Suite 700, Washington, DC 20006  
613-274-0124 [rachel.dierolf@sfiprogram.org](mailto:rachel.dierolf@sfiprogram.org)

**Information Requests**

Thank you for making arrangements to share requested information via a secure web site. The auditors will review this material in advance as time allows, and throughout the course of the audits.

A formal information request has been sent from the SCS Global Services office; while this request is directed to FSC issues much of the requested information will be of value to during the SFI evaluation.

In addition please assemble your evidence for meeting the SFI requirements that I highlighted in the SFI checklist of the 2015-2019 requirements which I previously provided. The audit will cover all relevant elements of the SFI Requirements.

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

Best Regards,



Mike Ferrucci, Lead Auditor, NSF

[mferrucci@iforest.com](mailto:mferrucci@iforest.com) 203-887-9248

Enclosures:

- Agenda Overview
- Daily Schedules
- SFI Checklist with information requests highlighted

## 2015 Ohio State Forests FM Audit:

### Agenda Overview

North: Mohican

South: Shawnee, Vinton Furnace, Scioto Trail, Richland Furnace, Vinton Furnace

Monday: Opening Meeting, meetings with specialists, document review

Tues & Wed: Audit Selected Ohio State Forests; stakeholder meeting

Thursday: Follow-up and review outstanding issues; team deliberations; closing meeting

Friday: Auditors travel home.

### Daily Schedules

#### Monday October 26, 2015

Task / Time	Details	Notes/ location
Opening Meeting 8 – 9:30 am	<ul style="list-style-type: none"> <li>• Introductions</li> <li>• Agenda Review</li> <li>• Audit Protocols</li> <li>• Status of 2014 Audit Findings</li> <li>• Changes in Programs, Policies</li> </ul>	Ohio DNR, Division of Forestry 2045 Morse Rd. Bldg. H-1, Columbus OH, 43229-6693
Meet with State Forester Time: 9:30-10	<ul style="list-style-type: none"> <li>• Management Review</li> <li>• Other Issues</li> </ul>	
Inventory & AAC Time: 11-12	<ul style="list-style-type: none"> <li>• Inventory Process and Updates</li> <li>• Determination of Allowable Harvest and Growth</li> </ul>	
Management Planning Time: 10-11,12:15-12:45	<ul style="list-style-type: none"> <li>• State Forest Plan – overall</li> <li>• Individual State Forest 5-Year Plans</li> <li>• Annual Work Plans</li> <li>• Ohio Wildlife Action Plan and other landscape-level plans</li> <li>• Other Supporting Documents</li> </ul>	
Protected Areas Time: 12:45 - 1	<ul style="list-style-type: none"> <li>• Heritage Mapping: Ohio Biodiversity database</li> <li>• Historic/Cultural Sites</li> <li>• HCVF and RSA Processes</li> </ul>	
Forest Protection Time: 1-2:30	<ul style="list-style-type: none"> <li>• Fire Program</li> <li>• Forest Insect and Disease Program</li> <li>• Invasive Control Program</li> <li>• Other</li> </ul>	
Wildlife Time 2:30-3	<ul style="list-style-type: none"> <li>• Wildlife Division</li> </ul>	
SFI-Focused Issues Time: 3-4 pm	<ul style="list-style-type: none"> <li>• Ohio SFI Implementation Committee</li> <li>• Forestry outreach for landowners and general public</li> <li>• Mandatory reporting requirements</li> <li>• Use of label/logo and claims on sales documents</li> </ul>	
FSC-Focused Issues Time: 3-4 pm	<ul style="list-style-type: none"> <li>•</li> </ul>	
Travel to Hotels	<ul style="list-style-type: none"> <li>• Ferrucci, AMK to Chillicothe</li> <li>• Michelle Matteo remains in Columbus hotel at airport</li> </ul>	

**Tuesday October 27, 2015**

**Northern Forests**

**Auditors:** Michelle Matteo

**Ohio Division of Forestry Personnel:** Chad Sanders, Gregg Maxfield

<b>Task / Time</b>	<b>Details</b>	<b>Notes/ location</b>
Daily Opening Briefing 8 am	<ul style="list-style-type: none"> <li>• Introductions</li> <li>• Agenda Review</li> <li>• Audit Protocols</li> <li>• Overview of Forest being visited</li> </ul>	Mohican State Forest
Field Sites, Mohican State Forest 9 am to Noon	<ul style="list-style-type: none"> <li>• High Priority Sites from auditor selections</li> <li>• Special Sites: ecological, historic, recreation, etc.</li> <li>• Infrastructure/ Roads</li> <li>• Intensive Management</li> </ul>	
Travel time from Mohican to Scioto State Forest Noon to 3 pm	<ul style="list-style-type: none"> <li>• 2 hours and 45 minutes</li> </ul>	
Field Sites, Scioto State Forest 3 to 5 pm	<ul style="list-style-type: none"> <li>• High Priority Sites from auditor selections</li> <li>• Any active harvest areas (with equipment on-site) or recently closed harvest areas</li> <li>•</li> </ul>	
Daily Closing Briefing Time: 5 pm	<ul style="list-style-type: none"> <li>• Brief description of status of findings</li> <li>• New issues to discuss</li> <li>• Auditor requests for additional information</li> </ul>	30 minutes typically
Dinner in Chillicothe 7 pm	<ul style="list-style-type: none"> <li>• Audit Team and ODNR Personnel</li> </ul>	Auditors walk to local restaurant

**Shawnee State Forest**

**Auditors:** Mike Ferrucci, Anne Marie Kittredge (AMK)

**Ohio Division of Forestry Personnel (see site notes)**

<b>Task / Time</b>	<b>Details</b>	<b>Notes/ location</b>
Daily Opening Briefing 8 am	<ul style="list-style-type: none"> <li>• Introductions</li> <li>• Agenda Review</li> <li>• Audit Protocols</li> <li>• Overview of Forest being visited</li> </ul>	
Ferrucci: Field Sites 9 am to 4 pm	<ul style="list-style-type: none"> <li>• High Priority Sites from auditor selections</li> <li>• 1 or 2 harvest areas with equipment on-site</li> <li>• Special Sites: ecological, historic, recreation, etc.</li> <li>• Infrastructure/ Roads</li> <li>• Intensive Management</li> </ul>	
AMK: Field Sites Time: 9 am to 4 pm	<ul style="list-style-type: none"> <li>•</li> </ul>	
AMK: Stakeholder Meeting Time: 1 to 3 pm	<ul style="list-style-type: none"> <li>•</li> </ul>	
AMK Other Field Sites Time: TBD	<ul style="list-style-type: none"> <li>•</li> </ul>	

Daily Closing Briefing Time: 4 pm	<ul style="list-style-type: none"> <li>Brief description of status of findings</li> <li>New issues to discuss</li> <li>Auditor requests for additional information</li> </ul>	30 minutes typically
Dinner in Chillicothe 7 pm	<ul style="list-style-type: none"> <li>Audit Team and ODNR Personnel</li> </ul>	

**Wednesday October 28, 2015**

**Southern Forests:** Vinton Furnace, Richland Furnace

**Auditors:** Michelle Matteo, Mike Ferrucci, Anne Marie Kittredge

**Ohio Division of Forestry Personnel**

Task / Time	Details	Notes/ location
Daily Opening Briefing 8 am	<ul style="list-style-type: none"> <li>Introductions</li> <li>Agenda Review</li> <li>Audit Protocols</li> <li>Overview of Forests being visited</li> </ul>	Vinton Furnace State Forest
Vinton Furnace Forest Field Sites 9 am to noon	<ul style="list-style-type: none"> <li>High Priority Sites from auditor selections</li> <li>1 or 2 harvest areas with equipment on-site</li> <li>Special Sites: ecological, historic, recreation, etc.</li> <li>Infrastructure/ Roads</li> <li>Other</li> </ul>	Lunch at 11:30 am
Richland Furnace State Forest Field Sites 1 pm to 4 pm	<ul style="list-style-type: none"> <li>High Priority Sites from auditor selections</li> <li>1 or 2 harvest areas with equipment on-site</li> <li>Special Sites: ecological, historic, recreation, etc.</li> <li>Infrastructure/ Roads</li> <li>Other</li> </ul>	Richland Furnace State Forest
Daily Closing Briefing Time: 4:30 pm	<ul style="list-style-type: none"> <li>Brief description of status of findings</li> <li>New issues to discuss</li> <li>Auditor requests for additional information</li> </ul>	30 minutes typically
Dinner in Chillicothe 6 pm	<ul style="list-style-type: none"> <li>Audit Team and ODNR Personnel</li> </ul>	Smokehouse for dinner

**Thursday October 29, 2015**

Task / Time	Details	Notes/ location
follow-up and review outstanding issues Time: 8:30 to 10:30	<ul style="list-style-type: none"> <li>Auditors and Ohio Staff</li> </ul>	Chillicothe office
Audit team deliberations 10:30 am to 2 pm	<ul style="list-style-type: none"> <li>Audit Team only</li> <li>Ohio Central Staff available via email/phone</li> </ul>	Private room with internet and phone
Closing Meeting 2 pm to 3:30 pm	<ul style="list-style-type: none"> <li>Preliminary Findings</li> <li>Discussion as needed</li> <li>Follow-up Assignments</li> <li>Process to complete audits and issue certificates</li> </ul>	
Auditors driven to airport	<ul style="list-style-type: none"> <li>Auditors flights are on Friday</li> </ul>	Hampton Inn

## Appendix 2

# NSF International Forestry Program Ohio Division of Forestry Public Summary Audit Report

The SFI Program of Ohio Division of Forestry for the state forests throughout Ohio has demonstrated conformance with the SFI 2015-2019 Standard and Rules, Section 2 – Forest Management Standard, according to the NSF Certification 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. A surveillance audit against a sample of requirements occurred in 2014. This report describes the 2015 Re-Certification Audit which also included the relevant requirements of the 2010-2014 SFI Standard.

The Ohio Department of Natural Resources – Division of Forestry 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/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.”*

The 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 2015 audit was performed by NSF on October 26-29, 2015 by an audit team headed by Mike Ferrucci, Lead Auditor and supported by Anne Marie Kittredge and by Michelle Matteo. Audit team members fulfill the qualification criteria for conducting audits contained in SFI 2015-2019 Standards and Rules, Section 9 - Procedures and Auditor Qualifications and Accreditation.

The objective of the audit was to assess conformance of the organization’s SFI Program to the requirements of the SFI 2015-2019 Standard and Rules, Section 2 – Forest Management. The scope of the audit included forest management operations. Forest practices that were the focus of field inspections included those that have been under active management over the planning period of the past 2 years. Practices conducted earlier were also reviewed as appropriate (regeneration and Best Management Practices for example). SFI obligations to promote sustainable forestry practices, to seek legal compliance, and to incorporate continual improvement systems were also within the scope of the audit.

The SFI Standard was used without modifying any requirements. Several of the SFI Section 2 requirements were outside of the scope of Ohio Division of Forestry’s SFI program and were excluded from the scope of the SFI Re-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
- Objective 8 because there are no federally-recognized tribes in Ohio
- Indicator 10.1.2 because there is no research on genetically engineered trees via forest tree biotechnology

## Audit Process

NSF initiated the audit with a planning process to confirm the scope of the audit, review the SFI Indicators and evidence to be used to assess conformance, verify that Ohio Division of Forestry was prepared to proceed to the Re-Certification Audit, and to prepare a detailed audit plan. NSF then conducted the Certification Audit of conformance to SFI Section 2. A report was prepared and final approval was done by an independent Certification Board member assigned by NSF. Follow-up or Surveillance Audits are required by SFI, Section 9. The next Surveillance Audit is scheduled for the week of October 24, 2016.

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

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

The possible findings of the audit included Full Conformance, Major Non-conformance, Minor Non-conformance, Opportunities for Improvement, and Practices that exceeded the Basic Requirements of the standard.

## Overview of Audit Findings

Ohio Division of Forestry was found to be in overall conformance with the standard. NSF determined that there were 2 minor non-conformances:

SFI Indicator 3.1.1 requires a "Program to implement federal, state or provincial water quality best management practices during all phases of management activities."

On Richland Furnace State Forest at Audit Site 5, the All-Purpose Vehicle Trail between Points 2 and 3 has recently re-constructed waterbars that are directing road water and sediment towards a man-made pond. The trail had previously been deeply incised into the hillside, so large waterbars were re-constructed to drain the trail. Three of the waterbars directed water to the side of the road where the pond is located and some sediment from one of the waterbars has traveled through the filter strip and entered the pond.

SFI Indicator 2.2.8 requires "Use of management practices appropriate to the situation, for example: (portions deleted) Sub-Indicator h. appropriate transportation and storage of chemicals."

At Shawnee State Forest the pesticide storage shed had one unlabeled bottle with a defective cap.

Ohio Division of Forestry developed and implemented plans to address these issues. Issues addressed in the corrective action plans will be reviewed in subsequent surveillance audits.

Three opportunities for improvement were also identified, and included:

SFI Indicator 4.1.7 requires "Participation in programs and demonstration of activities as appropriate to limit the introduction, spread and impact of invasive exotic plants and animals that directly threaten or are likely to threaten native plant and animal communities." There is an Opportunity for Improvement in provisions used to limit the potential introduction of invasive plants by machinery.

SFI Indicator 4.4.1 requires "Collection of information on Forests with Exceptional Conservation Value and other biodiversity-related data through forest inventory processes, mapping or participation in external programs, such as NatureServe, state or provincial heritage programs, or other credible systems..."

There is an Opportunity for Improvement in the organization of and access to biodiversity-related data.

SFI Indicator 11.1.3 requires "Staff education and training sufficient to their roles and responsibilities."

There is an Opportunity for Improvement in training to recognize wetland indicator plants.

These findings do not indicate a current deficiency, but served to alert Ohio Division of Forestry to areas that could be strengthened or which could merit future attention. The organization has already begun to modify its SFI Program in response to the identified opportunities for improvement.

NSF also identified the following areas where forestry practices and operations of Ohio Division of Forestry exceed the basic requirements of the SFI Standard:

SFI Indicator 5.4.1 requires the organization to “Provide recreational opportunities for the public, where consistent with forest management objectives.”

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.

SFI Indicator 11.2.1 requires “Participation in or support of *SFI Implementation Committees* to establish criteria and identify delivery mechanisms for *wood producer* training courses and periodic continuing education.”

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.

SFI Indicator 12.2.1 requires “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.”

The Ohio Division of Forestry has an exceptional program for periodic educational opportunities promoting sustainable forestry.

## **General Description of Evidence of Conformity**

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

### **Objective 1 Forest Management Planning**

To ensure forest management plans include long-term sustainable harvest levels and measures to avoid forest conversion.

#### **Summary of Evidence:**

Forest management plans for these lands consists of many interlocked documents, with the most integral listed:

- a. The Ohio Land Management Manual
- b. The 2015 Strategic Plan for State Forests
- c. 5-year management plans covering all forests
- d. Forest-Specific Annual Work Plans, and
- e. Project plans or Harvest plans.

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

### **Objective 2 Forest Health and Productivity**

To ensure long-term forest productivity, carbon storage and conservation of forest resources through prompt reforestation, afforestation, minimized chemical use, soil conservation, and protecting forests from damaging agents.

#### **Summary of Evidence:**

Observations at 41 field sites 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 the water quality of rivers, streams, lakes, wetlands and other water bodies through meeting or exceeding best management practices.

#### ***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. Programs, procedures, and harvest inspection forms for the 12 harvest sites as well as observations of 11 road sections, trail sections, or combined road/trail sections contributed to a finding that water quality is protected.

### **Objective 4     Conservation of Biological Diversity**

To manage the quality and distribution of wildlife habitats and contribute to the conservation of biological diversity by developing and implementing stand- and landscape-level measures that promote a diversity of types of habitat and successional stages, and the conservation of forest plants and animals, including aquatic species, as well as threatened and endangered species, Forests with Exceptional Conservation Value, old-growth forests and ecologically important sites.

#### ***Summary of Evidence:***

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 12 recreation-oriented field sites that were extensively reviewed helped confirm an exemplary recreation program.

### **Objective 6     Protection of Special Sites**

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

#### ***Summary of Evidence:***

Field observations of completed operations, records of special sites, training records, and written protection plans were all assessed during the evaluation. The program has implemented a land management program that protects special sites while managing for a range of uses and natural resources.

### **Objective 7     Efficient Use of Fiber Resources**

To minimize waste and ensure the efficient use of fiber resources.

#### ***Summary of Evidence:***

Field observations of completed operations, contract clauses, and discussions with supervising field foresters and with loggers provided the key evidence supporting a finding of minimized waste and efficient use of harvested trees, consistent with the need to retain some wood for habitat and nutrient conservation.

**Objective 8 Recognize and Respect Indigenous Peoples' Rights**

To recognize and respect Indigenous Peoples' rights and traditional knowledge.

**Summary of Evidence:**

This objective does not apply because there are no federally-recognized tribes in Ohio

**Objective 9 Legal and Regulatory Compliance**

To comply with applicable federal, provincial, state and local laws and regulations.

**Summary of Evidence:**

Field reviews of ongoing and completed operations were the most critical evidence of an overall record of legal compliance. No evidence of regulatory problems was found.

**Objective 10 Forestry Research, Science and Technology**

To invest in forestry research, science and technology, upon which sustainable forest management decisions are based and broaden the awareness of climate change impacts on forests, wildlife and biological diversity.

**Summary of Evidence:**

The audit team visited 9 research or research and demonstration sites and interviewed key research partners. A sample of products of research support (publications) was also reviewed. This evidence showed that support for and use of scientific research is a notable strength of the program.

**Objective 11 Training and Education**

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

**Summary of Evidence:**

Training records of selected personnel, records associated with harvest sites audited, and stakeholder interviews were the key evidence for this objective. Training and education programs were found to be superb, with efforts to support logger training particularly noteworthy.

**Objective 12 Community Involvement and Landowner Outreach**

To broaden the practice of sustainable forestry through public outreach, education, and involvement, and to support the efforts of SFI Implementation Committees.

**Summary of Evidence:**

Stakeholder comments and interviews, mailing lists, agendas for meetings, and selected summaries of comments were sufficient to assess the requirements. The programs for public outreach, education, and involvement meet or exceed all requirements.

**Objective 13 Public Land Management Responsibilities**

To participate and implement sustainable forest management on public lands.

**Summary of Evidence:**

Auditors reviewed open house records and planning documents for selected Ohio State Forests. The Ohio Division of Forestry posts detailed information regarding planned practices on its web site.

#### **Objective 14 Communications and Public Reporting**

To increase transparency and to annually report progress on conformance with the SFI Forest Management Standard.

**Summary of Evidence:**

Interviews, copies of reports filed with SFI Inc. and the SFI Inc. website provided evidence of conformance.

#### **Objective 15. Management Review and Continual Improvement**

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

**Summary of Evidence:**

Records of program reviews, 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 areas, and to conform with forestry best management practices to protect water quality.

#### **4. Protection of Biological Diversity**

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

#### **5. Aesthetics and Recreation**

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

#### **6. Protection of Special Sites**

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

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

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

**8. Legal Compliance**

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

**9. Research**

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

**10. Training and Education**

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

**11. Community Involvement and Social Responsibility**

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

**12. Transparency**

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

**13. Continual Improvement**

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

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

*(Applies only to the SFI 2015-2019 Fiber Sourcing Standard)*

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

**Source:** Sustainable Forestry Initiative® (SFI) Standard, 2015–2019 Edition



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**Appendix 3 Audit Standard Checklist - SFI Forest Management Standard:**

**NSF International Forestry Program**

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

FRS# C0043580- Ohio Division of Forestry

Date of audits: October 26-30, 2015

**1.2 Additional Requirements**

*SFI Program Participants with fiber sourcing programs (acquisition of roundwood and field-manufactured or primary-mill residual chips, pulp and veneer to support a forest products facility), must also conform to the SFI 2015-2019 Fiber Sourcing Standard.*

Use of the SFI on-product labels and claims shall follow Section 5 - Rules for Use of SFI On-Product Labels and Off-Product Marks as well as ISO 14020:2000.

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

Audit Notes: Ohio DNR does not use on-product labels and claims. Use of the SFI logo on the web site (<http://forestry.ohiodnr.gov/forestmanagement>) is compliant with the SFI Section 5 Rules.

Auditor: MF

**Objective 1 Forest Management Planning**

To ensure forest management plans include *long-term* sustainable harvest levels and measures to avoid forest conversion.

**Performance Measure 1.1**

*Program Participants shall ensure that forest management plans include long-term harvest levels that are sustainable and consistent with appropriate growth-and-yield models.*

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

Audit Notes: Harvest levels are set at 40% of growth. See indicators below.

Auditor: MF

**1.1.1. Forest management planning at a level appropriate to the size and scale of the operation, including:**

- a. a *long-term* resources analysis;
- b. a periodic or ongoing *forest inventory*;
- c. a land classification system;
- d. biodiversity at *landscape* scales;
- e. soils inventory and maps, where available;
- f. access to *growth-and-yield modeling* capabilities;
- g. up-to-date maps or a geographic information system (GIS);
- h. recommended sustainable harvest levels for areas available for harvest; and
- i. a review of non-timber issues (e.g., recreation, tourism, pilot projects and economic incentive *programs* to promote water *protection*, carbon storage, *bioenergy feedstock* production, or *biological diversity conservation*, or to address climate-induced ecosystem change).

**Note:** Requirement is new or significantly revised. Transition rules apply until December 31, 2015.

N/A     Conformance     Exceeds     O.F.I.     Major NC     Minor NC     Transitional NC

Audit Notes: **Long-Term Resources Analyses; Biodiversity at Landscape Scales; Non-Timber Issues:**  
OFMP Five Year Forest Management Plan For State Forests, October 2015;

Forest Action Plan; Ohio's Statewide Forest Resource Assessment. 2010. <http://forestry.ohiodnr.gov/overview>  
 State Wildlife Action Plan (SWAP);  
 Annual Work Plans (unit specific, drafts released one month prior to open house, finalized later):  
     Eastern Forests Work Plan FY2016  
     Maumee Annual Work Plan FY2016  
     Mohican Annual Work Plan FY2016  
     Southern District Annual Work Plan 2016  
 RSA Assessment;  
 HCVF Assessment;  
 Ohio Land Management Manual  
 Ohio's Forests. 2011. Resource Bulletin NRS-90.

**Forest Inventory:** in place; see 1.1.3 and 1.1.4 below

**Land Classification System**

Each forest has a mapped zoning system guiding land management.

**Soils Inventory And Maps**

**Growth-and-Yield Modeling Capabilities; Recommended Harvest Levels** (see 1.1.3 below)

Definitions from Harvest Definitions and Guidelines for Sustainable Harvesting, 2012:

“Annual Growth: This estimate represents the total amount of bd. ft. growth that the entire State Forest system will have in a designated year.

The Division of Forestry has estimated the above figures based on Forest Inventory and Analysis (FIA) data and on a statistical inventory within the State Forest system conducted in 2009. Board foot volume, annual growth, and other statistics are maintained through ongoing statistical inventory of the forests. This inventory is calculated, entered, and processed through a scientific growth modeling database (Forest Vegetation Simulator, FVS) and is kept up to date to track and monitor harvest levels, annual growth, and total volume.”

**Geographic Information System (GIS)**

Reviewed in office

Auditor: MF

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

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

Audit Notes: Harvest Definitions and Guidelines for Sustainable Harvesting, 2012 specifies a limit of harvesting no more than 40% of growth. The five-year management plan documents growth and harvest levels by forest, which have been averaging about 25% of growth.

Harvest Levels by Year are found on page 21 in Five Year Forest Management Plan For State Forests, October 2015

Auditor: MF

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

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

Audit Notes: Growth determined from rolling inventory.

Harvests are limited to 40% of growth, but have averaged only 25% of growth over the past five-years.

Auditor: MF

1.1.4. Periodic updates of forest inventory and recalculation of planned harvests to account for changes in growth due to productivity increases or decreases, including but not limited to: improved data, long-term drought, fertilization, climate change, changes in forest land ownership and tenure, or forest health.

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

Audit Notes: 20-year cycle for re-inventory;  look at Annual Work Plans

Auditor: MF

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

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

Audit Notes: 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.

Harvest levels are not driven by expectations of responses to silvicultural treatments.

Auditor: MF

## Performance Measure 1.2

*Program Participants* shall not convert one *forest cover type* to another *forest cover type*, unless in justified circumstances.

**Note:** Requirement is new or significantly revised. Transition rules apply until December 31, 2015.

1.2.1. Program Participants shall not convert one *forest cover type* to another *forest cover type*, unless the conversion:

- a. Is in compliance with relevant national and regional *policy* and legislation related to land use and forest management; and
- b. Would not convert *native* forest types that are rare and ecologically significant at the *landscape* level or put any *native* forest types at risk of becoming rare; and
- c. Does not create significant long-term adverse impacts on Forests with Exceptional Conservation Value, old-growth forests, forests critical to threatened and endangered species, and special sites.

**Note:** Requirement is new or significantly revised. Transition rules apply until December 31, 2015.

N/A  Conformance  Exceeds  O.F.I.  Major NC  Minor NC  Transitional NC

Audit Notes: The forest management program does not convert native forest types to different types, but does attempt to restore more-natural composition in mixed stands, often a subtle shift in species composition. The plans and policies reviewed, and interviews of the silviculture specialist and field foresters show that the analyses done prior to attempting the composition shifts meet the intent of this requirement. Some non-native White pine or Red pine stands are being cut to convert to native forest types.

Auditor: MF

1.2.2. Where a *Program Participant* intends to convert another *forest cover type*, an assessment considers:

- a. *Productivity* and *stand* quality conditions and impacts which may include social and economic values;
- b. Specific ecosystem issues related to the site such as invasive species, insect or disease issues, riparian *protection* needs and others as appropriate to site including regeneration challenges; and
- c. Ecological impacts of the conversion including a review at the site and *landscape* scale as well as consideration for any appropriate mitigation measures.

**Note:** Requirement is new or significantly revised. Transition rules apply until December 31, 2015.

N/A  Conformance  Exceeds  O.F.I.  Major NC  Minor NC  Transitional NC

Audit Notes: All harvests are preceded by assessments which are documented in forms such as:

“Inventory Verification Report & Sale Proposal”,

“Environmental Assessment”, and

“Marking Report Transmittal”.

Conversions from non-native pine will trigger the completion of a new checklist “Pine Clear-cut – Conversion”.

Auditor: MF

**Performance Measure 1.3 “**

*Program Participants* shall not have within the scope of their certification to this *SFI Standard*, forest lands that have been converted to non-forest land use.

Indicator:

1.3.1. Forest lands converted to other land uses shall not be certified to this *SFI Standard*. This does not apply to forest lands used for forest and *wildlife* management such as *wildlife* food plots or infrastructure such as forest roads, log processing areas, trails etc.

**Note:** Requirement is new or significantly revised. Transition rules apply until December 31, 2015.

N/A     Conformance     Exceeds     O.F.I.     Major NC     Minor NC     Transitional NC

Audit Notes: There are no significant acres of lands being converted to other land uses not allowed under this indicator. There are some legacy gas lines and gas infrastructure which are considered to provide grassy or brushy habitat. It is understood that trees cut for small-scale pipeline clearing will not be sold as certified.

Auditor: MF

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## Objective 2 Forest Health and Productivity

To ensure *long-term forest productivity*, carbon storage and *conservation* of forest resources through prompt *reforestation*, *afforestation*, *minimized chemical use*, *soil conservation*, and protecting forests from damaging agents.

### Performance Measure 2.1

*Program Participants* shall promptly reforest after final harvest.

Indicators:

2.1.1. Documented *reforestation* plans, including designation of all harvest areas for either natural, planted or direct seeded regeneration and prompt *reforestation*, unless delayed for site-specific environmental or *forest health* considerations or legal requirements, through *planting* within two years or two *planting* seasons, or by planned *natural regeneration* methods within five years.

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

Audit Notes: 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).

Auditor: MF

2.1.2. Clear criteria to judge adequate regeneration and appropriate actions to correct understocked areas and achieve acceptable species composition and stocking rates for *planting*, *direct seeding* and *natural regeneration*.

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

Audit Notes: SILVAH-Oak is used for decision support.

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.

Auditor: MF

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

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

Audit Notes: No exotic tree species are planted.

Auditor: MF

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

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

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

Auditor: MF

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

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

Audit Notes: There are no non-forested landscapes

Auditor: MF

### Performance Measure 2.2

*Program Participants* shall *minimize* chemical use required to achieve management *objectives* while protecting employees, neighbors, the public and the environment, including *wildlife* and *aquatic habitats*.

Indicators:

2.2.1. *Minimized chemical use required to achieve management objectives.*

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

Audit Notes: Ohio Division of Forestry uses forest chemicals sparingly, and generally only to control invasive plants or to control weeds near facilities.

226 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	Reason for use
Glyphosate	Glyphosate	10 gallons	44 acres	Herbaceous Weed Control
Garlon	Triclopyr	60 gallons	182 acres	Brush control and ROW maintenance

Auditor:

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

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

Audit Notes: Review of records of chemical applications in 2014 for the entire Ohio State Forest System showed that chemicals are generally used to control invasive species and/or hardwood brush. The highest volume chemical is Triclopyr, used for brush control and ROW management when hard-to-kill hardwoods are the target. It is classified as selective with low mammalian toxicity. Most of this use is done by utility companies maintaining their ROWs.

The second highest volume chemical is Glyphosate, a chemical with low mammalian toxicity and a very short life in the environment. This use is controlled by the Ohio Division of Forestry.

Auditor: MF

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

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

Audit Notes: ODNr Division of Forestry Record of Pesticide Application for 5.06.15 treatment at Pike; spot treatment of Glyphosate to control grasses/forbs on parking pad and around buildings.

“Land Management Manual, Chapter 9, Pre-commercial Activities, B. Pesticide Use” lists the approved pesticides for use on State Forest:

- Triclopyr
- Glyphosate
- Metsulfuron methyl
- Imazapyr
- Tank mixes of the above, according to label instructions.

Auditor: MF

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

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

Audit Notes: “Land Management Manual, Chapter 9, Pre-commercial Activities, B. Pesticide Use” states that

*“The Division of Forestry’s pesticide management direction is in agreement with FSC’s statement: “Management systems shall promote the development and the adoption of environmentally friendly non-chemical methods of pest management and strive to avoid the use of chemical pesticides. World Health Organization Type 1A and 1B and chlorinated hydrocarbon pesticides; pesticides that are persistent, toxic, or whose derivatives remain biologically active and accumulate in the food chain beyond their intended use; as well as any pesticides banned by international agreement, shall be prohibited. If chemicals are used, proper equipment and training shall be*

*provided to minimize health and environmental risks.”*

The manual also lists the approved chemicals, none of which are on the prohibited list.

Auditor: MF

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

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

Audit Notes: “Land Management Manual, Chapter 9, Pre-commercial Activities, B. Pesticide Use” lists the approved chemicals, none of which are on the prohibited list.

Auditor: MF

2.2.6. Use of *integrated pest management* where feasible.

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

Audit Notes: Integrated pest management is specified in Chapter 9 of the LM manual.

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.

Stocking control is a key aspect of forest health and IPM. Forests observed were generally well-stocked to only slightly over-stocked.

Foresters and managers are aware of acute (outbreak) forest health issues, with specialists available to provide advice. Outbreaks are tracked.

Chemicals are applied based on site-specific prescriptions. Treatments are devised to minimize chemicals used.

Auditor: MF

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

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

Audit Notes: Two levels of training:

1. Ohio Department of Agriculture (ODA) License;  
example Tom Shuman Ohio Department of Agriculture ID#106543 Commercial Applicator (4A,5, CORE)
2. ODA “Safety Training Guide for Trained Servicepersons”

For the second level a licensed applicator must be responsible and be within one-hour’s drive.

Auditor: MF

2.2.8. Use of management practices appropriate to the situation, for example:

- a. notification of adjoining landowners or nearby residents concerning applications and chemicals used;
- b. appropriate multilingual signs or oral warnings;
- c. control of public road access during and immediately after applications;
- d. designation of streamside and other needed buffer strips;
- e. use of positive shutoff and minimal-drift spray valves;
- f. aerial application of forest chemicals parallel to buffer zones to *minimize* drift;
- g. monitoring of water quality or safeguards to ensure proper equipment use and *protection* of streams, lakes and other water bodies;
- h. appropriate transportation and storage of chemicals;
- i. filing of required state or provincial reports; and/or
- j. use of methods to ensure *protection of threatened and endangered* species.

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

Audit Notes: Land management units each have separate pesticide storage with PPE and spill containment.

**Minor Non-conformance: At the Shawnee State Forest the pesticide storage shed had one unlabeled bottle with a defective cap.**

Interviewed Tom Shuman, Southern District Fire Program Administrator, who described the routine use of most of the above list of chemical BMPs. The emphasis starts with label specifications and the use of PPEs. Moving towards use of pre-mixed formulations.

Management practices appropriate to the situation and consistent with ODA guidelines are either included in the LM manual or in the project proposals. Chemical application projects are planned to include environmental considerations reviewed by specialists, recorded on maps, with records and reports filed as required.

Ohio Division of Forestry employees and crew members receive training and PPE for chemical use.

Auditor: MF

**Performance Measure 2.3**

*Program Participants* shall implement forest management practices to protect and maintain forest and soil *productivity*.

Indicators:

2.3.1. Process to identify soils vulnerable to compaction, and use of appropriate methods, including the use of soil maps where available, to avoid excessive soil disturbance.

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

Audit Notes: Ohio Division of Forestry has a wet weather policy which is included in timber sale agreements and in the timber sale prospectus for each harvest.

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.

Foresters and managers are familiar with soils and factor these into harvesting decisions.

Auditor: MF

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

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

Audit Notes: Field observations confirmed very good installation of BMP practices that were highly effective in all other cases. Examples included proper skid road layout with respect to slopes and sensitive portions of sites, effective use of brush, and waterbars.

One road/trail-related BMP issue is described under SFI Indicator 3.1.1

Auditor: MF, MM, AMK

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

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

Audit Notes: Confirmed by field observations of completed units that sites had limited rutting, retained down woody debris, minimized skid trails, and effective use of Waterbars and logging slash in skid trails.

Auditor: MF

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

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

Audit Notes: Timber Marking on Ohio State Forests 122713 has a section "Silvicultural Prescriptions for Timber Sales on Ohio State Forests" which specifies removing low vigor trees and retaining vigorous trees in these harvesting types: •Shelterwood; •Selection; •Even-aged Thinning. In Deferral harvests retained trees are selected for wildlife

habitat reasons and are not left for future growth.

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 quite 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.

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.

Auditor: MF

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

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

Audit Notes: Wet Weather Policy is required in each timber sale contract. Agreement Number 1513, clause 2a specifying that wet-weather harvesting guidelines must be followed.

Auditor: MF

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

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

Audit Notes: Agreement Number 1513, Clause 6 specifies the use of "BMP's for Erosion Control for Logging Practices in Ohio" and the use of designated skid trails.

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.

Auditor: MF

**Performance Measure 2.4**

*Program Participants* shall manage so as to protect forests from damaging agents, such as environmentally or economically undesirable wildfire, pests, diseases and *invasive exotic plants and animals*, to maintain and improve *long-term forest health, productivity and economic viability*.

Indicators:

2.4.1. *Program* to protect forests from damaging agents.

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

Audit Notes: The forest health program conducts an annual aerial pest survey using fixed-wing plans that cover entire state. Trained foresters conduct informal assessments and formal prescription cruises, during which time they assess forest health and modify management as needed.

"Forest Health Pests and Pathogens in Ohio Forests: A Field Identification Guide" is widely used by foresters. Tom Macy, Forest Health Program & Special Projects Administrator, Ohio Department of Natural Resources Division of Forestry sends periodic email updates. There is an annual forest pest training meeting.

Traps on state forests for EAB, Walnut twig beetle, gypsy moth, pine shoot beetle, etc.

FSC: Applying for a derogation for use of Imidacloprid, a FSC-prohibited chemical, used to treat Hemlock trees infested with HWA.

Auditor: MF

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

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

Audit Notes: Confirmed by field observations that most 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.

Many stands on the Shawnee State Forest contain maturing trees that have been impacted by periods of drought and periods with excessive rain, by ice storms, by forest insects and diseases, and in some areas by wildfire. These stands appear to be approaching the end of their natural life spans. Regeneration treatments have been implemented on portions of this forest, and more acres need this treatment. Foresters must balance the need for these generally heavier harvests with concerns about the impacts to recreational users or to wildlife. Because the public's acceptance and understanding of regeneration treatments is limited and forest managers are attempting to balance competing needs it can be expected that older stands will continue to "unravel".

Auditor: MF

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

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

Audit Notes: Ohio Division of Forestry works in partnership with the U.S. Forest Service to monitor forest conditions and trends and respond to forest pest outbreaks. Monitoring includes ALB, EAB, HWA, Gypsy Moth, Walnut Twig Beetle, and others.

All employees are trained as Wildland Fire Fighters.

Volunteer Fire Department Assistance: direct support, pass-through federal grants and surplus properties

Prescribed Fire: pre-burn assessment, burn plan, monitoring; applied to some oak and for habitat mgmt.

Auditor: MF

**Performance Measure 2.5**

Program Participants that deploy improved planting stock, including varietal seedlings, shall use best scientific methods.

Indicator:

2.5.1. *Program* for appropriate research, testing, evaluation and deployment of *improved planting stock*, including *varietal seedlings*.

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

Audit Notes: DOF does not have any operational planting programs. Planting projects are incidental or for demonstration purposes. Chestnut as part of the chestnut foundation's tree project.

A carbon planting project is being planned for spring 2016. Species will include Chinquapin oak, Black oak, Shumard oak, and other native hardwood species. The seed source is wild-collected seed from nearby states.

Auditor: MF

### Objective 3 Protection and Maintenance of Water Resources

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

#### Performance Measure 3.1

*Program Participants* shall meet or exceed all applicable federal, provincial, state and local water quality laws, and meet or exceed *best management practices* developed under Canadian or U.S. Environmental Protection Agency–approved water quality *programs*.

Indicators:

3.1.1. *Program* to implement federal, state or provincial water quality *best management practices* during all phases of management activities.

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

Audit Notes: **Minor Non-conformance: On Richland Furnace State Forest at Audit Site 5 the APV Trail between Points 2 and 3 has Waterbars that are directing road water and sediment towards a pond.** The trail had been deeply incised into the hillside, so large Waterbars were constructed to drain the trail. Three of the Waterbars directed water to the side of the road where there is a man-made pond, and some sediment from one of the Waterbars has traveled through the filter strip and entered the pond. The site is shaped such that one or more Waterbars could have been constructed to direct water to the side of the road away from the pond.

The overall program for implementing BMPs is very strong. The use of professional foresters to plan and oversee harvests, timber sale contracts with provisions to follow BMPs, pre-harvest meetings between foresters and logging contractors, sale supervision with regular written inspections, post-harvest inspections with follow-up actions as needed, and periodic second-party BMP audits comprise the program.

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.

Auditor: MF, MM, AMK

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

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

Audit Notes: Agreement Number 1513, Clause 6 specifies the use of “BMP’s for Erosion Control for Logging Practices in Ohio” and the use of designated skid trails. This clause was found in all documents reviewed, including the following agreements: Shawnee State Forest: 1121, 1224, 1310, 1325, 1403, 1410, 1417, 1419, 1505, 1508, 1511, 1512 and 1513; Vinton Furnace State Experimental Forest: Compartment A-2 harvest; Richland Furnace State Forest: 1412.

Auditor: MF

3.1.3. Monitoring of overall *best management practices* implementation.

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

Audit Notes: Funding is in place for a statewide assessment of BMPs.

All harvest areas are regularly inspected and foresters assess harvests and fill out “Ohio Division of Forestry Cutting & Logging Inspection Sheets” most times 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.

Road systems are monitored and records kept of maintenance needs (culvert and bridge inventory).

Auditor: MF, AMK, MM

#### Performance Measure 3.2

*Program Participants* shall implement water, *wetland* and *riparian protection* measures based on soil type, terrain, vegetation, ecological function, harvesting system, state *best management practices (BMPs)*, provincial guidelines and other applicable factors.

Indicators:

3.2.1. Program addressing management and *protection* of rivers, streams, lakes, *wetlands*, other water bodies and *riparian areas* during all phases of management, including the layout and construction of roads and *skid trails* to maintain water reach, flow and quality.

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

Audit Notes: 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.

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 and in the document “Timber Marking on Ohio State Forests 122713”.

The Policy Variance for Beaver Creek project describes a project on HCVF (reserved) lands that includes a component for water-quality improvement on formerly reclaimed lands.

Auditor: MF

3.2.2. Mapping of rivers, streams, lakes, *wetlands* and other water bodies as specified in state or provincial *best management practices* and, where appropriate, identification on the ground.

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

Audit Notes: GIS demonstration included wetland/watercourse information, which is based on the “blue line streams” on the topographic map layer.

Tract maps associated with timber sale planning and administration showed watercourses and buffer areas, generally by means of cutting unit boundaries which are set up away from watercourses and significant ravines.

Ephemeral streams are assessed and if they have characteristics of intermittent streams they are treated as such. LM Manual Chapter 4 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 OR streams with an average of 4 feet or greater width and a rocky substrate.

Auditor: MF, MM

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

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

Audit Notes: Confirmed by field observations that the program for the protection of wetlands and watercourses is being implemented and is effective.

Auditor: MF, AMK, MM

3.2.4. Plans that address wet-weather events in order to maintain water quality (e.g., *forest inventory* systems, wet-weather tracts, definitions of acceptable operating conditions).

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

Audit Notes: 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.

Wet Weather Logging Guidelines are found in Chapter 8 of the Ohio State Forest Land Management Manual.

Several sites reviewed during audits had documentation of harvests being suspended due to wet weather, with contractors not working on the first (rainy) field day of the audit.

Auditor: MF

## Objective 4 Conservation of Biological Diversity

To manage the quality and distribution of *wildlife habitats* and contribute to the *conservation of biological diversity* by developing and implementing *stand-* and *landscape-level* measures that promote a diversity of types of *habitat* and successional stages, and the *conservation* of forest plants and animals, including *aquatic species, as well as threatened and endangered species, Forests with Exceptional Conservation Value, old-growth forests* and ecologically important sites.

### Performance Measure 4.1

Program Participants shall conserve biological diversity.

Indicators:

4.1.1. Program to incorporate the *conservation of native biological diversity*, including species, *wildlife habitats* and ecological community types at *stand* and *landscape* levels.

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

Audit Notes: 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. Collaboration with the Division of Wildlife was confirmed through interviews.

The Ohio Department Of Natural Resources - Ohio Bat Management Strategy, is provided to foresters and incorporated into management. The Conservation Plans for Timber Rattlesnake, Karner Blue and American Burying Beetle have also been incorporated into the management planning process.

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 where selection silviculture is zoned.

Auditor: AMK, MF

4.1.2. Development of criteria and implementation of practices, as guided by regionally based *best scientific information*, to retain *stand-level wildlife habitat* elements such as snags, stumps, mast trees, down woody debris, den trees and nest trees.

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

Audit Notes: 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” under “Retention Guidelines”.

#### “Retention Tree Characteristics

- Legacy trees (loosely defined as trees present during original settlement);
- Trees that meet characteristics defined by the ODNR – Ohio Bat Management Strategy (**shagbark and shellbark hickory**);
- Trees that have or could provide wildlife dens or cavities;
- Large snags if they do not pose a safety hazard to the logger. (Snags do not count towards the 20 basal area target, but should be left for wildlife values);
- If few snags exist in the stand, then low value or cull trees in poor health can be selected for future snag recruitment;
- Boundary trees and SMZ trees.”

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, with some harvest areas having both types of retention. Active dens and nest trees are not intentionally selected for harvest, although some are likely inadvertently included in harvests.

The Ohio Division of Forestry has responded to the 2014 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. Ohio Division of Forestry response: "During a forester refresher training in 2015, we reviewed the retention guidelines and this particular finding and highlighted the need to consider large hollow trees as candidate retention trees." On October 1 a meeting was held at Hocking State Forest for the entire forestry staff during which the issue was discussed in detail.

Auditor: AMK, MF

4.1.3. Document diversity of *forest cover types* and age or size classes at the individual ownership or forest tenure level, and where credible data are available, at the *landscape* scale. Working individually or collaboratively to support diversity of *native forest cover types* and age or size classes that enhance *biological diversity* at the *landscape* scale.

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

Audit Notes: RSA analysis includes potential cover types on state forests and compared these to current cover types. The analysis determined that all cover types present or potentially present on state forest lands on other protected lands.

Five Year Forest Management Plan For State Forests, October 2015:

- 76% of forested stands are in the sawtimber or large sawtimber size class.
- Fewer than 10% of forested acres are under 20 years old; 90% of state forest acres are between 20 and 80 years old.

The program to complete the FSC-HCVF analysis at the ownership level resulted in documentation of zoned areas and demonstrates a key effort in the identification of the following resources: 5,130 acres (HCV 1) containing globally, regionally or nationally significant concentrations of biodiversity values and 2,809 acres (HCV 2) containing globally, regionally or nationally significant large landscape level forests where viable populations of most if not all naturally occurring species exist in natural patterns of distribution and abundance.

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.

The Five Year Forest Management Plan For State Forests, October 2015 includes:

"3. Maintain and promote habitat for a diversity of forest-associated wildlife by:

- Managing for a diversity of forest wildlife by maintaining a sustainable distribution of successional stages
- Increasing the area of early-successional forest habitat (age class < 20 years old in zone 3)
- Maintaining High Conservation Value Forests that contain old forests.
- Ensuring that critical habitat requirements for rare forest wildlife species are being met."

Auditor: MF

4.1.4. *Program Participants* shall participate in or incorporate the results of state, provincial, or regional *conservation* planning and priority-setting efforts to conserve biological diversity and consider these efforts in forest management planning. Examples of credible priority-setting efforts include state *wildlife* action plans, state forest action plans, relevant *habitat conservation* plans or provincial *wildlife* recovery plans.

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

Audit Notes: The Five Year Forest Management Plan for State Forests, October 2015 provides clear and compelling links between such plans (listed below) with the strategy and management objectives contained in the five-year state forest plan.

The following broad plans are used: Ohio Forest Action Plan; Ohio Wildlife Action Plan; TNC priorities; Ohio Bird Conservation Initiative; and Wildlife Management Institute’s work on

Auditor: MF

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

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

Audit Notes: As confirmed through interviews, document review, database review and field observations, Ohio Division of Forestry’s proposed harvest plan areas are compared to existing databases of RTE occurrences. Proposed harvest plans that overlap with RTE occurrence are reviewed by Division of Wildlife biologists and mitigation measures are implemented.

Conservation Plans for Timber Rattlesnakes, Karner Blue, American Burying Beetle and Indiana Bat have been incorporated into the management planning process.

Cerulean warbler (RTE) habitat requirements have been incorporated into the management planning process. Confirmed through observation at SSF 1514 that foresters intentionally retain individual white oaks with grape vine to provide habitat as described in this species habitat conservation guidelines.

The program to complete the FSC-HCVF analysis resulted in zoned areas for RTE species (HCV 1 and HCV 3) and demonstrates a key effort in this organization’s program to protect known sites that contain species of concern. For example this program has resulted in the protection of the following resources: 5,130 acres (HCV 1) containing globally, regionally or nationally significant concentrations of biodiversity values (e.g. endangered species) and 6,639 acres that are in or contain rare, threatened or endangered ecosystems.

Field reviews by Ohio Division of Wildlife biologists are conducted for each proposed timber sale that is located in proximity to documented Timber Rattlesnake habitat in an effort to design effective mitigation measures. Ohio Division of Forestry’s Representative Sample Area Assessment 2010 resulted in the organization’s identification and protection of the following natural communities State Forests.

Ohio DNR – Division of Forestry “on-FMU” Representative Sample Area’s

Name	Gap Status	RSA purpose	Acreage
The Shawnee Wilderness Area	1	1, 2, 3	8,354
Sheik Hollow Nature Preserve	1	1, 2, 3	169
Little Rocky Hollow Nature Preserve	1	1, 2, 3	282
Chapin Forest Reservation	1	1, 2, 3	369

Auditor: MF, AMK

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

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

Audit 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, natural vernal pools are not common (but may be more common than understood) except at Maumee State Forest, but are covered in the standing water-body policy which is in the LM

Manual in Chapter 4. Foresters do not report seeing natural vernal pools.

Auditor: AMK, MF

4.1.7. Participation in *programs* and demonstration of activities as appropriate to limit the introduction, spread and impact of *invasive exotic plants and animals* that directly threaten or are likely to threaten *native* plant and animal communities.

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

Audit Notes: There is an Opportunity for Improvement in provisions used to limit the potential introduction of invasive plants by machinery.

Ohio Division of Forestry prescribes specific seed mixes for greening up skid trails and loading areas.

Documentation for two invasive treatments (PCT) at Pike State Forest were provided as examples: Completed APV: 55-acre project for invasive control of *Ailanthus* and *Paulownia* using Garlon (Triclopyr); Proposed, Bell Hollow.

“The Ohio DNR Division of Forestry has partnered with researchers from the U.S. Forest Service Northern Research Station to examine the efficacy of *Verticillium nonalfalfae*, a soil-borne fungus, as a potential biocontrol for *Ailanthus*. The Division of Forestry also promotes invasive plant control by working with Ohio’s only Cooperative Weed Management Area, the Appalachian Ohio Weed Control Partnership, and on private land through its Service Forestry Program and other outreach events.” Source: Forest health highlights. February 2015. USDA and ODOF.

Pesticide use table and interviews demonstrate continued efforts to control invasive species.

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.

Private lands invasive species assistance – Ohio Division of Forestry 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.

2013: The Ohio Woodland Job Corps focused on control of non-native invasive plants, but this program has ended. Foresters continue to implement some invasive-control treatments of non-native invasive plants, but the overall level of effort has declined.

2015: Joint Chief’s Oak Management in Ohio’s Appalachian Forests- Narrative was reviewed. This newly funded project is designed to treat 1500 acres of non-native invasive plants, mostly on state and some on private forest land; includes hiring 2 project foresters and outreach to private landowners.

Auditor: AMK, MF, MM

4.1.8. Consider the role of natural disturbances, including the use of prescribed or natural fire where appropriate, and *forest health* threats in relation to *biological diversity* when developing forest management plans.

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

Audit Notes: Five Year Forest Management Plan for State Forests, October 2015 and the underlying 5-year plans and AWP are based on knowledge of natural disturbances and the impacts of these. The most common forest types are strongly fire-influenced. Fire-exclusion policies of the 20<sup>th</sup> century have had impacts, described as “mesification” meaning the increasing amount of mesic hardwood species such as maple and beech in the understory and mid-canopy layers. The program emphasizes management for oak and other fire-adapted species to the extent possible.

Auditor: MF, AMK

## Performance Measure 4.2

Program Participants shall protect threatened and endangered species, Forests with Exceptional Conservation Values (FECV) and old-growth forests.

Indicators:

4.2.1. Program to protect threatened and endangered species.

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

Audit Notes: As specified in the Ohio State Forest Land Management Manual (Chapter 4), the division has implemented 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 program steps are also described within individual management plans.

Each Timber Sale Agreement includes a clause (9q) that allows the Division of Forestry to halt cutting even after the trees are sold if a Threatened or Endangered species is documented at a later date.

Potential harvest sites are compared to one of the databases of RTE species and for example potential harvest sites that overlap documented Timber Rattlesnake occurrence are reviewed by a Division of Wildlife biologist and mitigation measures are implemented. Confirmed through document review and observation (Shawnee State Forest Contract Number 1512) that the Ohio Division of Forestry's implemented required mitigation practice of keeping machines out of the habitat. Implemented measures were more conservative than Ohio Division of Wildlife's advice (limit machine travel to no more than 3 passes). The harvest of some trees was permitted. This site included a steep, south/west-facing slope (a typical habitat feature) with no apparent ledge or large rocks. Deep and rock-free soils were apparent at road cuts.

The Ohio Department Of Natural Resources - Indiana Bat Management Strategy is provided to foresters and incorporated into management. Confirmed through observation of a timber sale contract on Tar Hollow State Forest that the Ohio Division of Forestry altered the layout of a previously contracted timber sale in an effort to protect a state-listed plant and a small section of potential habitat for Timber Rattlesnake.

Foresters are aware of the Ohio's T&E species list and some have developed skills in identifying T&E plants. Ohio Division of Wildlife conducted trainings for field foresters in previous years.

Auditor: MF

4.2.2. *Program* to locate and protect known sites flora and fauna associated with viable occurrences of *critically imperiled* and *imperiled* species and communities also known as *Forests with Exceptional Conservation Value*. Plans for *protection* may be developed independently or collaboratively, and may include *Program Participant* management, cooperation with other stakeholders, or use of easements, *conservation* land sales, exchanges, or other *conservation* strategies.

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

Audit Notes: Ohio Division of Forestry uses Ohio Biodiversity database during pre-assessment stage of ground disturbance projects to identify and protect known sites.

The zoning process used in the development of State Forest Management Plans provides protection for special areas that may or do include communities with exceptional conservation value.

As described elsewhere in this report, the audit team confirmed through observation and document review that a timber sale (not yet harvested) has been modified (reduced areas for harvest) as a result of advice from biologists from the Division of Wildlife and specialists in an effort to protect habitat for Timber Rattlesnake.

Auditor: AMK, MF

4.2.3. Support of and participation in plans or *programs* for the *conservation* of *old-growth forests* in the region of ownership or forest tenure.

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

Audit Notes: There is little old growth in this region, most on federal lands. There is no old growth on state forest lands.

Some state lands have been reserved from harvest and will develop old growth.

Auditor: MF

### Performance Measure 4.3

*Program Participants* shall manage ecologically important sites in a manner that takes into account their unique qualities.

Indicators:

4.3.1. Use of information such as existing natural heritage data or expert advice in identifying or selecting ecologically important sites for *protection*.

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

Audit Notes: 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 Jared Craig (sweet goldenrod, dwarf iris).

Any “hits” (overlap of ecologically important sites with potential harvest plans) are reviewed on-site by specialists as needed and always include implementation of advice from specialists.

Auditor:    AMK, MF

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

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

Audit Notes: 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 Shawnee State Forest where the Ohio Division of Forestry altered the layout of a timber sale during planning to protect a small section of potential habitat for the Timber Rattlesnake.

Management plans 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 protection zones.

Auditor:    AMK, MM, MF

#### **Performance Measure 4.4**

*Program Participants* shall apply knowledge gained through research, science, technology and field experience to manage *wildlife habitat* and contribute to the *conservation of biological diversity*.

Indicators:

4.4.1. Collection of information on *Forests with Exceptional Conservation Value* and other *biodiversity*-related data through *forest inventory* processes, mapping or participation in external *programs*, such as NatureServe, state or provincial heritage *programs*, or other credible systems. Such participation may include providing non-proprietary scientific information, time and assistance by staff, or in-kind or direct financial support.

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

Audit Notes: There is an Opportunity for Improvement in the organization of and access to biodiversity-related data.

The Ohio Natural Heritage Database and involvement with the Division of Wildlife are the key aspects of the program. DOF uses Ohio Biodiversity database during pre-assessment stage of ground disturbance projects to identify and protect known sites. This was confirmed by reviewing the documentation for each timber sale area viewed during the audit and through interviews. Sales prepared more than four years ago have the information on the “Marking Consideration” form or on the “Stand Inventory Verification and Silvicultural Recommendation” form in the box “Special Sites observed?” with more recent sales having a box for “Biodiversity DB Issues?”

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.

Auditor:    AMK, MF, MM

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

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

Audit Notes: The Ohio Research Advisory Committee was formed to review and approve research projects at the Vinton Furnace Experimental Station. The members comprise an interagency, multi-disciplinary panel. There are subcommittees for "Research and Monitoring" and for "Demonstration".

Collaborative projects with the U.S. Forest Service, Northern Research Station, Delaware Lab...

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.

Ohio Division of Forestry receives regular input from the Ohio Division of Wildlife on the program. There are several forms of consultation, but most are 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. A review of the FY15 proposals occurred but a follow-up letter was not provided because the reviewer has changed jobs.

According to Sue Howard, Acting Chief, Division of Wildlife there is considerable interaction between Division of Wildlife biologists and foresters regarding many aspects of the forest management program.

Wildlife Management Institute's "Young Forest Initiative" includes materials, training provided to Ohio Division of Forestry. The organization has provided funding for equipment and supplies.

Auditor: MF, AMK

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## Objective 5 **Management of Visual Quality and Recreational Benefits**

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

### Performance Measure 5.1

*Program Participants* shall manage the impact of harvesting on *visual quality*.

Indicators:

5.1.1. Program to address visual quality management.

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

Audit Notes: Ohio Division of Forestry incorporates guidelines from NRAES and others into a written protocol and training for foresters on logging aesthetics.

Chapter 6 of Land Management Manual provides guidance, including section H. Forest Aesthetics Reference Library.

Auditor: MF

5.1.2. Incorporation of aesthetic considerations in harvesting, road, landing design and management, and other management activities where visual impacts are a concern.

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

Audit Notes: Aesthetic considerations are made in the pre-activity assessment and inspections are used to monitor effectiveness. Specific guidelines are discussed in the LM manual and in the NRAES publication.

Chapter 6 of Land Management Manual covers Forest Aesthetics and provides guidance focused at the harvest level. Marking Estimates for harvests specify needed practices including visual buffers.

Auditor: MF

### Performance Measure 5.2

*Program Participants* shall manage the size, shape and placement of clear-cut harvests.

Indicators:

5.2.1. Average size of clear-cut harvest areas does not exceed 120 acres (50 hectares), except when necessary to meet regulatory requirements, achieve ecological *objectives* or to respond to *forest health* emergencies or other natural catastrophes.

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

Audit Notes: Clear-cuts with no retention are 10 acres or less, except for pine conversions. Clear-cuts with retention or deferment harvests are similar to clear-cuts but have 20 BA of green tree retention. Deferment harvests can be larger and always include retention.

Auditor: MF

5.2.2. Documentation through internal records of clear-cut size and the process for calculating average size.

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

Audit Notes: Individual cutting sections (units) and sales are tracked in DOF's GIS. Ohio Division of Forestry determines that the average size of clear-cut cutting sections is approximately 13 acres.

Auditor: MF

### Performance Measure 5.3

*Program Participants* shall adopt a *green-up requirement* or alternative methods that provide for *visual quality*.

Indicators:

5.3.1. Program implementing the *green-up requirement* or alternative methods.

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

Audit Notes: The implementation of the green-up and adjacency requirement in the LM manual is documented in each harvest plan. Harvests are documented in the GIS. The Southern District Land Management Administrator uses this information to ensure that harvests are not placed adjacent to recent harvests.

Auditor: MF

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

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

Audit Notes: The implementation of the green-up and adjacency requirement in the LM manual is documented in each harvest plan. Harvests are documented in the GIS. The Southern District Land Management Administrator uses this information to ensure that harvests are not placed adjacent to recent harvests.

Auditor: MF

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*.

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

Audit Notes: All clear-cut harvest areas observed during the audit, including numerous patch openings, were buffered by uncut or lightly-cut areas.

Auditor: MF

#### Performance Measure 5.4

*Program Participants* shall support and promote recreational opportunities for the public.

Indicator:

5.4.1. Provide recreational opportunities for the public, where consistent with forest management *objectives*.

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

Audit Notes: 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.

Five Year Forest Management Plan for State Forests, October 2015: "All state forests managed by the Division of Forestry are open to public recreation and the Division maintains a Recreation program to administer those recreational uses of the forest."

Auditor: MF

**Objective 6    Protection of Special Sites**

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

**Performance Measure 6.1**

*Program Participants* shall identify *special sites* and manage them in a manner appropriate for their unique features.

Indicators:

6.1.1. Use of information such as existing natural heritage data, expert advice or stakeholder consultation in identifying or selecting *special sites* for *protection*.

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

Audit Notes: Training PowerPoint: Archeological Resource Laws. ODNR

Five Year Forest Management Plan For State Forests, October 2015: "There are no federal- or state-recognized Native American tribes in Ohio. However, known Native American cultural sites, such as earthen mounds, are mapped and protected from site disturbance activities and from desecration by the public. The Ohio Historical Preservation Office provides important data and consultation to the Division of Forestry regarding the protection of historical and cultural sites.

The remains of building foundations and old cemeteries can also be found in many areas across state forests. Cemeteries and historic structures are mapped and protected from site disturbance activities."

Auditor: MF

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

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

Audit Notes: Five Year Forest Management Plan for State Forests, October 2015:

"... known Native American cultural sites, such as earthen mounds, are mapped and protected from site disturbance activities and from desecration by the public. The Ohio Historical Preservation Office provides important data and consultation to the Division of Forestry regarding the protection of historical and cultural sites.

The remains of building foundations and old cemeteries can also be found in many areas across state forests. Cemeteries and historic structures are mapped and protected from site disturbance activities."

Confirmed conformance by interviews, review of documents associated with harvest sites visited, and by viewing the organization's GIS.

See OFI for SFI Indicator 4.4.1.

Auditor: MF

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## Objective 7 Efficient Use of Fiber Resources

To *minimize* waste and ensure the efficient use of fiber resources.

### Performance Measure 7.1

*Program Participants* shall employ appropriate forest harvesting technology and in-woods manufacturing processes and practices to *minimize* waste and ensure efficient utilization of harvested trees, where consistent with other *SFI Standard objectives*.

Indicator:

7.1.1. *Program* or monitoring system to ensure efficient utilization, which may include provisions to ensure:

- a. management of harvest residue (e.g., slash, limbs, tops) considers economic, social and environmental factors (e.g., organic and nutrient value to future forests and the potential of increased fuels build-up) and other utilization needs;
- b. training or incentives to encourage loggers to enhance utilization;
- c. exploration of markets for underutilized species and low-grade wood and alternative markets (e.g., bioenergy markets); or
- d. periodic inspections and reports noting utilization and product separation.

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

Audit Notes: Agreement Number 1513, clause 4 "Merchantability" defines sawtimber and Clause 5 provides for damages for damaged timber.

Long-term fiber supply agreement with Glatfelter through 2019.

Cutting and Logging Inspection Form is used to track utilization.

Auditor: MF

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**Objective 8 Recognize and Respect *Indigenous Peoples’* Rights**

To recognize and respect *Indigenous Peoples’* rights and traditional knowledge.

**Performance Measure 8.1**

Program Participants shall recognize and respect Indigenous Peoples’ rights.

Indicator:

8.1.1. *Program Participants* will provide a written *policy* acknowledging a commitment to recognize and respect the rights of *Indigenous Peoples*.

- N/A     Conformance     Exceeds     O.F.I.     Major NC     Minor NC

Audit Notes: There are no federally recognized tribes in Ohio.

October 9, 2015 Memo to Robert Boyles, Deputy Director and Chief Forester regarding recognition of Native American Tribes indicated that there are no federally or state-recognized tribes in Ohio.

SFI definition: Indigenous Peoples: Inclusive of all Indigenous Peoples residing in Canada and the United States. More specifically, “Indigenous Peoples” is defined in the United States as members of federally recognized tribes and in Canada as those peoples that are defined by section 35(2) of the Constitution Act, 1982. In the United States, the US Department of Interior: Bureau of Indian Affairs publishes a list of each of the 566 federally recognized tribes. The list is found at the following address:  
<http://www.bia.gov/WhoWeAre/BIA/OIS/TribalGovernmentServices/TribalDirectory/>

Auditor:

**Performance Measure 8.2**

*Program Participants* with forest management responsibilities on public lands shall confer with affected *Indigenous Peoples* with respect to sustainable forest management practices.

Indicator:

- 8.2.1. *Program* that includes communicating with affected *Indigenous Peoples* to enable *Program Participants* to:
- a. understand and respect traditional forest-related knowledge;
  - b. identify and protect spiritually, historically, or culturally important sites;
  - c. address the use of non-timber forest products of value to Indigenous Peoples in areas where Program Participants have management responsibilities on public lands; and
  - d. respond to Indigenous Peoples’ inquiries and concerns received.

- N/A     Conformance     Exceeds     O.F.I.     Major NC     Minor NC

Audit Notes: There are no federally recognized tribes in Ohio. See notes for indicator 8.1.1 above.

Auditor: MF

**Performance Measure 8.3**

*Program Participants* are encouraged to communicate with and shall respond to local *Indigenous Peoples* with respect to sustainable forest management practices on their private lands.

Indicators:

8.3.1. *Program Participants* are aware of traditional forest-related knowledge, such as known cultural heritage sites, the use of wood in traditional buildings and crafts, and flora that may be used in cultural practices for food, ceremonies or medicine.

- N/A     Conformance     Exceeds     O.F.I.     Major NC     Minor NC

Audit Notes: Ohio Division of Forestry’s certification scope does not include private lands.

Auditor: MF

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

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

Audit Notes: Ohio Division of Forestry's certification scope does not include private lands.

Auditor: MF

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## Objective 9 Legal and Regulatory Compliance

To comply with applicable federal, provincial, state and local laws and regulations.

### Performance Measure 9.1

*Program Participants* shall comply with applicable federal, provincial, state and local *forestry* and related social and environmental laws and regulations.

Indicators:

9.1.1. Access to relevant laws and regulations in appropriate locations.

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

Audit Notes: Ohio BMP Manuals were readily available in the central office and carried by foresters in the units.

Laws and regulations are summarized in the first chapter of the Ohio State Forest Land Management Manual, "State Forest Management Authority". 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.

Confirmed through review of training records that foresters receive new-forester and annual update training associated with laws and regulations.

Auditor: MF

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

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

Audit 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.

Bray Site BMP complaint was investigated and there was no violation. Ohio Division of Forestry decided to address some issues that did not arise to the level of a violation.

Auditor: MF

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

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

Audit Notes: Ohio Division of Forestry stated that there were no violations of regulations pertaining to forest management or certified lands since the last audit or which are still open. No evidence of violations was found via a Google search.

Auditor: MF

### Performance Measure 9.2

*Program Participants* shall take appropriate steps to comply with all applicable social laws at the federal, provincial, state and local levels in the country in which the *Program Participant* operates.

Indicators:

9.2.1. Written *policy* demonstrating commitment to comply with social laws, such as those covering civil rights, equal employment opportunities, anti-discrimination and anti-harassment measures, workers' compensation, *Indigenous Peoples'* rights, workers' and communities' right to know, prevailing wages, workers' right to organize, and occupational health and safety.

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

Audit Notes: From Ohio Division of Forestry's SFI Indicators and Evidence Matrix:

“DOF human resources administrator oversees notices and trainings on this subject. Records are mandated and available. State agency mandates compliance and training on these issues.”

Confirmed on the Ohio DNR web site that policies are in place for all of the topics listed.

Auditor: MF

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9.2.2. *Forestry enterprises* will respect the rights of workers and labor representatives in a manner that encompasses the intent of the International Labor Organization (ILO) core conventions.

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

Audit Notes: Ohio Division of Forestry reports that it has not received information from outside stakeholders with regards to concerns or conformance pertaining to their employee relations with regards to ILO Core conventions 87, 98 and 111. From Ohio Division of Forestry’s SFI Indicators and Evidence Matrix:  
DOF does not have any ILO complaints. DOF employees are organized into one union (OCSEA). Law enforcement services are provided by Division of Parks personnel who are part of another union (FOP).

Auditor: MF

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## Objective 10 Forestry Research, Science and Technology

To invest in *forestry* research, science and technology, upon which sustainable forest management decisions are based and broaden the awareness of *climate change* impacts on forests, *wildlife* and *biological diversity*.

### Performance Measure 10.1

*Program Participants* shall individually and/or through cooperative efforts involving *SFI Implementation Committees*, associations or other partners provide in-kind support or funding for forest research to improve *forest health*, *productivity* and sustainable management of forest resources, and the environmental benefits and performance of forest products.

Indicators:

10.1.1. Financial or in-kind support of research to address questions of relevance in the region of operations. Examples could include, but are not limited to, areas of forest *productivity*, water quality, biodiversity, community issues, or similar areas which build broader understanding of the benefits and impacts of forest management.

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

Audit Notes: Ohio Division of Forestry supports research primarily by providing sites for research on state forests.

Ohio Division of Forestry has purchased the Vinton Furnace Experimental Forests where over 50 years of forest research has taken place and has committed to maintaining that forest specifically for research purposes. Ohio Division of Forestry owns the surrounding Vinton Furnace State Forest.

Ohio Division of Forestry partners with the Northern Research Station, USFS (based in Delaware) on many research projects by assisting with prescribed burns and other activities. Interviewed a research scientist from the USDA Forest Service, Delaware Laboratory confirmed a long-term research relationship including a pending project to link phenology of vegetation with timing of emergence of rattlesnakes from their dens (still working towards an agreement).

Support for research includes a project on state forests testing a Wilt Fungus as a biocontrol of invasive *Ailanthus* working with a Research Scientist with the Northern Forest Experiment Station, USDA Forest Service.

Auditor: MF

10.1.2. Research on genetically engineered trees via *forest tree biotechnology* shall adhere to all applicable federal, state, and provincial regulations and international protocols ratified by the United States and/or Canada depending on jurisdiction of management.

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

Audit Notes: Very little planting is done, and none operationally (trees are occasionally planted as part of a demonstration or small carbon offset project). There is no research on genetically engineered trees via forest tree biotechnology.

Auditor: MF

### Performance Measure 10.2

*Program Participants* shall individually and/or through cooperative efforts involving *SFI Implementation Committees*, associations or other partners develop or use state, provincial or regional analyses in support of their *sustainable forestry programs*.

Indicator:

10.2.1. Participation, individually and/or through cooperative efforts involving *SFI Implementation Committees* and/or associations at the national, state, provincial or regional level, in the development or use of some of the following:

- a. regeneration assessments;
- b. growth and drain assessments;
- c. *best management practices* implementation and conformance;
- d. *biodiversity conservation* information for family forest owners; and
- e. social, cultural or economic benefit assessments.

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

Audit Notes: From Ohio Division of Forestry's SFI Indicators and Evidence Matrix:

"Ohio Division of Forestry was major contributor of the statewide forest resource assessment (Forest Action Plan). It is updated every five years and covers these indicators."

Auditor: MF

### Performance Measure 10.3

*Program Participants* shall individually and/or through cooperative efforts involving *SFI Implementation Committees*, associations or other partners broaden the awareness of *climate change* impacts on forests, *wildlife* and *biological diversity*.

Indicators:

10.3.1. Where available, monitor information generated from regional climate models on *long-term forest health, productivity and economic viability*.

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

Audit Notes: Five Year Forest Management Plan For State Forests, October 2015

"The Division of Forestry consults tools such as the USDA Forest Service Climate Change Tree and Bird Atlas<sup>1</sup> for potential impacts to Ohio's forests due to climate change. In order for our forests to be able to accommodate climate change, they should contain greater genetic diversity, be adapted to disturbances, be adapted to warmer and drier climates, and contain a diversity of plant communities and species. The goals and objectives of state forest management were formulated to create forests resilient to climate change."

Auditor: MF

10.3.2. *Program Participants* are knowledgeable about *climate change* impacts on *wildlife, wildlife habitats and conservation of biological diversity* through international, national, regional or local *programs*.

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

Audit Notes: On October 1, 2015 as part of the annual Forester Refresher Training all foresters received a short "Climate Change Refresher".

Field personnel interviewed could outline the expected changes in climate (warmer and wetter, with variations depending on location and on the model being used).

Five Year Forest Management Plan For State Forests, October 2015,

"The climate is expected to continue to change in the future and very likely at an accelerated pace. Climate models all show warming and precipitation increases in the northern latitudes, an increase in the number of days with temperature extremes, and a more vigorous hydrological cycle. The potential increase in the growing season and the change in the hydrological cycle in Ohio would potentially mean a change in our forest composition and dynamics. Data models show that within 100 years, Ohio's climate may resemble the current climate of Arkansas. The potential changes in species composition as a result of climate change may lead to ecosystem vulnerabilities such as susceptibility to insects and disease, moisture stress in higher elevations, and adverse effects on wildlife populations."

Auditor: MF

<sup>1</sup> <http://www.fs.fed.us/nrs/atlas>

## Objective 11 Training and Education

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

### Performance Measure 11.1

*Program Participants* shall require appropriate training of personnel and contractors so that they are competent to fulfill their responsibilities under the *SFI 2015-2019 Forest Management Standard*.

Indicators:

11.1.1. Written statement of commitment to the *SFI 2015-2019 Forest Management Standard* communicated throughout the organization, particularly to facility and woodland managers, and field foresters.

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

Audit 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.

Auditor: MF

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

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

Audit Notes: Interviews and observations of how the various involved managers and leaders work together confirm the following statement from Ohio Division of Forestry's SFI Indicators and Evidence Matrix:

"Ohio Division of Forestry has assigned staff to maintain certification. DOF has the integration committee. DOF has integrated the responsibilities of certification into staff position descriptions."

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.

Auditor: MF

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

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

Audit Notes: There is an Opportunity for Improvement in training to recognize wetland indicator plants.

Confirmed training record for an employee with 2 year's tenure (CDE) which showed a range of training.

Reviewed training records for a new forester who started July 2014. This forester has a Bachelor of Forestry and Master of Forestry Degree from University of Kentucky. The training records include completed "State Lands Forester-Orientation and Development" checklist and full training record.

Training PowerPoint: Archeological Resource Laws. ODNR

The annual Forester Refresher Training on 10.1.2015 agenda items were:

Land Manual Chapters 1, 6, 10, 12; Cultural / Historic Law Refresher; Climate Change; Land Manual Chapters 2,3, 4; Land Manual Chapter 5; 7, 8; 9, 11.

Auditor: MF

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

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

Audit Notes: Confirmed through interviews that Master Logging Companies each have Master Loggers working for them. Confirmed through interviews that a trained Master Logger was on site as stated in the contract. Logging contractors for the merchandizing sales are also required to be Ohio Master Loggers.

Ohio DNR Division of Forestry - Timber Sale Agreements contain, Clause 9j which specifies "The Purchaser shall utilize an Ohio Forestry Association Master Logging Company". This clause was included in the agreement for all of the following projects reviewed on the Shawnee State Forest: 1121, 1224, 1310, 1325, 1403, 1410, 1417, 1419, 1505, 1508, 1511, 1512 and 1513.

Auditor: MF

11.1.5. *Program Participants* shall have written agreements for the use of *qualified logging professionals* and/or *certified logging professionals* (where available) and/or *wood producers* that have completed training *programs* and are recognized as *qualified logging professionals*.

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

Audit Notes: The Timber Sale agreement includes a requirement specifying the buyer must be a Master Logging Company and that a trained Master Logger must be on the site.

Master Loggers are qualified logging professionals; there are no logger certification programs in Ohio.

Auditor: MF

**Performance Measure 11.2**

*Program Participants* shall work individually and/or with *SFI Implementation Committees*, logging or forestry associations, or appropriate agencies or others in the *forestry* community to foster improvement in the professionalism of *wood producers*.

Indicators:

11.2.1. Participation in or support of *SFI Implementation Committees* to establish criteria and identify delivery mechanisms for *wood producer* training courses and periodic continuing education that address:

- a. awareness of sustainable forestry principles and the SFI program;
- b. best management practices, including streamside management and road construction, maintenance and retirement;
- c. reforestation, invasive exotic plants and animals, forest resource conservation, aesthetics and special sites;
- d. awareness of responsibilities under the U.S. Endangered Species Act, the Canadian Species at Risk Act, and other measures to protect wildlife habitat (e.g., Forests with Exceptional Conservation Value);
- e. awareness of rare forested natural communities as identified by provincial or state agencies, or by credible organizations such as NatureServe, The Nature Conservancy, etc.
- f. logging safety;
- g. U.S. Occupational Safety and Health Administration (OSHA) and Canadian Centre for Occupational Health and Safety (CCOHS) regulations, wage and hour rules, and other provincial, state and local employment laws;
- h. transportation issues;
- i. business management;
- j. public policy and outreach; and
- k. awareness of emerging technologies.

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

Audit Notes: "Ohio SIC Meeting Minutes, September 17, 2015, Gahanna, Ohio" show attendance by Cotton Randall, who is also listed on the Ohio Sustainable Forestry SIC Committee list. The meeting included a discussion of logger training for the Ohio Logger Chapters.

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.

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.

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).

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.

Auditor: MF

11.2.2. The SIC-approved *wood producer training programs* shall have a continuing education component with coursework that supports the current training *programs*, safety and the *principles of sustainable forestry*.

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

Audit Notes: Ohio's logger training includes a continuing education component

Auditor: MF

11.2.3. Participation in or support of *SFI Implementation Committees* to establish criteria for recognition of logger certification *programs*, where they exist, that include:

- a. completion of *SFI Implementation Committee* recognized logger training *programs* and meeting continuing education requirements of the training *program*;
- b. independent in-the-forest verification of conformance with the logger certification *program* standards;
- c. compliance with all applicable laws and regulations including responsibilities under the U.S. Endangered Species Act, the Canadian Species at Risk Act and other measures to protect *wildlife habitat*;
- d. use of *best management practices* to protect water quality;
- e. logging safety;
- f. compliance with acceptable *silviculture* and utilization standards;
- g. aesthetic management techniques employed where applicable; and
- h. adherence to a management or harvest plan that is site specific and agreed to by the forest landowner.

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

Audit Notes: See notes under Indicator 11.2.2 above.

OFA BMP monitoring results from 2014 were reviewed in the Ohio SFI Implementation Committee meeting: "Katie Wheeler worked with auditors prior to assessments this year to achieve more consistent ratings throughout the system and helped the SIC understand the process and data."

Auditor: MF

## Objective 12 Community Involvement and Landowner Outreach

To broaden the practice of *sustainable forestry* through public outreach, education, and involvement, and to support the efforts of *SFI Implementation Committees*.

### Performance Measure 12.1

*Program Participants* shall support and promote efforts by consulting foresters, state, provincial and federal agencies, state or local groups, professional societies, *conservation* organizations, *Indigenous Peoples* and governments, community groups, sporting organizations, labor, universities, extension agencies, the *American Tree Farm System*® and/or other landowner cooperative programs to apply *principles* of sustainable forest management.

Indicators:

12.1.1. Support, including financial, for efforts of *SFI Implementation Committees*.

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

Audit Notes: "Ohio SIC Meeting Minutes, September 17, 2015, Gahanna, Ohio" was attended by Cotton Randall, who is also listed on the Ohio Sustainable Forestry SIC Committee list. The meeting included a discussion of funding for BMP monitoring, landowner workshops to be held, and logger training efforts.

Auditor: MF

12.1.2. Support, individually or collaboratively, education and outreach to forest landowners describing the importance and providing implementation guidance on:

- a. best management practices;
- b. reforestation and afforestation;
- c. visual quality management;
- d. conservation objectives, such as critical wildlife habitat elements, biodiversity, threatened and endangered species, and Forests with Exceptional Conservation Value;
- e. management of harvest residue (e.g., slash, limbs, tops) considers economic, social, environmental factors (e.g., organic and nutrient value to future forests) and other utilization needs;
- f. control of invasive exotic plants and animals;
- g. characteristics of *special sites*; and
- h. reduction of wildfire risk.

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

Audit Notes: Support for "A Day in the Woods" on the Vinton Furnace State Forest, the 2nd Friday Series, May-November 2015. Topics listed in brochure include wildlife viewing and monitoring, tree and plant identification, forest health including control of invasive plants, edible plants, creating and using woodland maps, and wildlife food production.

This function is largely the responsibility of the service foresters. 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.

Auditor: MF

12.1.3. Participation in efforts to support or promote *conservation* of managed forests through voluntary market-based incentive programs such as current-use taxation programs, *Forest Legacy Program* or *conservation* easements.

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

Audit Notes: The Ohio Division of Forestry has two current projects to conserve forest lands by purchasing land for state forests. The Little Smokies Forest Legacy Project comprising 930 acres is described in the 2.11.15 Forestry Advisory Council Meeting Minutes. Another project is in the application stage.

Auditor: MF

**Performance Measure 12.2**

*Program Participants* shall support and promote, at the state, provincial or other appropriate levels, mechanisms for public outreach, education and involvement related to sustainable forest management.

Indicator:

12.2.1. Periodic educational opportunities promoting *sustainable forestry*, such as

- a. field tours, seminars, websites, webinars or workshops;
- b. educational trips;
- c. self-guided forest management trails;
- d. publication of articles, educational pamphlets or newsletters; or
- e. support for state, provincial, and local *forestry* organizations and soil and water *conservation* districts.

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

Audit Notes: The Ohio Division of Forestry has an exceptional program for periodic educational opportunities promoting sustainable forestry.

Support for “A Day in the Woods” on the Vinton Furnace State Forest, the 2nd Friday Series, May-November 2015. Topics listed in brochure include wildlife viewing and monitoring, tree and plant identification, forest health including control of invasive plants, edible plants, creating and using woodland maps, and wildlife food production.

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.

The following forests maintain self-guided forestry field tour programs in place: Maumee SF, Zaleski State Forest, Shawnee State Forest.

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.

Each forestry office is well-stocked with fire-prevention materials and staff is expected to promote fire prevention.

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.

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.

Outreach and Demonstration Areas on State Forests:

State Forest	Name of Area
Maumee	Stewardship Trail
Maumee	Windbreak Arboretum
Maumee	Windbreak Improvement Planting
Mohican-Memorial	Discovery Forest
Zaleski	Backpack Trail interpretive signage
Zaleski	Driving Loop
Vinton Furnace	Demonstration Area
Mohican, Hocking, Zaleski, Tar Hollow, Scioto Trail, Shawnee, Blue Rock	Fire Towers interpretive signage for fire management

Auditor: MF

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**Performance Measure 12.3**

*Program Participants* shall establish, at the state, provincial, or other appropriate levels, procedures to address concerns raised by loggers, consulting foresters, employees, unions, the public or other *Program Participants* regarding practices that appear inconsistent with the *SFI Standard principles and objectives*.

Indicators:

12.3.1. Support for *SFI Implementation Committees* (e.g., toll-free numbers and other efforts) to address concerns about apparent nonconforming practices.

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

Audit Notes: Interview of Cotton Randal, Ohio Division of Forestry's representative on the Ohio SFI Implementation Committee confirmed the process is in place.

Auditor: MF

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12.3.2. Process to receive and respond to public inquiries. *SFI Implementation Committees* shall submit data annually to *SFI Inc.* regarding concerns received and responses.

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

Audit Notes: Interview of Cotton Randal, Ohio Division of Forestry's representative on the Ohio SFI Implementation Committee confirmed the process is in place.

Auditor: MF

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### Objective 13 **Public Land Management Responsibilities**

To participate and implement sustainable forest management on *public lands*.

#### Performance Measure 13.1

*Program Participants* with forest management responsibilities on *public lands* shall participate in the development of *public land* planning and management processes.

Indicators:

13.1.1. Involvement in *public land* planning and management activities with appropriate governmental entities and the public.

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

Audit Notes: Forest Advisory Council with 8 members appointed by the governor; all aspects of the forestry programs are considered by this group. <http://forestry.ohiodnr.gov/councils>

Special Meetings regarding proposals at state forests (there has been a recent increase in consultations):

- Chief described having an annual meeting with key environmental stakeholders to listen to their concerns, most-recently in June 2015 with: Ohio Chapter of the Sierra Club, Buckeye Forest Council, Friends of Shawnee, and the Ohio Environmental Council.
- Periodic meetings with many different user groups, often focused on trails, for example the Ohio Horsemen’s Council.

Web-site Notices for all Annual Work Plans and Open-Houses.

Draft Annual Work Plans for each state forest are issued in advance of annual open houses, which are held in the north and in the south. Prior to the open-houses a 30-day comment period exists during which the public can comment. Comments are reviewed and considered before the AWP’s are finalized. Details: 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 30/40/10 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

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. Due to changes in horse trails the manager held extra consultations and the trail users were satisfied.

“Pathways to Participation and State Forest Information” providing guidance to the public regarding methods for involvement in planning on the Ohio State Forests is available on the web.

Auditor: MF, AMK, MM

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

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

Audit Notes: 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.

A dispute-resolution process is in place and was discussed. The process includes a review by the Integration Committee. Confirmed records by reviewing a file from a 2013 appeal, including June 3, 2013 resolution letter from Chief Boyles. Also see previous indicator.

Auditor: MF

## Objective 14 Communications and Public Reporting

To increase transparency and to annually report progress on conformance with the *SFI Forest Management Standard*.

### Performance Measure 14.1

A *Program Participant* shall provide a summary audit report, prepared by the *certification body*, to *SFI Inc.* after the successful completion of a certification, recertification or surveillance audit to the *SFI 2015-2019 Forest Management Standard*.

Indicator:

- 14.1.1. The summary audit report submitted by the *Program Participant* (one copy must be in English), shall include, at a minimum,
- a. a description of the audit process, *objectives* and scope;
  - b. a description of substitute *indicators*, if any, used in the audit and a rationale for each;
  - c. the name of *Program Participant* that was audited, including its *SFI* representative;
  - d. a general description of the *Program Participant's* forestland included in the audit;
  - e. the name of the *certification body* and *lead auditor* (names of the *audit team* members, including *technical experts* may be included at the discretion of the *audit team* and *Program Participant*);
  - f. the dates the audit was conducted and completed;
  - g. a summary of the findings, including general descriptions of evidence of conformity and any nonconformities and corrective action plans to address them, opportunities for improvement, and exceptional practices; and
  - h. the certification decision.

The summary audit report will be posted on the *SFI Inc.* website ([www.sfiprogram.org](http://www.sfiprogram.org)) for public review.

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

Audit Notes: NSF provides the summary report as part of each year's overall audit report. The 2014 and 2013 audit summary reports are on the SFI web.

Auditor: MF

### Performance Measure 14.2

Program Participants shall report annually to SFI Inc. on their conformance with the SFI 2015-2019 Forest Management Standard.

Indicators:

- 14.2.1. Prompt response to the *SFI* annual progress report survey.

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

Audit Notes: Email on 9.23.15 from Rachel Dierolf confirmed timely response to the most recent survey.

Auditor: MF

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

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

Audit Notes: All work conducted is recorded. Many monitoring programs exist: HCVF, Logging Inspections, Road and Trail Inspections, Post-fire inspections, Compartment cruising, and state-wide annual flight surveys for forest health.

Auditor: Mf

- 14.2.3. Maintenance of copies of past survey reports to document progress and improvements to demonstrate conformance to the *SFI 2015-2019 Forest Management Standard*.

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

Audit Notes: Ohio Division of Forestry provided a copy of the 2014 report as evidence of maintenance of past reports.

Auditor: MF

## Objective 15 Management Review and Continual Improvement

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

### Performance Measure 15.1

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

Indicators:

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

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

Audit Notes: The management review system is described in Chapter 1 of the Ohio State Forest Land Management Manual "State Forest Management Authority", pages 15-16 "Management Review".

Managers are closely involved in forestry decisions.

Internal audit conducted for issues managed centrally was documented and appears quite thorough. Field-related issues are audited through various program reviews and via the Integration Committee

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 15.1.3 below).

Auditor: MF

15.1.2 System for collecting, reviewing, and reporting information to management regarding progress in achieving *SFI 2015-2019 Forest Management Standard objectives and performance measures*.

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

Audit Notes: October 19, 2015 Internal Audit of Statewide Issues, State Forest Certification was conducted by Dan Balsler and Tom Macy, who are independent of the issues being audited. The report includes one opportunity for improvement. The "SFI Indicators and Evidence Matrix Ohio 2015" shows a comprehensive approach to reviewing objectives, performances measures, and indicators.

Auditor:

15.1.3 Annual review of progress by management and determination of changes and improvements necessary to continually improve conformance to the *SFI 2015-2019 Forest Management Standard*.

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

Audit Notes: Integration Committee – Management Review, September 28, 2015; Attendance: Bob Boyles, Greg Guess, Nate Jester, Gregg Maxfield, Chad Sanders, Jared Craig, Tom Shuman, Cotton Randall.

2014: Integration Meeting September 3, 2014; Attendees: Dan Balsler, Nate Jester, Greg Guess, Gregg Maxfield, Chad Sanders, Cotton Randal, Jarod Craig. Meeting agenda included:

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

Auditor: MF

(End)

**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 15.1.1.

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 15.

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 15 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 15.

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

Yes       No      Evidence      Issues that arose in the 2014 Internal Audits were addressed.

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. There is a strong program of centralized administrative control.

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

## Appendix 4

### Meeting Attendance

Company Name: Ohio DNR

Location: 2045 Morse Rd # H-1, Columbus, OH 43229

Type of Audit: Surveillance and Upgrade to the SFI 2015-2019 Forest Management Standard

Opening Meeting Date: 10.26.15

Closing Meeting Date: 10.29.15

Printed)	POSITION	G MEETING (Initials)	G MEETING (Initials)
Mike Ferrucci	SFI Lead Auditor	MF	MF
Michelle Matteo	FSC Lead Auditor	MM	MM
Ann Marie Kittredge	Team Auditor	AMK	AMK
Robert Boyles	Chief State Forester		RB
Dan Balsler	Assistant Chief	DB	DB
Greg Guess	Deputy Chief, State Forest and Fire	GG	GG
Gregg Maxfield	District Manager, Northern Forests	GM	GM
Nate Jester	District Manager, Southern Forests	NJ	NJ
Jared Craig	Southern District Land Management Adm.	JC	JC
Chad Sanders	Certification Coordinator; Manager, Mohican State Forest	CS	CS
Cotton Randall	Landowner Assistance		
Sue Howard	Acting Chief, Division of Wildlife		
Shawnee State Forest (10.27.15)			
Dale Egbert	Forest Manager		
David Parrott	Forester		
Vinton Furnace State Forest (10.28.15)			
Courtney Cawood	Forest Manager		
Danzil Walker	Forester		
Christopher Kerr	Forester		
William Borovickas	Supervisory Forestry Technician, USDA NRS, Site Manager, Research Station		
Joanne Rebbeck	Research Scientist, Northern Forest Experiment Station, USDA Forest Service		
Richland Furnace State Forest			
John Bauerbach	Forester		

## Appendix 5

### Site Notes

#### **Tuesday October 27, 2015, Shawnee State Forest**

#### **Tour A: Mike Ferrucci, SFI Lead Auditor**

#### Ohio Division of Forestry

Nate Jester, District Forest Manager, South District

Jared Craig, District Land Management Administrator, Chillicothe office

Dale Egbert, Forest Manager, Shawnee State Forest

Site 1: Contract 1512 Active Thinning. This 95-acre improvement harvest on a site with some steep ground was marked to remove low-value and mature trees. Three of the five cutting sections have been completed, including one where recommendations of a biologist from the Ohio Division of Wildlife to modify the treatment in a section with potential rattlesnake habitat were implemented. The sale design included no-cut buffers along Shawnee Forest Road 6 and along Big Run Creek. Existing and new skid roads were shaped with a bulldozer prior to harvest and have been smoothed, had water-bars installed, and covered with straw. They will also be seeded when appropriate. The BMPs used here were effective.

Site 2: Lampblack Road, Shawnee State Forest Road #16. This forest road is well-built and maintained, with a crown, gravel road surface, ditches, and newly-replaced ditch relief culverts.

Site 3: Lampblack Road, Forest Road #16, 30-inch culvert installation. The 30-inch culvert allows an intermittent stream to cross road. Culvert base is sufficiently deep to allow the rocky stream substrate/bed load to move into culvert, providing a somewhat natural stream bottom. Culvert was aligned with existing channel leaving a sharp turn 6-feet below the outlet.

Site 4: Backpacker Trail. A short section of trail, part of a 70-mile system, was walked. The trail is smooth, properly-drained, and sufficiently wide to allow two walkers side-by-side. The reasons for, public reactions to, and process of modifying the trail system to allow mechanized maintenance using small bulldozers were discussed.

Site 5: Contract 1325 Completed Deferment Harvest. All three cutting sections were reviewed by walking through portions of and most of the perimeter of this 160-acre completed harvest. The auditor was able to see most skid roads and trails, all of the major retention patches, and most of the reserved trees, as well as the regrowth after harvest. Sections where two growing seasons have passed are clearly regenerating fully, and sections where one growing season has passed appear to be developing complete cover as well. Skid road design, construction, and post-harvest stabilization are superb. The sale was marked by a contractor who followed the prescription as written. The prescription calls for harvest of dominant trees and for selecting co-dominant or intermediate crown class trees for retention. Several large scarlet oak stumps and nearby unused cut stems were hollow, which represents a missed opportunity to retain potential den trees, but in most cases the stumps were sound on the perimeter, and thus it may not have been apparent that they were hollow.

Site 6: Shawnee State Forest Road #16. This forest road is well-built and maintained, with a crown, gravel road surface, ditches, and ditch relief culverts.

Site 7: Overlook, 2009 Wildfire. Regeneration is now 6 to 12 feet tall.

Site 8: Shawnee State Forest Road #1. This forest road is paved and generally well maintained.

Site 9: Pond Lick Lake Dam. A significant investment has recently been made to rebuild the dam and spillway, dredge the lake to remove accumulated silt, restore the check dams, and restore portions of the shoreline. With support from the Ohio Division of Wildlife structure (habitat) was added to the bottom of the lake and the lake was stocked with bluegill, bass, and channel catfish.

Site 10: Contract 1403. Completed harvest with 2 cutting sections on 65 acres. The landing located along Shawnee State Forest Road #1 has a good cover of grass and the wood chunks and brush from logging have been piled in the back at least 150 feet from the road.

### **Tour B: Anne Marie Kittredge**

#### Ohio Division of Forestry

Greg Guess, Deputy Chief, Chillicothe office

David Parrott, Forester

Site 1: Forest Road 6. Excellent shape with gravel, graded and crowned.

Site 2: Harvest # 1514. 75-acre shelterwood & deferment harvest includes LWD, snags, dens. marked to retain lose bark trees for bat habitat. White oaks with grapevines retained for cerulean warblers. Temporarily shut down. Water bars on road on the completed section of the job. Excellent utilization.

Site 3: Hiking trail near harvest # 1514. Recently maintained/widened with bull dozer for water control features. Edges of trail still raw. Includes warning signs associated with logging trucks for nearby timber sale.

Site 4: Bridle trail near harvest # 1514. Excellent condition. Includes warning signs associated with logging trucks for nearby timber sale.

### **Tuesday October 27, 2015, Mohican State Forest**

#### **Michelle Matteo**

#### Ohio Division of Forestry

Chad Sanders, Ohio DNR Forestry Certification Coordinator, Mohican State Forest Manager

Gregg Maxfield, District Forest Manager, North District

Dan Balsler, Assistant Chief

Primarily recreation & civic projects; limited amount of timber harvesting recently.

Site 1: The Memorial Shrine & the Memorial Forest and Forest Park. Established 1947 as a memorial to OH men and women that lost their lives in WWII, now for all OH residents killed in war. 270-acre Memorial Forest Park (part of the larger Memorial Forest) is set aside as a reserve. On June 23, 1936, a joint congressional resolution designated the last Sunday in Sept as Gold Star Mother's Day. Annual Gold Star Mother's Day Memorial Service held each Sept and hosted by the Mohican. Large amount of in-kind service by forest staff for upgrades to facility, regular maintenance, & hosting the annual Memorial Service.

Site 2: Ball field – historical ball field was recreated for Youth Camp (privately-run residential program for at risk teen boys – on SF leased land) in an area that was bridle path access & parking. Special use permit issued for use from April 1-Aug 31. Sept through March, the area can be used by the bridle trail users as overflow parking and access.

Site 3: Horse Camp improvement. Extensive stakeholder consultation with Youth Camp & 3 horse groups – cooperatively decided to move the bridle parking across the street with more parking & creation of a day use & camping area. In the process, a small strip of timber was cut from the above Memorial Forest Park (less than 1 acre) to accommodate the parking/day use/camping area. Water, bathrooms, picnic shelter, firewood provided to users.

Site 4. Discovery Forest. Interpretive educational forest. Kiosk with good forestry information. Silviculture treatments viewed with signage of the year of harvest. Thinning in pine stands with various years thinning projects viewed.

Site 5. American Chestnut nursery/plantation. 2 acres planted in consultation with the American Chestnut Foundation (ACF), primarily pure saplings, established in 2007. Backcrossed 15/16 hybrids (144 stems) also planted in 2009. Annual seed collection occurs as part of the agreement with the ACF.

Site 6. 8-ac pre-commercial thinning/crop tree release. To be completed by staff in winter.

Site 7. Elm research study by USFS. Genetically resistant elm planted in order to naturally breed with planted native elms & check for resistance to Dutch Elm disease.

## **Tuesday October 27, 2015, Scioto State Forest**

### **Michelle Matteo**

#### Ohio Division of Forestry

Chad Sanders, Ohio DNR Forestry Certification Coordinator, Mohican State Forest Manager

Gregg Maxfield, District Forest Manager, North District

Dan Balsler, Assistant Chief

Brian Kelly, Scioto Trail Forest Manager

John Bauerbach, Forester

Jared Craig, District Land Management Administrator, Chillicothe office

Keith Sickles, OH Master Logger (present at Site 1)

Site 1: Harvest 1509. 176-acre active thinning with six Cutting Section (CS). Logger's work in one CS almost completed and another CS is just starting. Logger present and interviewed, extremely good relationship between logger and forester, per interview. Logger shut down activity today because of wet weather. Water bars put in at end of each day for next in advance of rain. Skid trails in good condition, despite some rain. Haul road layout & construction excellent. LWD, snags present, creation of a large wildlife tree by girdling. Avoiding any stream crossings by working down the top of the 'fingers' and staying out of the hollows. No damage to residual stand.

Site 2: Harvest 1604. 10-acre mature pine CTL clear-cut with hardwood retention. Sold, not yet cut. Buffered stream was marked, some invasives (multiflora rose) present near the streambank.

Site 3: Merchandising TS C-7. 8-acre clear-cut with hickory retention, additional retained patch of hickory near top of slope. LWD and snags present. Wildlife present on site (woodcock flushed when walking out of the stand).

Site 4: BMP demonstration site. Training area for SF employees and OFA's Master Logger program. OFA coordinates the 1/year or 2/year training with help from industry – Soil & Water, Glatfelter, & DOF. Items viewed: culvert placement, road block with large rocks to limit access, well-constructed haul road, dips in road, rather than water bars, poles in dip for corduroy, silt fence placement, brushing in an old skid road.

### **Wednesday October 28, 2015, Vinton Furnace State Forest**

**Michelle Matteo, Mike Ferrucci, Anne Marie Kittredge**

#### Ohio Division of Forestry

Chad Sanders, Ohio DNR Forestry Certification Coordinator, Mohican State Forest Manager

Gregg Maxfield, District Forest Manager, North District

Greg Guess, Deputy Chief, Chillicothe office

Nate Jester, District Forest Manager, South District

Jared Craig, District Land Management Administrator, Chillicothe office

Courtney Cawood, Forest Manager

Danzil Walker, Forester

Christopher Kerr, Technician

#### USDA Forest Service

Joann Rebbeck, Research Scientist, Northern Forest Experiment Station, USDA Forest Service

Bill Borovicka, Site Manager, Vinton Furnace Research Station, USDA Forest Service

Site 1: NIPF Demonstration Plot #1 Crop Tree Release. Non-commercial harvests in 1998 and 2008, with the next treatment tentatively scheduled for 2018. Each demonstration plot covers approximately 10 acres.

Site 2: NIPF Demonstration Plot #2 Diameter Limit, 12-inch Stump. Harvested in 1998, with a crop-tree release tentatively scheduled for 2018.

Site 3: Native American Mound. Site had been historically vandalized; roads are gated.

Site 4: Vinton Furnace A-2 Completed Clearcut. Sold to Glatfelter as part of the Fiber Supply Agreement that runs with the land. All trees including saplings were cut. Waterbars are in place and site is stable. Will become a NIPF Demonstration Clear-cut Plot.

Site 5: NIPF Demonstration Plot #4 High-Grade. Cut in 1998.

Site 6: NIPF Demonstration Plot #5 Clearcut. All trees were cut in 1998. A dense stand of oak and mixed hardwoods is in place. A crop-tree release treatment was completed in 2010.

Site 7: NIPF Demonstration Plot #6 Deferment Harvest. Cut in 1998. Adjacent to stand some Ailanthus present; discussion ensued with researcher about on-going Ailanthus research.

Site 8: Vernal Pool, Arch Rock Road. This pool was created one-year ago and has been populated by obligate vernal pool species.

Site 9: Planned Burn Site

### **Wednesday October 28, 2015, Richland Furnace State Forest**

**Michelle Matteo, Mike Ferrucci, Anne Marie Kittredge**

#### Ohio Division of Forestry

John Bauerbach, Forester

The same people attended as attended Vinton Furnace except the Forest Manager.

Site 1: Culvert for access to parking area and forest access road.

Site 2: State Forest Access Road and All-Purpose Vehicle (APV) Road. The road is well-constructed and maintained, having a gravel surface, a crown, inside ditches with cross-drain culverts, and rolling dips.

Site 3: The Ohio State University Shelterwood and Burn Study. This large study site has includes shelterwood treatments with various residual stocking levels, and tests of burned vs. not-burned areas.

Site 4: Contract 1412. Completed harvest on 69 acres with 3 cutting units, all reviewed by the audit team. Two units received deferment harvests and one received a shelterwood (establishment) harvest. The harvest was done by Lee Saylor Logging Company, an Ohio Master Logger Company. Portions of an APV trail are on the harvest area and were closed during logging operations. Some timber from an adjacent private timber sale was yarded onto state land with permission, with logging debris from that operation moved back onto private land. BMPs are in place and appear to be functioning well, with one exception noted below for Site 5.

Site 5: APV Trail between Points 2 and 3. The trail had been deeply incised into the hillside, so large Waterbars were constructed to drain the trail. Three of the Waterbars directed water to the side of the road where there is a man-made pond, and some sediment from one of the Waterbars has traveled through the filter strip and entered the pond. The site is shaped such

that one or more Waterbars could have been constructed to direct water to the side of the road away from the pond.

Site 6: RF B-6 Planned Harvest. A light thinning is marked. A buffer is in place between the sale area and an intermittent stream.

Site 7: RF A-6 Merchandizing Harvest. Auditors inspected portions of Cut Section 3, a completed harvest on 11.5 acres. The cruise prescription was for a thinning, but foresters observed over-mature and dying trees, in part due to a wildfire on part of the area. Stand was marked and cut as a single-tree selection with group openings harvest. Groups have desirable regeneration of varied desirable species. The residual stand between the groups has healthy, vigorous, well-formed trees, many of which have had partial crown release.

**Appendix 6 Form for Reporting SFI/PEFC Certification**

The only change is a change in the scope statement; see page 1.