



**Bureau Veritas Certification  
North America, Inc.  
SFI Forest Management Audit Report**

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PQC Code	E01E
Contract Number	US.1522879

Certification Audit:		Re-Certification Audit:		Surveillance Audit:	#2	Scope extension audit:	
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**Audit Summary**

**Introduction**

This report summarizes the results of the 2<sup>nd</sup> surveillance audit conducted on the Clemson Experimental Forest's SFI program for forest and land management. Gary Boyd, Bureau Veritas Certification Lead Auditor conducted the audit on July 14-15, 2015.

**Audit Scope, Objectives and Process**

The scope is "forest management". The audit was conducted against the SFI 2015-2019 Forest Management Standard (Section 2). Specifically, two objectives of the audit were to verify that the Program Participant's SFI Program is in conformance with the SFI Objectives, Performance Measures, and Indicators, and any additional indicators that the Program Participant chooses, and verify whether the Program Participant continue to effectively implement its SFI Standard program requirements on the ground. Standard Bureau Veritas Certification protocols and forms were applied throughout the audit as provided by the most recent version of the Bureau Veritas Certification SFI Auditor Handbook available on the auditor access website.

**Audit Plan**

A surveillance #2 audit was conducted in the Clemson Experimental Forest office the morning of Tuesday, July 14, 2015 followed by field audits that afternoon. The field audit portion of the audit continued through the morning of Wednesday, July 15, 2015. A closing meeting was held at 11am on July 15, 2015. An audit plan was developed and is maintained on file by Bureau Veritas Certification.

**Company Information**

Clemson Experimental Forest is approximately 17,500 acres of land owned by Clemson University. The land is located in close proximity to the University in Clemson, South Carolina. The land is managed to provide education, research, and demonstration. Timber is managed and harvested to address forest health issues, provide research opportunities, and produce income. The property is situated in the piedmont, with rolling to relatively steep topography. The forest contains natural pine and hardwood stands along with plantations of primarily loblolly pine, although shortleaf, longleaf, and slash pine have been planted in some areas to provide research and educational opportunities.

Forest management activities are not highly intensive. Clearcuts are generally small (less than 50 acres). Portions of the property are managed naturally, and there is a small (14 acre) natural hardwood stand retained to provide old-growth characteristics. The property is generally open to the public for recreational activities, although access is controlled in certain circumstances.

### **Audit Results**

The surveillance #2 audit was conducted to determine if Clemson's system meets the requirements of the SFI 2015-2019 Forest Management Standard. The field audit consisted of a review of one clearcut harvest, One thinning harvest and one road maintenance site. Field reviews indicate the organization is doing an excellent job of managing its forest. Clemson continues to improve on an effective SFI program.

**Objective 1-Forest Management Planning:** The organization has inventory and resource management processes in place. The Management Plan was last updated in 2013. Forest inventory is based on continuous forest inventory (CFI) plots. An annual allowable cut is determined. Harvest rates are relatively low, and growth exceeds harvest. An Opportunity for Improvement (OFI) was issued to a new indicator within this objective related to documented current harvest trends. Soils are mapped, and a land classification is in place.

**Objective 2-Forest Health and Productivity:** Soils were well protected on the two harvest sites observed during the audit. Virtually no rutting or erosion was observed. No chemical applications or regeneration work was completed during the past year.

**Objective 3-Protection and Maintenance of Water Resources:** Compliance with South Carolina BMPs was observed on all harvest sites visited. SMZ width is very generous, and no harvesting is allowed within the SMZ. Clemson also does not allow any stream crossings.

**Objective 4-Conservation of Biological Diversity:** The land classification system is used to intersperse harvests across the property, providing for landscape diversity. The organization has identified occurrences of FECVs. Clearcuts on Clemson Experimental Forest are generally small with ample SMZs, providing an abundance of stand-level wildlife habitat. Clemson has done a very good job of identifying and aggressively treating occurrences of non-native invasive species. Retention of a natural hardwood stand provides a measure of old-growth characteristics on the forest. The new forest manager needs to improve his knowledge of FECV. A minor non-conformance was issued to this objective due to no management plan being available for the Smooth Coneflower, a federally listed plant.

**Objective 5-Management of Visual Quality and Recreational Benefits:** Small harvest sizes provided for visual quality considerations. Clemson's average clearcut size for 2014 was 16.68 acres. They have adopted the green-up requirement of 3 years of 5 feet in height, although a review of the forest indicates differences between stands to generally be much greater.

**Objective 6-Protection of Special Sites:** Clemson has identified a number of special sites based on ecological, historical, or cultural uniqueness. Special sites are mapped.

**Objective 7-Efficient Use of Fiber Resources:** Utilization was acceptable on the two harvest sites reviewed during the audit.

**Objective 8: Recognize and Respect Indigenous People's Rights:** There are no recognized Indigenous Peoples groups on the CEF. There is a significant historical site on the Clemson campus

where the Cherokee signed their treaty. A minor non-conformance was issued to this objective due to no written policy acknowledging a commitment to recognize and respect the rights of Indigenous Peoples.

**Objective 9-Legal and Regulatory Compliance:** Clemson has access to applicable legal requirements is in place. Compliance to laws and regulations is accomplished through contract requirements, activity checklists and harvest inspections. The organization's commitment to legal compliance has been communicated to employees, customers and stakeholders through the University's policies and commitment statement.

**Objective 10-Forestry Research, Science and Technology:** One of the main focuses of the property is research, so there was ample evidence of a wide variety of research activities. The organization had ample documentation to support access to of knowledge of climate change impact on forest health and productivity, or wildlife and wildlife habitat.

**Objective 11-Training and Education:** Roles, responsibilities, and training requirements are defined. Contractors are required to be trained according to the requirements of the South Carolina SIC (TOP logger). The organization has become a full voting member of the South Carolina SIC, which includes participation in the development and delivery of logger training. An OFI was issued to this objective due to a Technician having an expired Chemical Applicators license and Prescriber Burn Manager's certificate. No chemical application and prescribed burning had been conducted.

**Objective 12-Community Involvement and Landowner Outreach:** Clemson has paid their SIC membership dues. The SIC has developed an excellent landowner brochure that contains information on a number of topics, including the conservation of biological diversity and protection of special sites. The experimental forest exists as a demonstration area, providing information to landowners encouraging their continued management of forestland. There was ample evidence of educational efforts, given it is one of the primary uses of the forest. The SIC has a documented inconsistent practices policy and Clemson has developed a documented procedure for receiving and responding to public input.

**Objective 13: Public Land Management Responsibilities:** Clemson Experimental Forest is managed as a public forest. The University involves different stakeholders in many of its activities except for timber harvesting.

**Objective 14-Communications and Public Reporting:** The certification audit report is located on the SFI website for review. Clemson submitted their information as part of the SFI annual progress report. Clemson has the reporting capabilities to provide information for the annual report.

**Objective 15-Management Review:** Management of the experimental forest is done primarily by the forest manager and one forester. A new forest manager was hired in the spring of 2015. The forest manager reports to an associate vice president. The organization is flat, and reviews occur on a frequent basis. A minor non-conformance was issued due to no record of the management review occurring the previous year.

## **Findings**

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

Two minor were issued during the last surveillance audit. These were due to incomplete record keeping. Both minor non-conformances were closed on 7/8/2014.

**Non-conformances:**

Three minor non-conformances were issued during this 2<sup>nd</sup> surveillance audit. They are issued to the following objectives, performance measures and indicators:

1. Objective 4, PM 2, Ind. 1 – No management plan was available for the Smooth Coneflower, a federally listed plant.
2. Objective 8, PM 1, Ind. 1 – No written policy acknowledging a commitment to recognize and respect the rights of Indigenous Peoples.
3. Objective 15, PM 1, Ind. 3 – No management review record was available for review.

The SF02 nonconformity reports are shown below.

**Opportunities for Improvement:**

Four Opportunities for Improvement (OFI) were issued during this 2<sup>nd</sup> surveillance audit. They are issued to the following objectives, performance measures and indicators:

1. Objective 1, PM 1, Ind. 2 – Documented current harvest trends;
2. Objective 4, PM 1, Ind. 1 – New manager not knowing FECV program;
3. Objective 4, PM 2, Ind. 2 – New manager not knowing FECV program;
4. Objective 11, PM 1, Ind. 3 – Training records.

**Notable Practices:**

None

**Logo/label use:**

No logo or label use was observed. Clemson does not intend to use the Bureau Veritas Certification logo.

**SFI reporting:**

The 1<sup>st</sup> surveillance audit report was located on the SFI website. The 2014 SFI progress report was submitted to SFI prior to the March 15, 2015 deadline.

**Conclusions**

Results of the 2<sup>nd</sup> surveillance audit indicate Clemson's SFI program continues to meet the requirements of the SFI Standard 2015-2019. Continued certification is recommended.

**SEE SF61 FOR AUDIT NOTES**

<b>Summary of Audit Findings:</b>									
Audit Date(s):		From: July 14, 2015				To: July 15, 2015			
Number of SF02's Raised:				Major:		0		Minor: 3	
Is a follow up visit required:		Yes		No	X	Date(s) of follow up visit:			
Follow-up visit remarks:									
<b>Team Leader Recommendation:</b>									
Corrective Action Plan(s) Accepted		Yes	X	No		N/A		Date:	4/26/2016
Proceed to/Continue Certification		Yes	X	No		N/A		Date:	7/15/2015
All NCR's Closed		Yes	X	No		N/A		Date:	4//28/2016
Standard audit conducted against:									
1)	SFI 2015-2019 Forest Management Standard				3)				
2)					4)				
Team Leader (1):		Team Members (2,3,4...)							
Gary Boyd		2)							
		3)							
		4)							
		5)							
Scope of Supply: (scope statement must be verified and appear in the space below)									
Forest Management									
Accreditation's		ANAB							
Number of Certificates		1							
Proposed Date for Next Audit Event									
Date		July 2016							
Audit Report Distribution									
Bureau Veritas Certification: Dawn M. Komnick-Ehmann- dawn.komnick@us.bureauveritas.com									
Clemson: Russell Hardee - rhardee@clemson.edu									

<b>Clause</b>	<b>Audit Report</b>
Opening Meeting	Participants: Russell Hardee, Knight Cox, Gary Boyd Discussions: <ul style="list-style-type: none"> <li>➤ Introductions</li> <li>➤ Scope of the audit</li> <li>➤ Audit schedule/plan</li> <li>➤ Nonconformance types – Major / Minor</li> <li>➤ Review of previous nonconformances – 2 minor.</li> <li>➤ Process approach to auditing and audit sampling</li> <li>➤ Confidentiality agreement</li> <li>➤ Termination of the audit</li> <li>➤ Appeals process</li> <li>➤ Closing meeting timing</li> </ul>
Closing Meeting	Participants: Russell Hardee, Knight Cox, Gary Boyd Discussions: <ul style="list-style-type: none"> <li>➤ Introductions and appreciation for selecting Bureau Veritas Certification.</li> <li>➤ Review of audit process - process approach and sampling.</li> <li>➤ Review of OFIs and System Strengths</li> <li>➤ Nonconformances – 3 minor</li> <li>➤ Date for next audit.</li> <li>➤ Reporting protocol and timing</li> </ul>



## SF02/NA NONCONFORMITY REPORT

Company Name and Site:		<u>SF02#:</u>	
Clemson Experimental Forest / Clemson, SC		2015-01	
Contract #:	Type of audit (e.g., initial, surveillance):	Team Leader:	
US.1522879	Surveillance #2	Gary Boyd	
Date:	Standard and Clause #:	Team Member:	
7/15/2015	Objective 4, Performance Measure 2, Indicator 1		
Major	Minor	Other Documents (if applicable):	Company Representative:
	X		Russell Hardee
<b>REQUIREMENT OF AUDITED STANDARD:</b>			
Program to protect threatened and endangered species.			
<b>OBSERVED NONCONFORMITY:</b>			
No formal plan for Smooth Coneflower, a federally listed plant.			
<b>ROOT CAUSE ANALYSIS AND CORRECTIVE ACTION PLAN</b> (To be completed by the Company. Plan to be submitted in 30 days)			
Corrective Action Plan Date:	8/6/2015	Company Representative:	Russell A. Hardee, CF
<b>Root Cause Analysis and Corrective Action</b>			
<p>Root Cause: Smooth Coneflower has not been documented onsite in several years, and was no longer thought to exist. It may be on-site, however, so a management plan was determined to be needed.</p> <p>Corrective Action Plan: Formal plan for management and protection of the species will be developed. A field survey will be completed in Spring 2016 by botanist/plant id specialist to determine if the species can be confirmed onsite.</p>			
<b>ROOT CAUSE AND CORRECTIVE ACTION PLAN ACCEPTANCE REPORT</b> (To be completed by Bureau Veritas Certification – Verify effective identification of Root Cause and acceptance of Corrective Action Plan)			
<p>Root Cause: Root cause identification above appropriate.</p> <p>Corrective Action Plan: Proposed corrective action plan was sent to BVC 8/6/2015, within the 30 day time period. Viewed e-mail documentation of submittal.</p>			
Plan Accepted:	Yes	X	No
Auditor:	Steve Tomlin		Date: 4/26/2016
<b>CORRECTIVE ACTION IMPLEMENTATION</b>			
To be completed by Company – Provide objective evidence. Not to exceed: 90 Days <input type="checkbox"/> 1 year <input checked="" type="checkbox"/>			
Corrective Action Completion Date:	10/2/2015	Company Representative:	Russell Hardee
<p>Corrective Action Implementation: Smooth Coneflower management plan was written and implemented.</p> <p>Method used to verify effectiveness of action taken: Reviewed plan. Visual survey completed 3/22/2016 by Hardee as part of burning plan for the area. No Smooth ConeFlowers were found. Confirmed during field audit.</p>			
<b>CORRECTIVE ACTION IMPLEMENTATION ACCEPTANCE REPORT</b> (To be completed by Bureau Veritas Certification – Acceptance of Corrective Action taken)			
Accepted:	Yes	X	No
Nonconformance Closed:	Yes	X	No
Follow Up Comments:	None		
Auditor:	Steve Tomlin		Date: 4/27/2016



## SF02/NA NONCONFORMITY REPORT

<b>Company Name and Site:</b>		<b>SF02#:</b>	
Clemson Experimental Forest / Clemson, SC		2015-02	
<b>Contract #:</b>	<b>Type of audit (e.g., initial, surveillance):</b>	<b>Team Leader:</b>	
US.1522879	Surveillance #2	Gary Boyd	
<b>Date:</b>	<b>Standard and Clause #:</b>	<b>Team Member:</b>	
7/15/2015	Objective 8, Performance Measure 1, Indicator 1		
<b>Major</b>	<b>Minor</b>	<b>Company Representative:</b>	
	X	Russell Hardee	
<b>REQUIREMENT OF AUDITED STANDARD:</b>			
Program Participants will provide a written policy acknowledging a commitment to recognize and respect the rights of Indigenous Peoples			
<b>OBSERVED NONCONFORMITY:</b>			
No written policy.			
<b>ROOT CAUSE ANALYSIS AND CORRECTIVE ACTION PLAN</b> (To be completed by the Company. Plan to be submitted in 30 days)			
<b>Corrective Action Plan Date:</b>	8/6/2015	<b>Company Representative:</b>	Russell A. Hardee, CF
<b>Root Cause Analysis and Corrective Action</b>			
<p>Root Cause: A written policy acknowledging a commitment to recognize and respect the rights of Indigenous Peoples has not been developed. Thought unnecessary as there were no known Indian tribes with any claims on the property.</p> <p>Corrective Action Plan: CEF will develop a written policy acknowledging a commitment to recognize and respect the rights of Indigenous Peoples and will include it within the CEF Management Plan</p>			
<b>ROOT CAUSE AND CORRECTIVE ACTION PLAN ACCEPTANCE REPORT</b> (To be completed by Bureau Veritas Certification – Verify effective identification of Root Cause and acceptance of Corrective Action Plan)			
<p>Root Cause: Root cause identification above appropriate.</p> <p>Corrective Action Plan: Proposed corrective action plan was sent to BVC 8/6/2015, within the 30 day time period. Viewed e-mail documentation of submittal.</p>			
<b>Plan Accepted:</b>	Yes	X	No
<b>Comments:</b>			
<b>Auditor:</b>	Steve Tomlin	<b>Date:</b>	4/26/2016
<b>CORRECTIVE ACTION IMPLEMENTATION</b>			
To be completed by Company – Provide objective evidence. Not to exceed: 90 Days <input type="checkbox"/> 1 year <input checked="" type="checkbox"/>			
<b>Corrective Action Completion Date:</b>	10/1/2015	<b>Company Representative:</b>	Russel Hardee
<p>Corrective Action Implementation: Plan developed, written and appended to the Management Plan.</p> <p>Method used to verify effectiveness of action taken: Reviewed and discussed written plan.</p>			
<b>CORRECTIVE ACTION IMPLEMENTATION ACCEPTANCE REPORT</b> (To be completed by Bureau Veritas Certification – Acceptance of Corrective Action taken)			
<b>Accepted:</b>	Yes	X	No
<b>Nonconformance Closed:</b>	Yes	X	No
<b>Follow Up Comments:</b>	None		
<b>Auditor:</b>	Steve Tomlin	<b>Date:</b>	4/27/2016



**SF02/NA NONCONFORMITY REPORT**

Company Name and Site:		SF02#:	
Clemson Experimental Forest / Clemson, SC		2015-03	
Contract #:	Type of audit (e.g., initial, surveillance):	Team Leader:	
US.1522879	Surveillance #2	Gary Boyd	
Date:	Standard and Clause #:	Team Member:	
7/15/2015	Objective 15, Performance Measure 1, Indicator 3		
Major	Minor	Other Documents (if applicable):	
	X	Company Representative:	
Russell Hardee			
<b>REQUIREMENT OF AUDITED STANDARD:</b>			
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.			
<b>OBSERVED NONCONFORMITY:</b>			
No record of a Mgt Review taking place since the last surveillance audit.			
<b>ROOT CAUSE ANALYSIS AND CORRECTIVE ACTION PLAN</b> (To be completed by the Company. Plan to be submitted in 30 days)			
Corrective Action Plan Date:	8/6/2015	Company Representative:	Russell A. Hardee, CF
<b>Root Cause Analysis and Corrective Action</b>			
Root Cause: Documentation of annual meeting with management was not recorded or filed. Failure to document by previous SFI management representative. Corrective Action Plan: A specific meeting for the Annual SFI progress review is set for August 10, 2015 and will be documented with meeting minutes or a summary email to all participants.			
<b>ROOT CAUSE AND CORRECTIVE ACTION PLAN ACCEPTANCE REPORT</b> (To be completed by Bureau Veritas Certification – Verify effective identification of Root Cause and acceptance of Corrective Action Plan)			
Root Cause: Root cause identification above appropriate. Corrective Action Plan: Proposed corrective action plan was sent to BVC 8/6/2015, within the 30 day time period. Viewed e-mail documentation of submittal.			
Plan Accepted:	Yes	X	No
Comments:			
Auditor:	Steve Tomlin	Date:	4/27/2016
<b>CORRECTIVE ACTION IMPLEMENTATION</b>			
To be completed by Company – Provide objective evidence. Not to exceed: 90 Days <input type="checkbox"/> 1 year <input checked="" type="checkbox"/>			
Corrective Action Completion Date:	8/10/2015	Company Representative:	Russel Hardee
Corrective Action Implementation: Meeting held and documented. Method used to verify effectiveness of action taken: Discussed meeting during audit and reviewed minutes.			
<b>CORRECTIVE ACTION IMPLEMENTATION ACCEPTANCE REPORT</b> (To be completed by Bureau Veritas Certification – Acceptance of Corrective Action taken)			
Accepted:	Yes	X	No
Nonconformance Closed:	Yes	X	No
Follow Up Comments:	None		
Auditor:	Steve Tomlin	Date:	4/27/2016