



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

390 Benmar Drive, Suite 100
Houston, TX 77060

Phone (281) 986-1300: Toll Free (800) 937-9311

Company Name	Maine Bureau of Parks and Lands, Lands Division (STATE OF MAINE)
Contact Person	Thomas Charles
Address	22 SHS, Augusta, ME 04333
Phone / Fax	Phone: 207.941.4412
PQC Code	E01E

Contract Number:	US.1071418	Certification Audit:		Re-Certification Audit:		X	Surveillance: (Indicate visit # or Pre-Assessment)	
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Audit Summary
Introduction
<p>This report summarizes the results of the certificate renewal audit process conducted on the State of Maine’s Department of Conservation Bureau of Parks and Lands’ SFI program for forest management operations on their 556,121 acres of public lands. The audit occurred November 4-7, 2014 in the State’s East Region. Mr. Brian Callaghan, Bureau Veritas Certification Lead Auditor, served as lead auditor throughout the audit process. Mr. Steve Tomlins and Mr. Carry Potter CWB served as audit team members.</p>
Audit Scope, Objectives and Process
<p>The scope of the audit is “Management of Maine Public Lands”. The audit was conducted against the SFI 2010-2014 Standard. A document review was conducted at the company’s Eastern regional office in Bangor Maine. Objectives 1 through 7 and 14 through 20 were covered in their entirety at the regional office. The objective of the document review was 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. Field-level and region-specific indicators in SFIS Objectives 1 through 7 and 14, 16 and 17 were covered during the field audits. The objective of the field audits was to verify whether the Program Participant has effectively implemented its SFI Standard program requirements on the ground. There was no substitution or modification of indicators. 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.</p>
Audit Plan
<p>The audit began and ended with opening and closing meetings held at the Eastern Regional office in Bangor Maine. The audit involved a review of Bureau documents and data, selection of field sites for inspection, field inspections of 11 tracts where operations have recently occurred or were occurring, and visits to a variety of recreation values (i.e. trails, campsites, boat launches). A copy of the audit plan is available at the Bureau Veritas Certification’s Houston office.</p>

Company Information

The Maine Department of Agriculture, Conservation and Forestry is composed of four bureaus; Bureau of Agriculture, Food and Rural Resources, the Bureau of Forestry, Bureau of Resource Information and Land Use Planning, and the Bureau of Parks and Lands. The Bureau of Parks and Lands manages 556,121 acres of forest lands acquired through the *Lands for Maine's Future* program. Management of these "public reserved" lands is the responsibility of the Division of Lands within the Bureau of Parks and Lands (the Bureau or BPL). For the purposes of forest management the Bureau is organized into three regions (North, East, and West). The State holds all ownership rights to its lands and all areas are open to public recreation activities.

The Public Reserved Lands are managed for multiple-uses under a "dominant use" system which ensures that sensitive resources such as rare plants and backcountry recreation areas are not disturbed by more intensive management activities. The mission of the Bureau is to improve the value of the public forests it manages. Bureau staffs develop long-term forest management plans and stand level silvicultural prescriptions. The State Forests lands are 40% mixed woods, 31% softwoods and 29% hardwood. The forests managed by the Bureau are generally older than the surrounding forests and the Bureau has identified old growth forests throughout their ownership. Partial harvest techniques are used to harvest and regenerate the forest. Harvest sales are normally sold "on the stump" with the purchaser being responsible for all harvesting and transportation costs. Harvest activities are monitored.

Audit Results

Objective 1 – Forest Management Planning

State lands managed by the Bureau of Parks and Lands of the Maine Department of Agriculture, Conservation, and Forestry are managed with the objective of improving the value of the forest resource. This objective has lead the Bureau to manage lands in such a way as to improve the condition of the forest, rather than maximizing timber or revenue production. Multiple use management is a critical component of the bureau's approach with a heavy emphasis on non-motorized recreational activities. Harvest levels have traditionally been well below the annual growth in the forest. Resource analysis shows that the current harvest is less than 60% of annual growth. Legislature continues to look at increasing the available harvest. The current inventory is stand based and relies on FIA data. A new inventory is being prepared by a consultant based in 2013/2014 photography.

Forest management on BPL lands relies on uneven-aged management and partial harvesting systems to naturally regenerate forests of native species. Even-aged management and clear cutting are rarely used with average clearcut size being extremely small (e.g. 1 to 2 hectares). Rotation ages are longer than average in the region ranging from 60 to 120 years. A 15 to 20 year cutting cycle is used in the uneven-aged hardwood stands.

Objective 2 – Forest Productivity

Silvicultural prescriptions are made under the Prescription Review and Multiple Use Report. All managed areas are under natural regeneration methods of management. There is a Harvest Evaluation Report that is completed after each area is harvested. In this report, there is a regeneration damage

assessment that is assessed for post-harvest conditions. The targeted leave trees or desirable species are noted in the Stand Prescription and Management Recommendations.

There has been management applications used at the stand level to target the harvest of spruce within a timbered stand to reduce the threat of spruce budworm. The Bureau has a policy in place to protect the forest resource against loss or damage in their Integrated Forest Policy manual.

There was no rutting observed during the field audit and little or no damage from skid trails. Maine Bureau of Parks and Lands has a Soil Disturbance Policy requiring staff and contractors to take all steps and precautions, including BMP implementation, to avoid and minimize soil disturbance. This criteria is also applied in the Harvest Evaluation report. Maine B of P&L follows the Maine BMP handbook in their use of erosion control methods to improve soil and site productivity.

Objective 3 – Protection and Maintenance of Water Resources

Site reports are utilized to document inspections and BMP compliance. Use of trained loggers and supervision by professional foresters comprise the BMP implementation program. , BMP programs are designed to provide the required level of protection needed to meet specific elements within the indicator. Operations are set up to be harvested during set operating seasons. No evidence of accelerated soil erosion on any of the sites visited. Mechanical harvesting used throughout with slash being scattered in the forest and on designated trails. Seasonal harvest and road/trail use restrictions are in place as needed and as determined by the forester in charge.

BPL personnel routinely consult with state agency personnel on matters related to water quality and fish habitat. Streams are mapped. Streamside zones and wet areas are typically no harvest zones. No evidence of non-compliance with water body protection requirements on any of the sites visited.

In one instance approaches to a stream crossing and skidder bridge were not properly stabilized when the ground became too wet to work. Mud entered the stream, and would continue to do so during the next rain event. Maine BMPs state that to “minimize and stabilize exposed soil and crossing approaches” is a highest priority practice. A minor non-conformance was issued in relation to this situation.

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

Biodiversity, wildlife protection, habitat enhancement, and protection and diversification of ecological community types are primary objectives throughout Maine BPL’s entire program, and implementation was confirmed on 7 of 11 tracts field inspected. (remaining sites were roads or recreation).The Forester Guidelines, which contain wildlife guidelines and protections for other ecological values such as vernal pools, is used and is currently under revision. Though there are few identified T&E species present, protection and habitat enhancement are priorities for Maine BPL. T&E knowledge and implementation was confirmed during field inspections and documentation checked.

No FECVs were identified during the audit, though program implementation was confirmed during field inspections and documentation checked. Old-growth is protected on the almost 100,000 acres of Ecological Reserves, where no harvesting is permitted. A Natural Resource inventory has been completed across Maine BPL forestland, and patches of old-growth outside the Eco Reserves has been identified, mapped and protected. Though very limited due to harvesting practices over the past 150 years, Maine BPL lands are a primary reserve of the remaining old-growth.

Objective 5 – Management of Visual Quality and Recreational Benefits

Recreation is a primary use of the Maine BPL forestland and water resources, with numerous camping, boating, fishing, hiking hunting, site-seeing, etc. opportunities provided in most cases at no cost to the public. Maine BPL forests are heavily used for many types of recreation, making aesthetics an important component of all management activities performed. Implementation was uniformly excellent at all 11 field sites inspected. Light-tough harvesting practices, buffers and leave strips were standard practice. There was no evidence of trash or spills or abandoned equipment or containers.

Maine BPL does minimal clear-cutting. Those that exist are two acres or less in size, called patch clear-cuts, and are for the purpose of stand and wildlife habitat improvement. Confirmation of this practice was in evidence on all field inspections

Objective 6 – Protection of Special Sites

Maine Bureau of Parks and Lands designated a 60 acre area around Gassabias Lake as a special site. This area includes an exemplary late-successional/old growth White Pine – Mixed conifer forest. The Wassataquoik Public Lot is another of these special sites. The special sites mentioned previously are identified both on the ground and designated on maps to pinpoint their location. These sites are characterized in the management plan and made available to stakeholders and publicly via their web site.

Objective 7 – Efficient Use of Forest Resources

During the audit high levels of wood utilization were found on all sites inspected. Maine B of P&L uses a Harvest Evaluation report and Permittee Evaluation Report to grade the contractor's performance as a forest harvesting. All logging contractors are required to be master logger trained. This information is verified by checking the Maine Forestry Association website.

Objective 14 – Legal and Regulatory Compliance

The Maine Forest Practices Act, BMP Manual and the Integrated Resource Plans are at every regional office. Compliance with these documents keeps the Bureau in compliance with applicable laws and regulations. Contracts (stumpage, special activity permits, etc.) are developed centrally at the Augusta office and trained employees do not need to know laws and regulations behind them to stay in compliance.

Health and safety and labor regulations are managed by the state Human Resources department via the Natural Resource Service Center at the state level to maintain compliance with all applicable laws and regulations which respect the rights of all employees and the intent of the core ILO conventions.

Objective 15 – Forestry Research, Science, and Technology

The Bureau contributes to the Maine Cooperative Forest Research Unit contributing \$0.05 per acre. (\$23,700 annually). Applied forestry, biodiversity and wildlife research as applied on the ground. In-kind cooperation using ME BPL lands. The Bureau is an active participant in the Maine SIC. They

also cooperate with the Maine Forest Service (MSF) on BMP compliance efforts. They also participate in random MSF water quality inspections on BPL land.

Objective 16 – Training and Education

The Bureau has a written statement in their regional Management Plans that shows their commitment to the SFI 2010-2014 Standard. This document is available throughout the organization. The Bureau does not have an active training program that is sufficient to their roles and responsibilities minor non-conformance was issued

All logging contractors are required to be master logger trained. This information is verified by checking the Maine Forestry Association website.

Objective 17 – Community Involvement in the Practice of Sustainable Forestry

The Bureau is an active committee member in the Maine SFI SIC and are up to date on the dues required to participate in the SIC Committee. The Maine SIC committee actively participates in many outreach programs such as the Forest Health Program that is offered for foresters, state and local organizations, and other professional group. These programs all promote sustainable forest management. The Maine SIC committee actively participates in a wildlife sub-committee that provides landowners with information on threatened and endangered species, species of concern such as the Northern Long-Eared Bat, and other topics of regional concern for wildlife and habitats

Objective 18 – Public Land Management Responsibilities

The lands the Bureau manages are public lands with a statutory designation to manage state parks, historic sites, public persevered lands, and non-reserved lands. The Bureau has a detailed and public planning process for each of its forest. Forest management plans are 15 year comprehensive management plans which are reviewed and revised if necessary. The planning process starts with advisory committee involving the general public, adjoining landowners, ENGOs, etc. who are invited via direct contact seeking broad representation. Draft plan goes to a public meeting to solicit public feedback. When tribal lands are within a plan, affected tribes are directly contacted to be on advisory committee, and are invited to provide input throughout.

Objective 19 – Communications and Public Reporting

The 2013 SFI audit report meeting all requirements was viewed on the SFI Inc. website

Objective 20 – Management Review and Continual Improvement

Regional Managers meetings are held on a monthly basis to review program delivery and performance. SFI topics are always on the agenda

Findings

Previous non-conformances:

No non-conformances were issued during the previous audit.

Non-conformances:

1. Approaches to a crossing on an active stream in Compartment 33 Stand 21 of the

Nahmakanta Unit were churned and not adequately stabilized, and excessive amounts of mud were found on the temporary bridge indicating that sediment had and would continue to enter the waters of the state. Maine BMPs list as “highest priority” BMPs 1) minimize and stabilize exposed soil and crossing approaches, and 2) control runoff on approaches. (PM 3.1)

2. Maine Bureau of Parks and Lands does not have an active training program that is sufficient to their roles and responsibilities in relation to the SFI standard. (Ind 16.1.3)

Opportunities for Improvement:

1. Soil maps should be included in the files for each individual harvest units or management areas (Ind. 2.3.1)
2. Management of harvest residue should be noted in the Evaluation reports. (Ind. 7.1.1)
3. Definition of qualified logging professional: “for a logging crew to be considered trained, each crew must operate under the direction of an individual with on-site responsibility, who has completed the SIC approved...logger training program.” In one BPL Unit, five logging crews were under the direction of a single trained forester. Though technically in compliance with the standard, Maine BPL should consider whether or not this is effective in meeting its intent. (Ind. 16.1.5)

Notable Practices:

Logo/label use:

The State of Maine Bureau of Parks and Lands does not use either the SFI or Bureau Veritas trademarks.

SFI reporting:

The Bureau’s previous audit reports were found on the SFI website as required for public reporting.

Conclusions

Results of the audit indicate that the Bureau of Parks and Lands is implementing an effective SFI program that meets the requirements of the SFI 2010-2014 Standard. The lead auditor issued a recommendation for renewed certification to the SFI 2010-2014 Standard.

Surveillance audit schedule

The first surveillance audit should begin prior to December, 2015.

SEE SF61 FOR AUDIT NOTES

Summary of Audit Findings:						
Audit Date(s):	From: November 4, 2014			To: November 7, 2014		
Number of SF02's Raised:	Major:		0	Minor:		2
Is a follow up visit required:	Yes	No	X	Date(s) of follow up visit:		
Follow-up visit remarks:						
Team Leader Recommendation:						
Corrective Action Plan (s) Accepted	Yes	X	No	Date:	Dec 18/14	
Proceed to/Continue Certification	Yes	X	No	Date:	Dec 18/14	
All NCR's Cleared	Yes	X	No	Date:	Dec 18/14	
Standard audit conducted against:						
1)	SFI 2010-2014		3)			
2)			4)			
Team Leader (1):		Team Members (2,3,4...)				
Brian Callaghan RPF CEA(SFM)		2) Steve Tomlin				
		3) Carey Potter				
		4)				
		5)				
Scope of Supply: (scope statement must be verified and appear in the space below)						
Management of Maine Public Lands						
Accreditation's	ANAB					
Number of Certificates	1					
Proposed Date for Next Audit Event						
Date	November 2015					
Audit Report Distribution						
Maine Conservation, Bureau of Parks & Lands: Tom Charles - tom.t.charles@maine.gov						
Bureau Veritas Certification: Melani Potts-melani.potts@us.bureauveritas.com						



SF02/NA NONCONFORMITY REPORT

Maine Bureau of Parks and Land		SF02#:	
Contract #:		Type of audit (e.g., initial, surveillance):	
US.1071418		Recertification	
Date:		Standard and Clause #:	
6 Nov 2014		SFIS 2010-2014 PM 3.1	
Major		Other Documents (if applicable):	
Minor		Company Representative:	
X		Tom Charles	
REQUIREMENT OF AUDITED STANDARD:			
Program participants shall meet or exceed best management practices...			
OBSERVED NONCONFORMITY AND, for FSC only, CORRECTIVE ACTION REQUEST:			
Approaches to a crossing on an active stream in Compartment 33 Stand 21 of the Nahmakanta Unit were churned and not adequately stabilized, and excessive amounts of mud were found on the temporary bridge indicating that sediment had and would continue to enter the waters of the state. Maine BMPs list as "highest priority" BMPs 1) minimize and stabilize exposed soil and crossing approaches, and 2) control runoff on approaches.			
ROOT CAUSE ANALYSIS AND CORRECTIVE ACTION PLAN (To be completed by the Company. Plan to be submitted in 30 days)			
Corrective Action Plan Date:	12/5/14	Company Representative:	Thomas Charles
Root Cause Analysis and Corrective Action			
<p>Root Cause: The logging crew either was not given sufficient guidance to stop skidding through mud onto the crossing, or chose to ignore it. Supervision (contractor's foreman and/or BPL staff) was not present to prevent use of skidder bridge in muddy conditions.</p> <p>Corrective Action Plan: Crew was moved to a drier area, mud was cleared off crossing, and all exposed soil on slopes to the crossing was mulched. Harvest block will be completed on fully frozen ground. The crossing will be removed and the area waterbarred, seeded, and mulched prior to the next growing season. The Bureau has acquired longer temporary skidder bridges for use on crossings such as this one. Contractor's foreman has been advised concerning inadequate supervision, and BPL will work to ensure proper supervision on all operations. Ontractor prepared a plan (short term and longterm) addressing crossings and crew supervision.</p>			
ROOT CAUSE AND CORRECTIVE ACTION PLAN ACCEPTANCE REPORT (To be completed by Bureau Veritas Certification – Verify effective identification of Root Cause and acceptance of Corrective Action Plan)			
Root Cause: Acceptable Corrective Action Plan: Acceptable			
Plan Accepted:	Yes	X	No
Comments:			
Auditor:	Brian callaghan		Date: Dec 18, 2014
CORRECTIVE ACTION IMPLEMENTATION			
To be completed by Company – Provide objective evidence. Not to exceed: 90 Days SFI, PEFC X; 1 year FSC <input type="checkbox"/> ; other <input checked="" type="checkbox"/> X Days			
Corrective Action Completion Date:	Dec 5/2014	Company Representative:	Tom Charles
Corrective Action Implementation: Crossing repaired as much as possible given the frozen condition. It will be completed in spring Method used to verify effectiveness of action taken: document review, correspondence review			
CORRECTIVE ACTION IMPLEMENTATION ACCEPTANCE REPORT (To be completed by Bureau Veritas Certification – Acceptance of Corrective Action taken)			
Accepted:	Yes	X	No
Nonconformance Closed:	Yes	X	No

Follow Up Comments:			
Auditor:	Brian Callaghan	Date:	Dec 18/14



SF02/NA NONCONFORMITY REPORT

		SF02/NA NONCONFORMITY REPORT								
Company Name and Site:							<u>SF02#:</u>			
Maine Department of Parks and Lands							2			
Contract #:		Type of audit (e.g., initial, surveillance):				Team Leader:				
		Renewal				Brian Callaghan				
Date:		Standard and Clause #:				Team Member:				
Nov 7, 2014		SFIS 2010-2014, PM 16.1 3				Carey Potter				
Major	Minor	Other Documents (if applicable):				Company Representative:				
	X					Tom Charles				
REQUIREMENT OF AUDITED STANDARD:										
16.1 Program Participants shall require appropriate training of personnel and contractors so that they are competent to fulfill their responsibilities under the SFI 2010-2014 Standard										
3) Staff education and training sufficient to their roles and responsibilities										
OBSERVED NONCONFORMITY:										
Maine Bureau of Parks and Lands does not have an active staff training program that is sufficient to their roles and responsibilities with regards to the SFI Standard. Staff interviewed were not very familiar with the standard and how it impacts their work.										
ROOT CAUSE ANALYSIS AND CORRECTIVE ACTION PLAN (To be completed by the Company. Plan to be submitted in 30 days)										
Corrective Action Plan Date:		Originally sent 12/5/14		Company Representative:			Thomas Charles			
Root Cause Analysis and Corrective Action										
Root Cause: Follow-up training for this purpose was not performed in 2014, as the Bureau did not hold its usual spring training meeting, due to financial constraints.										
Corrective Action Plan: The Bureau's 2015 spring training meeting will include instruction in the applicable principles, objectives, and performance measures within the 2015-2019 Standard. The Bureau will work with the Education subcommittee of the State Implementation Committee to host field-oriented training session(s) with both BPL field staff and contractors working on BPL lands in attendance whenever feasible.										
ROOT CAUSE AND CORRECTIVE ACTION PLAN ACCEPTANCE REPORT (To be completed by Bureau Veritas Certification – Verify effective identification of Root Cause and acceptance of Corrective Action Plan)										
Root Cause: Acceptable										
Corrective Action Plan: Acceptable										
Plan Accepted:		Yes	X	No		Comments:				
Auditor:		Brian callaghan				Date:		Dec 18/14		
CORRECTIVE ACTION IMPLEMENTATION										
To be completed by Company – Provide objective evidence. Not to exceed: 90 Days <input checked="" type="checkbox"/> 1 Year <input type="checkbox"/>										
Corrective Action Completion Date:		Dec 4/14		Company Representative:			Tom Charles			
Corrective Action Implementation: Training has been planned for spring, agenda has been set										
Method used to verify effectiveness of action taken: review training agenda										
CORRECTIVE ACTION IMPLEMENTATION ACCEPTANCE REPORT (To be completed by Bureau Veritas Certification – Acceptance of Corrective Action taken)										
Accepted:		Yes	X	No		Nonconformance Closed:		Yes	X	No
Follow Up Comments:										

Auditor:	Callaghan	Date:	Dec 18/14