

# FOREST MANAGEMENT AND STUMP-TO-FOREST GATE CHAIN-OF-CUSTODY SURVEILLANCE EVALUATION REPORT

*Indiana Department of Natural Resources,  
Division of Forestry, Classified Forest & Wildlands Program  
Indiana, USA*

**SCS-FM/COC-00123N**  
**402 West Washington Street, Room W296**  
**Indianapolis, Indiana, 46204**  
**Brenda Huter, BHuter@dnr.IN.gov**  
<http://www.in.gov/dnr/forestry/4801.htm>

CERTIFIED	EXPIRATION
15 March 2015	14 March 2020

DATE OF FIELD EVALUATION
25/26 October 2018
DATE OF LAST UPDATE
21 December 2018

*SCS Contact:*  
**Brendan Grady** | Director  
Forest Management Certification  
+1.510.452.8000  
[bgrady@scsglobalservices.com](mailto:bgrady@scsglobalservices.com)



2000 Powell Street, Ste. 600, Emeryville, CA 94608 USA  
+1.510.452.8000 main | +1.510.452.8001 fax  
[www.SCSglobalServices.com](http://www.SCSglobalServices.com)

## Foreword

Cycle in annual surveillance evaluations				
<input type="checkbox"/> 1 <sup>st</sup> annual evaluation	<input type="checkbox"/> 2 <sup>nd</sup> annual evaluation	<input type="checkbox"/> 3 <sup>rd</sup> annual evaluation	<input checked="" type="checkbox"/> 4 <sup>th</sup> annual evaluation	<input type="checkbox"/> Other (expansion of scope, Major CAR audit, special audit, etc.):
Name of Forest Management Enterprise (FME) and abbreviation used in this report:				
Indiana Department of Natural Resources (DNR), Division of Forestry (DOF); FME; Indiana Classified Forests and Wildlands Certified Group (ICFCG).				

All certificates issued by SCS under the aegis of the Forest Stewardship Council (FSC) require annual evaluations to ascertain ongoing conformance with the requirements and standards of certification. A public summary of the initial evaluation is available on the FSC Certificate Database <http://info.fsc.org/>.

Pursuant to FSC and SCS guidelines, annual / surveillance evaluations are not intended to comprehensively examine the full scope of the certified forest operations, as the cost of a full-scope evaluation would be prohibitive and it is not mandated by FSC evaluation protocols. Rather, annual evaluations are comprised of three main components:

- A focused assessment of the status of any outstanding conditions or Corrective Action Requests (CARs; see discussion in section 4.0 for those CARs and their disposition as a result of this annual evaluation);
- Follow-up inquiry into any issues that may have arisen since the award of certification or prior to this evaluation; and
- As necessary given the breadth of coverage associated with the first two components, an additional focus on selected topics or issues, the selection of which is not known to the certificate holder prior to the evaluation.

### Organization of the Report

This report of the results of our evaluation is divided into two sections. Section A provides the public summary and background information that is required by the Forest Stewardship Council. This section is made available to the public and is intended to provide an overview of the evaluation process, the management programs and policies applied to the forest, and the results of the evaluation. Section A will be posted on the FSC Certificate Database (<http://info.fsc.org/>) no less than 90 days after completion of the on-site evaluation. Section B contains more detailed results and information for required FSC record-keeping or the use by the FME.

## Table of Contents

---

SECTION A – PUBLIC SUMMARY .....	4
1. GENERAL INFORMATION .....	4
1.1 Evaluation Team.....	4
1.2 Total Time Spent on Evaluation .....	4
1.3 Standards Used .....	4
2. CERTIFICATION EVALUATION PROCESS .....	5
2.1 Evaluation Itinerary, Activities, and Site Notes.....	5
2.2 Evaluation of Management Systems .....	7
3. CHANGES IN MANAGEMENT PRACTICES .....	7
4. RESULTS OF EVALUATION .....	7
4.1 Definitions of Major CARs, Minor CARs and Observations.....	7
4.2 History of Findings for Certificate Period.....	8
4.3 Existing Corrective Action Requests and Observations .....	8
4.4 New Corrective Action Requests and Observations .....	12
5. STAKEHOLDER COMMENTS .....	15
5.1 Stakeholder Groups Consulted .....	16
5.2 Summary of Stakeholder Comments and Evaluation Team Responses .....	16
6. CERTIFICATION DECISION .....	16
7. ANNUAL DATA UPDATE .....	16
SECTION B – APPENDICES (CONFIDENTIAL).....	23
Appendix 1 – List of FMUs Selected for Evaluation .....	23
Appendix 2 – Staff and Stakeholders Consulted.....	24
Appendix 3 – Additional Evaluation Techniques Employed .....	24
Appendix 4 – Pesticide Derogations .....	24
Appendix 5 – Forest Management Standard Conformance Table .....	25
Appendix 6 – Chain of Custody Indicators for FMEs Conformance Table .....	48
Appendix 7 – Trademark Standard Conformance Table.....	52
Appendix 8 – Group Management Program.....	57

## SECTION A – PUBLIC SUMMARY

### 1. General Information

#### 1.1 Evaluation Team

<b>Auditor Name:</b>	Beth Jacqmain	<b>Auditor role:</b>	FSC Lead Auditor, SFI Auditor
<b>Qualifications:</b>	<p>Ms. Jacqmain is a Certification Forester with SCS Global Services. Master of Science in Forest Biology/Ecology from Auburn University and Bachelor of Science in Forest Management. Beth has 20+ years’ experience in forestry including public land management, private consulting, and private corporate forest management working with landowners and harvest crews. Qualified ANSI RAB accredited ISO 14001 EMS Lead Auditor and a FSC Lead Auditor for Forest Management/Chain of Custody. Audited and led FSC evaluations, harvest and logging operations certification audits; and joint/combined PEFC (AFS, RW, SFI, ATFS) audits. A 10-year member of the Forest Guild, 20-year adjunct-Faculty with Itasca Community College, Natural Resources Department. Member 20+ years Society of American Foresters, served MN State Chair 2010 and multiple committees throughout. Beth’s experience is in forest management and ecology; ecosystem silviculture; the use of silviculture towards meeting strategic and tactical goals; nursery/tree regeneration; forest timber quality improvement (sawmill/veneer), conifer thinning operations, pine restoration, wildfire fighting, and fire ecology in conifer dominated systems. Beth has conducted evaluation throughout the United States, and in Australia, New Zealand, Fiji Islands (Viti levu), and Slovakia. Beth has experience in forest ecology and management in the Midwest, Pacific Northwest, and the southeastern US (oak ecology in longleaf pine-wiregrass systems).</p>		
<b>Auditor Name:</b>	Ruthann M. Schulte	<b>Auditor role:</b>	SFI Lead Auditor, FSC Auditor
<b>Qualifications:</b>	<p>For decades Ruthann has worked on issues related to landscape management, wildlife management, and the long-term stewardship of private forest and ranch lands. Over her career, she has coordinated forest certification programs for private industry. Ruthann holds a B.S. in Biology from Siena Heights College in Adrian, Michigan and a Master of Biology from the University of Louisville in Louisville, Kentucky. She is an ISO 14001 accredited auditor and has served on internal audit teams for ISO 9001. Ms. Schulte is an auditor for the SCS Forest Management and Chain of Custody programs.</p>		

#### 1.2 Total Time Spent on Evaluation

A. Number of days spent on-site assessing the applicant:	2
B. Number of auditors participating in on-site evaluation:	2
C. Number of days spent by any technical experts (in addition to amount in line A):	0
D. Additional days spent on preparation, stakeholder consultation, and follow-up:	2
<b>E. Total number of person days used in evaluation:</b>	<b>6</b>

#### 1.3 Standards Used

All standards used are available on the websites of FSC International ([www.fsc.org](http://www.fsc.org)) or SCS Global Services ([www.SCSglobalServices.com](http://www.SCSglobalServices.com)). All standards are available on request from SCS Global Services via the comment form on our

website. When no national standard exists for the country/region, SCS Interim Standards are developed by modifying SCS's Generic Interim Standard to reflect forest management in the region and by incorporating relevant components of any Draft Regional/National Standard and comments from stakeholders. More than one month prior to the start of the field evaluation, SCS Draft Interim Standards are provided to stakeholders identified by FSC International, SCS, forest managers under evaluation, and the FSC National or Regional Office for comment. SCS's COC indicators for FMEs are based on the most current versions of the FSC Chain of Custody Standard, FSC Standard for Group Entities in Forest Management Groups (FSC-STD-30-005), and FSC Accreditation Requirements.

Standards used <i>NOTE: Please include the full standard name and version number and check all that apply.</i>	<input checked="" type="checkbox"/> Forest Stewardship Standard(s), including version: <b>FSC US Forest Management (2010) with Family Forest Indicators</b>
	<input checked="" type="checkbox"/> SCS COC indicators for FMEs, V7-0
	<input checked="" type="checkbox"/> FSC Trademark Standard (FSC-STD-50-001 V2-0)
	<input checked="" type="checkbox"/> FSC standard for group entities in forest management groups (FSC-STD-30-005), V1-1
	<input type="checkbox"/> Other:

## 2. Certification Evaluation Process

### 2.1 Evaluation Itinerary, Activities, and Site Notes

Date: Thursday, October 25, 2018 Jacqmain and Schulte	
FMU / location / sites visited	Activities / notes
Clark State Forest Office	Opening Meeting: Introductions, client update, review audit scope, audit plan, intro/update to FSC and SCS standards, confidentiality and public summary, conformance evaluation methods and tools review of open CARs/OBS, emergency and security procedures for evaluation team, final site selection.
Steven Heil Tract 10-0063 About 80 acres total in two tracts	Mixed hardwood stand with single tree selection. Harvested in 2017. The tract was impacted by the 2012 tornado. Thinning on the 16-acre parcel. DF had not been informed of harvest, discovered activity driving by the site. DF stopped and conducted a site inspection post-harvest and identified BMP implementation issues such as rutting. A letter was sent to the landowner requesting mitigation of the issues. The landowner has since decided to withdraw from the "Green" program but remains in the Classified (non-FSC) program. The material was not sold as FSC certified. This sale was selected for BMP monitoring by the state as part of the state-wide BMP monitoring program.
Gibson Tract 72-0095 About 92 acres total in two tracts	Mixed hardwood with a dominant species of poplar. There was a harvest on this tract a couple of years ago. In March 2017 there was a wind event with 60 mph straight line winds resulting in blowdown. A salvage harvest was recently conducted to capture that blowdown. The sale was monitored by a trained consulting forester. The DF was informed of the sale prior to operations and the material was sold as FSC certified. Consultant conducted pre-harvest meeting in this case.
Burton Lumber 39-0103 80 acres in two tracts	Mixed hardwood stand with declining ash. Single tree selection/ash salvage. Harvest conducted in 2017 by owner. DF was informed of the harvest because of the annual report otherwise no notification. The forest management plan had identified the ash issue and recommended removal. Soil erosion, water bars issue, rutting on site, addressed by landowner after letter by forester. No pre-harvest meeting. Landowner voluntarily withdrew from the program.
Date: Thursday, October 25, 2018 Jacqmain and Schulte	

Werner Tracts 69-0024 & 69-0046 About 59 acres total in two tracts	Mixed hardwood stand harvested with single tree selection in April/May 2017. Took out red oak, white oak, and some ash. Mainly mature trees and mortality. Property is adjacent to Versailles State Park. Laughery Creek wraps around about half of the parcel. Landowner had some issues with the logger -- residual damage, improperly installed waterbars, and merchantable logs left in the woods. Landowners accompanied auditors on site visit.
Riddle 69-0250 60 acres	New enrollee, complete desk audit of files. TSI treatment for grape-vine and trail improvements. Reviewed FMP. No issues.
Beach Family Trust Tract 69-0188 37 acres	Mixed hardwood stand harvested with single tree selection in January 2018. Newly acquired parcel from a family member. Landowner marked it himself and hired out for cutting and skidding. Avoided harvest on steep slopes and felled away from slope. Landowner accompanied auditors on site visit. Material was not sold as FSC certified.
<b>Date: Friday, October 26, 2018</b>	
District 20 Field Office (Jacqmain)	Review of forester training records. Ecological trainings, sensitive forest concerns, TSI marking, Division meeting, and other trainings.
Schulenburg, 36-0069 (Jacqmain)	TSI using 2,4-D (non-hazardous formulation) for grape-vine control. Monitoring done by District Forester for reporting monitoring results as part of federal funding requirements.
Schulenburg, 36-0093 (Jacqmain)	Same as above. Also examined FMP. Second part 15-year-old planting of white ash and white oak with small amounts of black and red oaks, tulip poplar allowed to naturally regenerate.
McKinney, 36-0082 (Jacqmain)	Thinning done in summer 2017. Examined harvest area, skid trails. Steep section with properly installed waterbars. Discussion RE: damage to residuals along main skid trail, not an issue.
Reinark, 36-0087 8.8 acres (Jacqmain)	Salvage harvest 2017, following blowdown event. FMP from 2016. Harvest done by nearby landowner. Primary objective for landowner is hunting. Discussions: loss of FSC group membership since changes in default membership to "opt-in" and also local consultants informing landowners withdrawal from FSC program requisite to timber harvesting.
Ruth Russell Revocable Trust Tracts 40-0290 & 40-0049 Total of about 163 acres (Schulte)	Harvested in spring to fall 2018. Conducted ash salvage and single tree selection on mixed hardwood stand. Landowner is working with consulting forester on extensive invasives work and TSI. The forester has a piece of equipment called a Gyrotrac which cuts off most of the smaller woody stems. He follows with a brush saw. The next two years he'll return and conduct foliar spraying with an ATV. Harvested material was not sold as FSC certified. Met with landowner. Consulting forester accompanied auditor on site visit.
Bohlke Veneer Tract 40-0304 About 94 acres (Schulte)	Marked hardwood stand. The owner is the buyer but will contract out the logging. Single tree selection with a few small openings. Several areas of the property were old fields. Lower quality species growing on the old fields. Creating openings in these areas to encourage higher quality species regeneration. No trees marked adjacent to the Blue River that borders the property. Property manager will administer the sale. Property manager accompanied auditor on site visit. Material will be sold as FSC certified.
Zalkin Tract 40-0167 About 72 acres (Schulte)	Harvest completed 2017. Single tree selection on mixed hardwood stand. Sand Creek surrounds land on three sides. Steep slopes and stream buffer avoided. Observed some BMPs in place. Material not sold as FSC certified. Sale selected for BMP monitoring.
St. John Family Tract 40-0250 & 40-0249 Total of about 73 acres	No harvest on property in decades. Property primarily managed for wildlife benefits. Wildlife plots plantings, brush piles, pollinator planting, warm season grasses planting, and pond creation. Met with landowner.

(Schulte)	
<b>Date: Friday, October 25, 2018 Jacqmain and Schulte</b>	
<b>FMU / location / sites visited</b>	<b>Activities / notes</b>
Jackson County Public Library W 2nd St & N Walnut St, Seymour, IN 47274	Closing Meeting Preparation: Auditors take time to consolidate notes and confirm evaluation findings
Jackson County Public Library	Closing Meeting: Review preliminary findings (potential non-conformities and observations) and discuss next steps.

## 2.2 Evaluation of Management Systems

SCS deploys interdisciplinary teams with expertise in forestry, social sciences, natural resource economics, and other relevant fields to assess an FME’s conformance to FSC standards and policies. Evaluation methods include reviewing documents and records, interviewing FME personnel and contractors, implementing sampling strategies to visit a broad number of forest cover and harvest prescription types, observing implementation of management plans and policies in the field, and collecting and analyzing stakeholder input. When there is more than one team member, each member may review parts of the standards based on their background and expertise. On the final day of an evaluation, team members convene to deliberate the findings of the assessment jointly. This involves an analysis of all relevant field observations, interviews, stakeholder comments, and reviewed documents and records. Where consensus among team members cannot be achieved due to lack of evidence, conflicting evidence or differences of interpretation of the standards, the team is instructed to report these in the certification decision section and/or in observations.

## 3. Changes in Management Practices

- There were no significant changes in the management and/or harvesting methods that affect the FME’s conformance to the FSC standards and policies.
- Significant changes occurred since the last evaluation that may affect the FME’s conformance to FSC standards and policies (*describe*):

## 4. Results of Evaluation

### 4.1 Definitions of Major CARs, Minor CARs and Observations

*Major CARs:* Major nonconformances, either alone or in combination with nonconformances of all other applicable indicators, result (or are likely to result) in a fundamental failure to achieve the objectives of the relevant FSC Criterion given the uniqueness and fragility of each forest resource. These are corrective actions that must be resolved or closed out before a certificate can be awarded. If Major CARs arise after an operation is certified, the timeframe for correcting these nonconformances is typically shorter than for Minor CARs. Certification is contingent on the certified FME’s response to the CAR within the stipulated time frame.

*Minor CARs:* These are corrective action requests in response to minor nonconformances, which are typically limited in scale or can be characterized as an unusual lapse in the system. Most Minor CARs are the result of nonconformance at the indicator-level. Corrective actions must be closed out within a specified time period of award of the certificate.

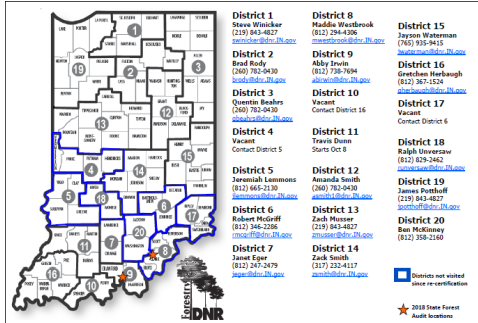
*Observations:* These are subject areas where the evaluation team concludes that there is conformance, but either future nonconformance may result due to inaction or the FME could achieve exemplary status through further refinement. Action on observations is voluntary and does not affect the maintenance of the certificate. However, observations can become CARs if performance with respect to the indicator(s) triggering the observation falls into nonconformance.

## 4.2 History of Findings for Certificate Period

FM Principle	Cert/Re-cert Evaluation	1 <sup>st</sup> Annual Evaluation	2 <sup>nd</sup> Annual Evaluation	3 <sup>rd</sup> Annual Evaluation	4 <sup>th</sup> Annual Evaluation
P1					
P2					
P3					
P4					
P5				OBS 5.1.a	Min 5.1.a
P6	Min 6.1.b, Min 6.3.f, OBS 6.5.c., Maj 6.6.a	OBS 6.5.c, Maj 6.6.a	OBS 6.3.h, OBS 6.6.a		Min 6.1.b
P7	OBS 7.1.a.viii, OBS 7.1.b., OBS 7.3.a			OBS 7.3.a, OBS 7.4.a	
P8	OBS 8.2.a.1, Min 8.5.a				
P9	Min 9.1.a	Maj 9.1.a	Min 9.1.c		
P10					
COC for FM	Min 2.2, Maj 3.2, Maj 4.1/4.2,				
Trademark					
Group	Min 1.4, OBS 3.1.v	OBS 3.1.v	OBS 3.1.v, OBS 5.1.ii, OBS 5.1.vi		Min 2.3, Min 3.2, Min 6.1
Other					

## 4.3 Existing Corrective Action Requests and Observations



<b>Finding Number: 2017.1</b>																						
<b>Select one:</b> <input type="checkbox"/> Major CAR <input type="checkbox"/> Minor CAR <input checked="" type="checkbox"/> Observation																						
<b>FMU CAR/OBS issued to (when more than one FMU):</b>																						
<b>Deadline</b>	<input type="checkbox"/> Pre-condition to certification/recertification <input type="checkbox"/> 3 months from Issuance of Final Report <input type="checkbox"/> 12 months or next audit (surveillance or re-evaluation) <input checked="" type="checkbox"/> Observation – response is optional <input type="checkbox"/> Other deadline (specify):																					
<b>FSC Indicator:</b>	FSC US FM 5.1.a																					
<b>Background/Justification:</b>																						
<p>With the planned retirements in late 2017 and 2018, DoF has is an anticipated 25% vacancy rate in District Foresters (DF). Additional changes include assigning several districts to various forestry staff to cover vacancies. The DNR has been filling some open vacancies, for example three new District Foresters were hired in 2017. However, the DNR has not provided evidence that a systematic management review of program service demands relative to District Forester capacity has been done, nor that such review is planned. Although the DNR is currently in conformance with the standard and able to meet this indicator, the issue of how investment/reinvestment in forester capacity to implement core management activities could be non-conformant in future years if capacity does not meet demand.</p>																						
<b>Corrective Action Request (or Observation):</b>																						
<p>The manager demonstrates capability to implement core management activities, including all those environmental, social and operating costs, required to meet this Standard, and investment and reinvestment in forest management.</p>																						
<b>FME response (including any evidence submitted)</b>	<p>FME provided an updated map and roster of District Foresters for the Classifieds program.</p>  <table border="1" style="font-size: small;"> <tr> <td><b>District 1</b> Steve Winkler (219) 643-4827 <a href="mailto:swinkler@dnr.in.gov">swinkler@dnr.in.gov</a></td> <td><b>District 8</b> Maddie Woodbrook (812) 294-4396 <a href="mailto:mwoodbrook@dnr.in.gov">mwoodbrook@dnr.in.gov</a></td> <td><b>District 15</b> Jayson Wiseman (765) 935-9415 <a href="mailto:jwiseman@dnr.in.gov">jwiseman@dnr.in.gov</a></td> </tr> <tr> <td><b>District 2</b> Brad Rody (260) 782-4430 <a href="mailto:brody@dnr.in.gov">brody@dnr.in.gov</a></td> <td><b>District 9</b> Abby Irwin (812) 290-9194 <a href="mailto:airwin@dnr.in.gov">airwin@dnr.in.gov</a></td> <td><b>District 16</b> Gretchen Herbergh (812) 383-5254 <a href="mailto:gherbergh@dnr.in.gov">gherbergh@dnr.in.gov</a></td> </tr> <tr> <td><b>District 3</b> Queenie Beahm (260) 782-0430 <a href="mailto:qbeahm@dnr.in.gov">qbeahm@dnr.in.gov</a></td> <td><b>District 10</b> Vacant Contact District 16</td> <td><b>District 17</b> Vacant Contact District 6</td> </tr> <tr> <td><b>District 4</b> Vacant Contact District 5</td> <td><b>District 11</b> Travis Dunn Starts Oct 8</td> <td><b>District 18</b> Ralph Overman (812) 629-2462 <a href="mailto:roverman@dnr.in.gov">roverman@dnr.in.gov</a></td> </tr> <tr> <td><b>District 5</b> Jenewah Lammoss (812) 665-2130 <a href="mailto:jlammoss@dnr.in.gov">jlammoss@dnr.in.gov</a></td> <td><b>District 12</b> Amanda Smith (260) 782-0430 <a href="mailto:asmith@dnr.in.gov">asmith@dnr.in.gov</a></td> <td><b>District 19</b> James Pothoff (219) 543-4827 <a href="mailto:jpoothoff@dnr.in.gov">jpoothoff@dnr.in.gov</a></td> </tr> <tr> <td><b>District 6</b> Robert McGriff (812) 546-2386 <a href="mailto:rmcgriff@dnr.in.gov">rmcgriff@dnr.in.gov</a></td> <td><b>District 13</b> Zach Musser (219) 565-4827 <a href="mailto:zmusser@dnr.in.gov">zmusser@dnr.in.gov</a></td> <td><b>District 20</b> Ben McKinney (812) 358-2160</td> </tr> <tr> <td><b>District 7</b> Janet Eger (812) 247-2479 <a href="mailto:jege@dnr.in.gov">jege@dnr.in.gov</a></td> <td><b>District 14</b> Zach Smith (317) 332-4117 <a href="mailto:zsmith@dnr.in.gov">zsmith@dnr.in.gov</a></td> <td></td> </tr> </table> <p> <input type="checkbox"/> Districts not visited since re-certification  <span style="color: red;">★</span> 2018 State Forest Audit locations       </p>	<b>District 1</b> Steve Winkler (219) 643-4827 <a href="mailto:swinkler@dnr.in.gov">swinkler@dnr.in.gov</a>	<b>District 8</b> Maddie Woodbrook (812) 294-4396 <a href="mailto:mwoodbrook@dnr.in.gov">mwoodbrook@dnr.in.gov</a>	<b>District 15</b> Jayson Wiseman (765) 935-9415 <a href="mailto:jwiseman@dnr.in.gov">jwiseman@dnr.in.gov</a>	<b>District 2</b> Brad Rody (260) 782-4430 <a href="mailto:brody@dnr.in.gov">brody@dnr.in.gov</a>	<b>District 9</b> Abby Irwin (812) 290-9194 <a href="mailto:airwin@dnr.in.gov">airwin@dnr.in.gov</a>	<b>District 16</b> Gretchen Herbergh (812) 383-5254 <a href="mailto:gherbergh@dnr.in.gov">gherbergh@dnr.in.gov</a>	<b>District 3</b> Queenie Beahm (260) 782-0430 <a href="mailto:qbeahm@dnr.in.gov">qbeahm@dnr.in.gov</a>	<b>District 10</b> Vacant Contact District 16	<b>District 17</b> Vacant Contact District 6	<b>District 4</b> Vacant Contact District 5	<b>District 11</b> Travis Dunn Starts Oct 8	<b>District 18</b> Ralph Overman (812) 629-2462 <a href="mailto:roverman@dnr.in.gov">roverman@dnr.in.gov</a>	<b>District 5</b> Jenewah Lammoss (812) 665-2130 <a href="mailto:jlammoss@dnr.in.gov">jlammoss@dnr.in.gov</a>	<b>District 12</b> Amanda Smith (260) 782-0430 <a href="mailto:asmith@dnr.in.gov">asmith@dnr.in.gov</a>	<b>District 19</b> James Pothoff (219) 543-4827 <a href="mailto:jpoothoff@dnr.in.gov">jpoothoff@dnr.in.gov</a>	<b>District 6</b> Robert McGriff (812) 546-2386 <a href="mailto:rmcgriff@dnr.in.gov">rmcgriff@dnr.in.gov</a>	<b>District 13</b> Zach Musser (219) 565-4827 <a href="mailto:zmusser@dnr.in.gov">zmusser@dnr.in.gov</a>	<b>District 20</b> Ben McKinney (812) 358-2160	<b>District 7</b> Janet Eger (812) 247-2479 <a href="mailto:jege@dnr.in.gov">jege@dnr.in.gov</a>	<b>District 14</b> Zach Smith (317) 332-4117 <a href="mailto:zsmith@dnr.in.gov">zsmith@dnr.in.gov</a>	
<b>District 1</b> Steve Winkler (219) 643-4827 <a href="mailto:swinkler@dnr.in.gov">swinkler@dnr.in.gov</a>	<b>District 8</b> Maddie Woodbrook (812) 294-4396 <a href="mailto:mwoodbrook@dnr.in.gov">mwoodbrook@dnr.in.gov</a>	<b>District 15</b> Jayson Wiseman (765) 935-9415 <a href="mailto:jwiseman@dnr.in.gov">jwiseman@dnr.in.gov</a>																				
<b>District 2</b> Brad Rody (260) 782-4430 <a href="mailto:brody@dnr.in.gov">brody@dnr.in.gov</a>	<b>District 9</b> Abby Irwin (812) 290-9194 <a href="mailto:airwin@dnr.in.gov">airwin@dnr.in.gov</a>	<b>District 16</b> Gretchen Herbergh (812) 383-5254 <a href="mailto:gherbergh@dnr.in.gov">gherbergh@dnr.in.gov</a>																				
<b>District 3</b> Queenie Beahm (260) 782-0430 <a href="mailto:qbeahm@dnr.in.gov">qbeahm@dnr.in.gov</a>	<b>District 10</b> Vacant Contact District 16	<b>District 17</b> Vacant Contact District 6																				
<b>District 4</b> Vacant Contact District 5	<b>District 11</b> Travis Dunn Starts Oct 8	<b>District 18</b> Ralph Overman (812) 629-2462 <a href="mailto:roverman@dnr.in.gov">roverman@dnr.in.gov</a>																				
<b>District 5</b> Jenewah Lammoss (812) 665-2130 <a href="mailto:jlammoss@dnr.in.gov">jlammoss@dnr.in.gov</a>	<b>District 12</b> Amanda Smith (260) 782-0430 <a href="mailto:asmith@dnr.in.gov">asmith@dnr.in.gov</a>	<b>District 19</b> James Pothoff (219) 543-4827 <a href="mailto:jpoothoff@dnr.in.gov">jpoothoff@dnr.in.gov</a>																				
<b>District 6</b> Robert McGriff (812) 546-2386 <a href="mailto:rmcgriff@dnr.in.gov">rmcgriff@dnr.in.gov</a>	<b>District 13</b> Zach Musser (219) 565-4827 <a href="mailto:zmusser@dnr.in.gov">zmusser@dnr.in.gov</a>	<b>District 20</b> Ben McKinney (812) 358-2160																				
<b>District 7</b> Janet Eger (812) 247-2479 <a href="mailto:jege@dnr.in.gov">jege@dnr.in.gov</a>	<b>District 14</b> Zach Smith (317) 332-4117 <a href="mailto:zsmith@dnr.in.gov">zsmith@dnr.in.gov</a>																					

<b>SCS review</b>	<p>2017: With the planned retirements in late 2017 and 2018, DoF has is an anticipated 25% vacancy rate in District Foresters (DF). Additional changes include assigning several districts to various forestry staff to cover vacancies. The DNR has been filling some open vacancies, for example three new District Foresters were hired in 2017. However, the DNR has not provided evidence that a systematic management review of program service demands relative to District Forester capacity has been done, nor that such review is planned. Although the DNR is currently in conformance with the standard and able to meet this indicator, the issue of how investment/reinvestment in forester capacity to implement core management activities could become non-conformant in future years if capacity does not meet demand.</p> <p>2018: At the time of the 2018 audit there were 4 vacancies in the 20 districts and a new forester had been hired to fill 1 vacancy, leaving 3 vacancies. District Foresters from different Districts were then required to cover districts still holding vacancies. There was no evidence presented of a systematic management review of program service demands relative to District Foresters (Observation 2017.1). Interview with staff indicated such a review may have been started but no results were presented. Given new evidence of insufficient conformance to the standard, see Minor CAR 2018.1 and 2018.2, this finding is being upgraded to a Minor from an observation and reclassified to the group manager standard from Obs 2017.1.</p>
<b>Status of CAR:</b>	<input type="checkbox"/> Closed <input type="checkbox"/> Upgraded to Major <input checked="" type="checkbox"/> <i>Other decision (refer to description above): Upgraded to Minor CAR 2018.1</i>

<b>Finding Number: 2017.2</b>	
<b>Select one:</b> <input type="checkbox"/> Major CAR <input type="checkbox"/> Minor CAR <input checked="" type="checkbox"/> Observation	
<b>FMU CAR/OBS issued to</b> (when more than one FMU):	
<b>Deadline</b>	<input type="checkbox"/> Pre-condition to certification/recertification <input type="checkbox"/> 3 months from Issuance of Final Report <input type="checkbox"/> 12 months or next audit (surveillance or re-evaluation) <input checked="" type="checkbox"/> Observation – response is optional <input type="checkbox"/> Other deadline (specify):
<b>FSC Indicator:</b>	7.3.a
<b>Background/Justification:</b> The DNR ensures frequent training opportunities are available for forestry staff and such training was confirmed via inspections of the training database, interviews with staff, and implementation of activities designed to meet forest management plans. However, orientation and entry-level training for new staff may not have included topics relevant to conformance to FSC standards, also some relevant topics have not been covered such that experienced personnel may need “refreshers”. Topics identified or discussed as being needed by new trainees or as refresher for staff include the following: 1) Rutting guidelines – A few foresters when interviewed in the field were uncertain of the conditions which qualify as rutting. 2) Old growth - The last training for District Foresters around recognizing old growth was in 2013. 3) The	

new CARs system for District Forester’s initial training has been held. Implementation is underway and full implementation should be completed.	
<b>Observation:</b> The DNR should continue to ensure workers are qualified to properly implement the management plan; All forest workers are provided with sufficient guidance and supervision to adequately implement their respective components of the plan.	
<b>FME response</b> <i>(including any evidence submitted)</i>	Interviews with staff confirmed a number of trainings were held for District Foresters (DF).
<b>SCS review</b>	DoF provided training documentation and interviews with staff demonstrated that trainings were attended, information retained, and implemented in the field. Training records were inspected for each District Forester for Districts inspected during 2018 audit using the INFRMS database at the offices visited, see Site Notes. Trainings included classes, conferences, internal and external trainings, and field days. These included trainings such as Society of American Foresters professional conference and technical meetings, internal trainings related to forestry operations, and other relevant topic areas. DoF demonstrated commitment to ongoing training in support of staff.
<b>Status of CAR:</b>	<input checked="" type="checkbox"/> Closed <input type="checkbox"/> Upgraded to Major <input type="checkbox"/> Other decision (refer to description above)

<b>Finding Number: 2017.3</b>	
<b>Select one:</b> <input type="checkbox"/> Major CAR <input type="checkbox"/> Minor CAR <input checked="" type="checkbox"/> Observation	
<b>FMU CAR/OBS issued to</b> (when more than one FMU):	
<b>Deadline</b>	<input type="checkbox"/> Pre-condition to certification/recertification <input type="checkbox"/> 3 months from Issuance of Final Report <input type="checkbox"/> 12 months or next audit (surveillance or re-evaluation) <input checked="" type="checkbox"/> Observation – response is optional <input type="checkbox"/> Other deadline (specify):
<b>FSC Indicator:</b>	7.4.a
<b>Background/Justification:</b> The Umbrella Management Plan was updated 2016 but the updated version is not yet been updated online.	
<b>Observation:</b> While respecting landowner confidentiality, the management plan or a management plan summary that outlines the elements of the plan described in Criterion 7.1 is available to the public either at no charge or a nominal fee.	
<b>FME response</b> <i>(including any evidence submitted)</i>	The DNR posted the updated plan 21 November 2017 and notified SCS by email.
<b>SCS review</b>	It was confirmed the audit plan was updated and publicly posted to the DNR website here, <a href="http://www.in.gov/dnr/forestry/files/fo-ICFCG_Umbrella_plan.pdf">http://www.in.gov/dnr/forestry/files/fo-ICFCG_Umbrella_plan.pdf</a> . With the updated plan now publicly available this CAR is closed. Beth Jacqmain, 21 November 2017.

<b>Status of CAR:</b>	<input checked="" type="checkbox"/> Closed <input type="checkbox"/> Upgraded to Major <input type="checkbox"/> Other decision (refer to description above)
-----------------------	--

#### 4.4 New Corrective Action Requests and Observations

<b>Finding Number: 2018.1</b>	
<b>Select one:</b> <input type="checkbox"/> Major CAR <input checked="" type="checkbox"/> Minor CAR <input type="checkbox"/> Observation	
<b>FMU CAR/OBS issued to</b> (when more than one FMU):	
<b>Deadline</b>	<input type="checkbox"/> Pre-condition to certification/recertification <input type="checkbox"/> 3 months from Issuance of Final Report <input checked="" type="checkbox"/> 12 months or next audit (surveillance or re-evaluation) <input type="checkbox"/> Observation – response is optional <input type="checkbox"/> Other deadline (specify):
<b>FSC Indicator:</b>	FSC US FM 5.1.a (FSC-STD-30-005, 6.1)
<p><b>Non-Conformity:</b>                  This Minor CAR was upgraded from OBS 2017.1.                  2017 finding:                  With the planned retirements in late 2017 and 2018, DoF has is an anticipated 25% vacancy rate in District Foresters (DF). Additional changes include assigning several districts to various forestry staff to cover vacancies. The DNR has been filling some open vacancies, for example three new District Foresters were hired in 2017. However, the DNR has not provided evidence that a systematic management review of program service demands relative to District Forester capacity has been done, nor that such review is planned. Although the DNR is currently in conformance with the standard and able to meet this indicator, the issue of how investment/reinvestment in forester capacity to implement core management activities could become non-conformant in future years if capacity does not meet demand.</p> <p>2018 update:                  At the time of the 2018 audit there were 4 vacancies in the 20 districts and a new forester had been hired to fill 1 vacancy, leaving 3 vacancies total. District Foresters from different Districts were then required to cover districts still holding vacancies. There was no evidence presented of a systematic management review of program service demands relative to District Foresters (Observation 2017.1). Interview with staff indicated such a review may have been started but no results were presented. Given new evidence of insufficient conformance to the standard, see Minor CAR 2018.2 and 2018.3 this finding is being upgraded to a Minor.</p>	
<p><b>Corrective Action Request (or Observation):</b>                  The manager demonstrates capability to implement core management activities, including all those environmental, social and operating costs, required to meet this Standard, and investment and reinvestment in forest management. (FSC US FM 5.1.a.) The Group entity shall have sufficient human and technical resources to manage and control the Group in line with the requirements of this standard. (FSC-STD-30-005, 6.1)</p>	
<b>FME response</b> (including any evidence submitted)	

<b>SCS review</b>	
<b>Status of CAR:</b>	<input type="checkbox"/> Closed <input type="checkbox"/> Upgraded to Major <input type="checkbox"/> <i>Other decision (refer to description above): Upgraded to Minor CAR 2018.1</i>

<b>Finding Number: 2018.2</b>	
<b>Select one:</b> <input type="checkbox"/> Major CAR <input checked="" type="checkbox"/> Minor CAR <input type="checkbox"/> Observation	
<b>FMU CAR/OBS issued to</b> (when more than one FMU):	
<b>Deadline</b>	<input type="checkbox"/> Pre-condition to certification/recertification <input type="checkbox"/> 3 months from Issuance of Final Report <input checked="" type="checkbox"/> 12 months or next regularly scheduled audit (surveillance or re-evaluation) <input type="checkbox"/> Observation – response is optional <input type="checkbox"/> Other deadline (specify):
<b>FSC Indicator:</b>	Indicator 6.1.b Prior to commencing site-disturbing activities, the forest owner or manager assesses and documents the potential short and long-term impacts of planned management activities on elements 1-5 listed in Criterion 6.1.a. This includes: v. Description of environmental assessment and safeguards based on the assessment, including approaches to: (1) pest and weed management, (2) fire management, and (3) protection of riparian management zones; (4) protection of representative samples of existing ecosystems (see Criterion 6.4) and management of High Conservation Value Forests (see Principle 9).
<b>Non-Conformity</b> (or Background/ Justification in the case of Observations):	
The Umbrella Plan of the ICFCG identifies pre-harvest meetings to serve as environmental assessment prior to starting forest management. <i>"At the group member level, the district foresters will be involved in timber sales on group lands and will monitor the implementation of BMPs. The district forester will hold a pre-harvest conference with the landowner, professional forester, and logger. BMPs will be one of the discussion points. The district forester will be conducting at least one field visit during the active harvest and can monitor adherence to BMPs. A post-harvest field visit will also be conducted and BMPs will be considered during this visit. Corrective action requests will be issued as necessary to insure compliance with the BMP guidelines."</i>	
Although some information is contained within the property forest management plan, detailed consideration of BMP requirements for stream, RTE, pest and weeds, and other considerations are not being consistently conducted. The DoF did not present evidence that such omissions are being noted, tracked or addressed. See also related Minor 2018.3 (internal auditing).	
There were examples during the audit of staff not completing the required pre-harvest meetings. During interviews it was also discovered that it is not uncommon for District Foresters to not be informed of planned harvest activities. In some cases, the ICFCG group management may be informed by the annual monitoring form, foresters may inadvertently discover harvested areas, or landowners may notify when the harvest has already begun. In one example, the forester did not know a corrective action was required nor did they take corrective action for failure to notify. See related Minor 2018.3.	

<b>Corrective Action Request (or Observation):</b> ICFCG must ensure conformance to the standard requirements for site assessments prior to commencement of harvest activities to ensure forest protection elements are considered.	
<b>FME response</b> <i>(including any evidence submitted)</i>	
<b>SCS review</b>	
<b>Status of CAR:</b>	<input type="checkbox"/> Closed <input type="checkbox"/> Upgraded to Major <input type="checkbox"/> Other decision (refer to description above)

<b>Finding Number: 2018.3</b>	
<b>Select one:</b> <input type="checkbox"/> Major CAR <input checked="" type="checkbox"/> Minor CAR <input type="checkbox"/> Observation	
<b>FMU CAR/OBS issued to</b> (when more than one FMU):	
<b>Deadline</b>	<input type="checkbox"/> Pre-condition to certification/recertification <input type="checkbox"/> 3 months from Issuance of Final Report <input checked="" type="checkbox"/> 12 months or next regularly scheduled audit (surveillance or re-evaluation) <input type="checkbox"/> Observation – response is optional <input type="checkbox"/> Other deadline (specify):
<b>FSC Indicator:</b>	FSC-STD-30-005, 2.3. Group entity staff and Group members shall demonstrate knowledge of the Group’s procedures and the applicable Forest Stewardship Standard.
<b>Non-Conformity (or Background/ Justification in the case of Observations):</b> During audit inspections review of tract folders, it was discovered some files were missing close-out documents. Interviews with staff confirmed at least 2 District Foresters were unsure if ICFCG group management procedures require a close out, or BMP inspection, after harvests are completed or stated they did not have time to do them. Another topic identified was an inconsistent understanding and implementation by staff of actions to take when land owner/ group members fail to notify staff prior to harvesting.	
<b>Corrective Action Request (or Observation):</b> The group manager must ensure that staff is able to demonstrate knowledge of group procedures relative to requirements that meet this standard. This includes: 1) conducting post-harvest site inspections to determine if appropriate protections have been implemented, or corrective actions taken, if needed. 2) Knowing and carrying out procedures for landowners who fail to notify of timber sales harvests.	
<b>FME response</b> <i>(including any evidence submitted)</i>	
<b>SCS review</b>	
<b>Status of CAR:</b>	<input type="checkbox"/> Closed <input type="checkbox"/> Upgraded to Major <input type="checkbox"/> Other decision (refer to description above)

<b>Finding Number: 2018.4</b>	
<b>Select one:</b> <input type="checkbox"/> Major CAR <input checked="" type="checkbox"/> Minor CAR <input type="checkbox"/> Observation	
<b>FMU CAR/OBS issued to</b> (when more than one FMU):	
<b>Deadline</b>	<input type="checkbox"/> Pre-condition to certification/recertification <input type="checkbox"/> 3 months from Issuance of Final Report <input checked="" type="checkbox"/> 12 months or next regularly scheduled audit (surveillance or re-evaluation) <input type="checkbox"/> Observation – response is optional <input type="checkbox"/> Other deadline (specify):
<b>FSC Indicator:</b>	FSC-STD-30-005, 3.2. The Group entity’s procedures shall be sufficient to establish an efficient internal control system ensuring that all members are fulfilling applicable requirements.
<b>Non-Conformity</b> (or Background/ Justification in the case of Observations): No internal audits were being done for the Chain of Custody system. Procedures in the Umbrella Plan were discovered that are not the procedures being implemented in the field related to CoC procedures. Internal auditing is not fully inspecting implementation of group procedures in the field sufficient to demonstrate conformance to the FSC Group management and US Forest Management Standard (see Minor CAR 2018.3).	
<b>Corrective Action Request</b> (or Observation): The group manager must conduct internal audits, document results, and track and issue corrective actions relative to chain of custody procedures; group manager must conduct internal audits conformant with requirements of the FSC group management standard for conducting internal audits.	
<b>FME response</b> (including any evidence submitted)	
<b>SCS review</b>	
<b>Status of CAR:</b>	<input type="checkbox"/> Closed <input type="checkbox"/> Upgraded to Major <input type="checkbox"/> Other decision (refer to description above)

## 5. Stakeholder Comments

In accordance with SCS protocols, consultation with key stakeholders is an integral component of the evaluation process. Stakeholder consultation takes place prior to, concurrent with, and following field evaluations. Distinct purposes of such consultation include:

- To solicit input from affected parties as to the strengths and weaknesses of the FME’s management, relative to the standard, and the nature of the interaction between the FME and the surrounding communities.
- To solicit input on whether the forest management operation has consulted with stakeholders regarding identifying any high conservation value forests (HCVFs).

Stakeholder consultation activities are organized to give participants the opportunity to provide comments according to general categories of interest based on the three FSC chambers, as well as the SCS Interim Standard, if one was used.

### 5.1 Stakeholder Groups Consulted

Principal stakeholder groups are identified based upon results from past evaluations, lists of stakeholders from the FME under evaluation, and additional stakeholder contacts from other sources. Stakeholder groups who are consulted as part of the evaluation include FME management and staff, consulting foresters, contractors, lease holders, adjacent property owners, local and regionally-based social interest and civic organizations, purchasers of logs harvested on FME forestlands, recreational user groups, tribal members and/or representatives, members of the FSC National Initiative, members of the regional FSC working group, FSC International, local and regionally-based environmental organizations and conservationists, and forest industry groups and organizations, as well as local, state, and federal regulatory agency personnel and other relevant groups.

### 5.2 Summary of Stakeholder Comments and Evaluation Team Responses

The table below summarizes the major comments received from stakeholders and the assessment team’s response. Where a stakeholder comment has triggered a subsequent investigation during the evaluation, the corresponding follow-up action and conclusions from SCS are noted below.

<input checked="" type="checkbox"/> <i>FME has not received any stakeholder comments from interested parties as a result of stakeholder outreach activities during this annual evaluation.</i>	
Stakeholder Comment	SCS Response
None received	

## 6. Certification Decision

The certificate holder has demonstrated continued overall conformance to the applicable Forest Stewardship Council standards. The SCS annual evaluation team recommends that the certificate be sustained, subject to subsequent annual evaluations and the FME’s response to any open CARs.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
<b>Comments:</b>	

## 7. Annual Data Update

<input type="checkbox"/> No changes since previous evaluation.
<input checked="" type="checkbox"/> Information in the following sections has changed since previous evaluation.



<input type="checkbox"/> Name and Contact Information <input type="checkbox"/> FSC Sales Information <input checked="" type="checkbox"/> Scope of Certificate <input type="checkbox"/> Non-SLIMF FMUs <input type="checkbox"/> Social Information	<input checked="" type="checkbox"/> Pesticide and Other Chemical Use <input type="checkbox"/> Production Forests <input type="checkbox"/> FSC Product Classification <input type="checkbox"/> Conservation & High Conservation Value Areas <input type="checkbox"/> Areas Outside of the Scope of Certification
---	---

**Name and Contact Information**

<b>Organization name</b>	Indiana DNR Division of Forestry		
<b>Contact person</b>	Brenda Huter		
<b>Address</b>	402 W. Washington St., Room W296, Indianapolis, IN 46204 USA	<b>Telephone</b>	317-232-0142
		<b>Fax</b>	317-233-3863
		<b>e-mail</b>	bhuter@dnr.in.gov
		<b>Website</b>	www.in.gov/dnr/forestry

**FSC Sales Information**

<input checked="" type="checkbox"/> FSC Sales contact information same as above.			
<b>FSC salesperson</b>			
<b>Address</b>		<b>Telephone</b>	
		<b>Fax</b>	
		<b>e-mail</b>	
		<b>Website</b>	

**Scope of Certificate**

<b>Certificate type</b>	<input type="checkbox"/> Single FMU	<input type="checkbox"/> Multiple FMU
	<input checked="" type="checkbox"/> Group	
<b>SLIMF if applicable</b>	<input type="checkbox"/> Small SLIMF certificate	<input type="checkbox"/> Low intensity SLIMF certificate
	<input checked="" type="checkbox"/> Group SLIMF certificate	
<b># Group Members (if applicable)</b>	7,491 landowners	
<b>Number of FMU's in scope of certificate</b>	9,996 FMU	
<b>Geographic location of non-SLIMF FMU(s)</b>	Latitude & Longitude:	
<b>Forest zone</b>	<input type="checkbox"/> Boreal	<input type="checkbox"/> Temperate
	<input type="checkbox"/> Subtropical	<input type="checkbox"/> Tropical
<b>Total forest area in scope of certificate which is:</b> Units: <input type="checkbox"/> ha or <input type="checkbox"/> ac		
privately managed		
state managed		
community managed		
<b>Number of FMUs in scope that are:</b>		
less than 100 ha in area	9,513	100 - 1000 ha in area 155

1000 - 10 000 ha in area		more than 10 000 ha in area	
<b>Total forest area in scope of certificate which is included in FMUs that:</b> <b>Units:</b> <input type="checkbox"/> ha or <input type="checkbox"/> ac			
are less than 100 ha in area		426,408	
are between 100 ha and 1000 ha in area		59,475	
meet the eligibility criteria as <i>low intensity</i> SLIMF FMUs		Group member parcels meet the definition of SLIMF FMUs, either due to size, all member parcels are less than 1000 hectares.	
<b>Division of FMUs into manageable units:</b>			
Most FMUs are small enough in size that individual properties are not further divided into management units – some larger properties have stands delineated, with varying management and harvests planned by stand type.			

**Social Information**

<b>Number of forest workers (including contractors) working in forest within scope of certificate (differentiated by gender):</b>		
male workers: # 14	female workers: # 8	
<b>Number of accidents in forest work since previous evaluation:</b>	Serious: # 0	Fatal: # 0

**Pesticide and Other Chemical Use**

<input type="checkbox"/> FME does not use pesticides.			
Commercial name of pesticide / herbicide	Active ingredient	Total area treated since previous evaluation (ha or ac)	Reason for use
2,4-D	2,4-D	2,534 Acres	Invasive species control; grape vine control; TSI
Triplet	2,4-D, dicamba. R-2-(2-methyl 4 chlorophenoxy) proponic acid	53 Acres	Invasive species control; grape vine control
Bayer Advanced Lawn, Weed, Crabgrass Killer	2,4-D, Quinclrac, Dicamba	100 Acres	Grape vine control; TSI
Pathway	2,4-D; picloram	1,003 Acres	Invasive species control; grape vine control; TSI
Crossbow	2,4-D; triclopyr	4,078 Acres	Invasive species control; grape vine control; TSI
Milestone	aminopyralid	458 Acres	Invasive species control; grape vine control; warm season grass planting
Clethodim	clethodim	37.5 Acres	Invasive species control

Banvel	dicamba	161 Acres	Invasive species control; grape vine control; TSI
Fusilade	fluazifop-P-butyl	115 Acres	Invasive species control
Accord, Cornerstone, Aquaneat, Gly Star Plus, Glyph 5, Shore Klear, Rodeo, Roundup	Glyphosate	16,596 Acres	Invasive species control; grape vine control; TSI
Plateau	imazapic	32 Acres	Invasive species control; warm season grass planting
Habitat, Stalker	imazapyr	244	Invasive species control; warm season grass planting, grape vine control, TSI
Escort	metsulfuron methyl	214	Invasive species control; grape vine control
Pendulum	pendimethalin, naphthalene,	1	Tree planting
Tordon	picloram	6,878	Invasive species control; grape vine control, TSI
Pramtoil	premeton	16	Invasive species control; grape vine control,
Poast	sethoxydim	124	Invasive Species Control
Princep, Simazine	simazine	103	Invasive species control, tree planting
Oust	sulfometuron methyl	99	Invasive species control, tree planting
Element, Garlon, Pathfinder	triclopyr	2,575	Invasive species control; grape vine control; TSI

**Production Forests**

<b>Timber Forest Products</b>	<b>Units:</b> <input type="checkbox"/> ha or <input checked="" type="checkbox"/> ac
Total area of production forest (i.e. forest from which timber may be harvested)	479,737
Area of production forest classified as 'plantation'	
Area of production forest regenerated primarily by replanting or by a combination of replanting and coppicing of the planted stems	
Area of production forest regenerated primarily by natural regeneration, or by a combination of natural regeneration and coppicing of the naturally regenerated stems	479,737
<b>Silvicultural system(s)</b>	<b>Area under type of management</b>
Even-aged management	10%
Clearcut (clearcut size range )	
Shelterwood	

Other:	
Uneven-aged management	90%
Individual tree selection	
Group selection	
Other:	
<input type="checkbox"/> Other (e.g. nursery, recreation area, windbreak, bamboo, silvo-pastoral system, agro-forestry system, etc.)	
<b>Non-timber Forest Products (NTFPs)</b>	
Area of forest protected from commercial harvesting of timber and managed primarily for the production of NTFPs or services	0
Other areas managed for NTFPs or services	0
Approximate annual commercial production of non-timber forest products included in the scope of the certificate, by product type	0
<b>Species in scope of joint FM/COC certificate: (Scientific / Latin Name and Common / Trade Name)</b>	
<i>Acer spp</i>	Maple: sugar, red, black,silver, boxelder
<i>Aesculus spp</i>	Ohio,yellow
<i>Carya spp</i>	Hickory:bitternut,mockernut,shagbark, red, pignut
<i>Catalpa speciosa</i>	Catalpa
<i>Celtis occidentalis</i>	hackberry
<i>Fagus grandifolia</i>	American beech
<i>Fraxinus spp.</i>	Ash: white, green, pumpkin, black, blue
<i>Gleditsia triacanthos</i>	honey locust
<i>Gymnocladus dioica</i>	Kentucky coffee-tree
<i>Juglans nigra</i>	black walnut
<i>Juniperus virginiana</i>	red cedar
<i>Liquidamber styraciflua</i>	sweet gum
<i>Liriodendron tulipifera</i>	yellow-poplar
<i>Nyssa sylvatica</i>	black gum
<i>Pinus spp</i>	Pine: white, red, Scotch, Virginia, shortleaf
<i>Plantanus occidentalis</i>	sycamore
<i>Populus spp.</i>	large-toothed aspen, quaking aspen, cottonwood
<i>Prunus serotina</i>	black cherry
<i>Quercus spp.</i>	Oaks: white, red, black, scarlet, post, bur, swamp chestnut, swamp white, chestnut, chinkapin, shingle, black jack, cherry bark, pin,shumard
<i>Robinia pseudoacacia</i>	black locust
<i>Sassafras alfidum</i>	sassafras
<i>Tilia Americana</i>	basswood
<i>Ulmus spp</i>	elms
<i>Acer spp</i>	Maple: sugar, red, black,silver, boxelder
<i>Aesculus spp</i>	Ohio,yellow
<i>Carya spp</i>	Hickory:bitternut,mockernut,shagbark, red, pignut

<i>Catalpa speciosa</i>	Catalpa
<i>Celtis occidentalis</i>	hackberry
<i>Fagus grandifolia</i>	American beech
<i>Fraxinus spp.</i>	Ash: white, green, pumpkin, black, blue
<i>Gleditsia triacanthos</i>	honey locust
<i>Gymnocladus dioica</i>	Kentucky coffee-tree
<i>Juglans nigra</i>	black walnut
<i>Juniperus virginiana</i>	red cedar
<i>Liquidamber styraciflua</i>	sweet gum
<i>Liriodendron tulipifera</i>	yellow-poplar
<i>Nyssa sylvatica</i>	black gum

**FSC Product Classification**

Timber products		
Product Level 1	Product Level 2	Species
W1 Rough Wood	W1.1 Roundwood	All
W1 Rough Wood	W1.2 Fuelwood	All
W3 Wood in chips or particles	W3.1	All
Non-Timber Forest Products		
Product Level 1	Product Level 2	Product Level 3 and Species
None		

**Conservation and High Conservation Value Areas**

Conservation Area		Units: <input type="checkbox"/> ha or <input checked="" type="checkbox"/> ac	
<b>Total amount of land in certified area protected from commercial harvesting of timber and managed primarily for conservation objectives (includes both forested and non-forested lands).*</b>		0 ha recorded; some lands, however, may informally be managed primarily for conservation values, but the majority of Classified Forests are available for harvest; within the overall program, Classified Wildlands are specifically managed for conservation values, but the FSC group certification applies specifically to a subset of Classified Forests.	
High Conservation Value Forest / Areas		Units: <input type="checkbox"/> ha or <input checked="" type="checkbox"/> ac	
Code	HCV Type	Description & Location	Area
HCV1	Forests or areas containing globally, regionally or nationally significant concentrations of biodiversity values (e.g. endemism, endangered species, refugia).	State Nature Preserves located within group	6,146
HCV2	Forests or areas containing globally, regionally or nationally significant large landscape level forests, contained within, or	Large block forests in ag dominated landscapes	43,597

	containing the management unit, where viable populations of most if not all naturally occurring species exist in natural patterns of distribution and abundance.		
HCV3	Forests or areas that are in or contain rare, threatened or endangered ecosystems.	S1, S2 communities across state. Old growth, and hemlock stands.	10,590
HCV4	Forests or areas that provide basic services of nature in critical situations (e.g. watershed protection, erosion control).		
HCV5	Forests or areas fundamental to meeting basic needs of local communities (e.g. subsistence, health).		
HCV6	Forests or areas critical to local communities' traditional cultural identity (areas of cultural, ecological, economic or religious significance identified in cooperation with such local communities).		
<b>Total area of forest classified as 'High Conservation Value Forest / Area'</b>			<b>60,333</b>

**Areas Outside of the Scope of Certification (Partial Certification and Excision)**

<input type="checkbox"/> <i>N/A – All forestland owned or managed by the applicant is included in the scope.</i>		
<input checked="" type="checkbox"/> <i>Applicant owns and/or manages other FMUs not under evaluation.</i>		
<input type="checkbox"/> <i>Applicant wishes to excise portions of the FMU(s) under evaluation from the scope of certification.</i>		
<b>Explanation for exclusion of FMUs and/or excision:</b>	Participants in the Classified Forests and Wildlands Program have the option to opt out of the certified group. Some percentage of landowners have opted out of the certificate and are not included in this scope.	
<b>Control measures to prevent mixing of certified and non-certified product (C8.3):</b>	Those landowners who have opted out of the group may still conduct timber sales, but do not have access to the CoC information or certificate codes and cannot make certified sales. Sales and loads are never mixed between certified and non-certified landowners.	
<b>Description of FMUs excluded from, or forested area excised from, the scope of certification:</b>		
<b>Name of FMU or Stand</b>	<b>Location (city, state, country)</b>	<b>Size (<input type="checkbox"/> ha or <input checked="" type="checkbox"/> ac)</b>
Uncertified Classified Acres (nonforested acres, private landowner declined certification or undecided)	Statewide	325,763

## SECTION B – APPENDICES (CONFIDENTIAL)

### Appendix 1 – List of FMUs Selected for Evaluation

- FME consists of a single FMU  
 FME consists of multiple FMUs or is a Group

SCS staff establish the design and level of sampling prior to each group or multiple FMU evaluation according to FSC-STD-20-007. A list of the FMUs sampled and the rationale behind their selection is listed below.

<b>FMU Name</b>	<b>FMU Size Category:</b> - SLIMF - non-SLIMF - Large > 10,000 ha	<b>Forest Type:</b> - Plantation - Natural Forest	<b>Rationale for Selection:</b> - Random Sample - Stakeholder issue - Ease of access - Other (please describe)
Steven Heil Tract 10-0063	SLIMF	Natural	Existing, Random (pre-selected, random)
Gibson Tract 72-0095	SLIMF	Natural	Existing, Random (pre-selected, random)
Burton Lumber 39-0103	SLIMF	Natural	Existing, Random (pre-selected, random)
Date: Thursday, October 25, 2018 Jacqmain and Schulte	SLIMF	Natural	Existing, Random (pre-selected, random)
Werner Tracts 69-0024 & 69-0046	SLIMF	Natural	Existing, Random (pre-selected, random)
Riddle 69-0250	SLIMF	Natural	Existing, Random (pre-selected, random)
Beach Family Trust Tract 69-0188	SLIMF	Natural	Existing, Random (pre-selected, random)
Schulenburg, 36-0069	SLIMF	Natural	Existing, Random (pre-selected, random)
Schulenburg, 36-0093	SLIMF	Natural	Existing, Random (pre-selected, random)
McKinney, 36-0082	SLIMF	Natural	Existing, Random (pre-selected, random)
Reinark, 36-0087	SLIMF	Natural	Existing, Random (pre-selected, random)
Ruth Russell Revocable Trust Tracts 40-0290 & 40-0049	SLIMF	Natural	Existing, Random (pre-selected, random)
Bohlke Veneer Tract 40-0304	SLIMF	Natural	Existing, Random (pre-selected, random)
Zalkin Tract 40-0167	SLIMF	Natural	Existing, Random (pre-selected, random)
St . John Family Tract 40-0250 & 40-0249	SLIMF	Natural	Existing, Random (pre-selected, random)

## Appendix 2 – Staff and Stakeholders Consulted

### List of FME Staff Consulted

Name	Title	Contact Information	Consultation method
Maddie Westbrook	District 8 District Forester, District 17 Acting District Forest	<a href="mailto:mwestbrook@dnr.in.gov">mwestbrook@dnr.in.gov</a>	Field and office interviews
Rob McGriff	District 6 District Forester, District 17 Acting District Forester	<a href="mailto:rmcgriff@dnr.in.gov">rmcgriff@dnr.in.gov</a>	Field and office interviews
Ben McKinney	District 20 District Forester	<a href="mailto:bmckinney@dnr.in.gov">bmckinney@dnr.in.gov</a>	Field and office interviews
Brenda Huter	Stewardship Coordinator	<a href="mailto:bhuter@dnr.in.gov">bhuter@dnr.in.gov</a>	Field and office interviews

### List of other Stakeholders Consulted\*

Name	Organization	Contact Information	Consultation method	Requests Cert. Notf.
Beach family trust	Group member	640 N CR 850 W; Holton, IN	Field interview	No
Werner Tract	Group member	10573 N St Nicholas Rd; Sunman, IN	Field interview	No
Ruth Russell	Group member	17450 E CR 400 S; Elizabeth, IN	Field interview	No
Abe Bear (Consultant for Ruth Russell)	Bear Forestry	Abraham.bear@yahoo.com	Field interview	No
St. John Family Farm LLC	Group member	9365 N CR 150 W; North Vernon	Field interview	No

\* Note: SCS may maintain additional records of stakeholder consultation activities (e.g., email notifications) in its recordkeeping system. Stakeholders included in Appendix 2 have given their permission to include their name, contact details, and comments in the report. Anonymous stakeholders may have provided comments as a part of stakeholder outreach activities.

## Appendix 3 – Additional Evaluation Techniques Employed

- None.
- Additional techniques employed (describe):

## Appendix 4 – Pesticide Derogations

- There are no active pesticide derogations for this FME.



### Appendix 5 – Forest Management Standard Conformance Table

Criteria required by FSC at every surveillance evaluation ( <i>check all situations that apply</i> )	<input type="checkbox"/> NA – all FMUs are exempt from these requirements. <input type="checkbox"/> Plantations > 10,000 ha (24,710 ac): 2.3, 4.2, 4.4, 6.7, 6.9, 10.6, 10.7, and 10.8 <input checked="" type="checkbox"/> Natural forests > 50,000 ha (123,553 ac) ('low intensity' SLIMFs exempt): 1.5, 2.3, 3.2, 4.2, 4.4, 5.6, 6.2, 6.3, 8.2, and 9.4 <input checked="" type="checkbox"/> FMUs containing High Conservation Values ('small forest' SLIMFs exempt): 6.2, 6.3, 6.9 and 9.4
Documents and records reviewed for FMUs/sites sampled	<input checked="" type="checkbox"/> All applicable documents and records as required in section 7 of audit plan were reviewed; or <input type="checkbox"/> The following documents and records as required in section 7 of the audit plan were NOT reviewed ( <i>provide explanation</i> ):

#### Requirements Reviewed in Annual Evaluation

Evaluation Year	Requirements Reviewed (FSC P&C Reviewed, FM/COC Indicators, Trademark Indicators, Group Standard Indicators, etc.)
2014	All – (Re)certification Evaluation
2015	P1, 6.1, 6.3, 6.5, 7.1, 7.3, 8.2, 8.3, 8.5, 9.1. Group Entity Criteria: C1, C2, C3, C9.
2016	6.2, 6.3, 6.4, 6.5.c, 6.6.a, 7.2, 7.4, and P9 (HCVF); Open OBS/CARs: 6.5.c, 6.6.a, 9.1.a Group Manager: 3.1.V and 5 (Group Records)
2017	P2, P3, 6.3.h, 6.6.a, P7, 9.1.c. FSC Standard for Group Entities: 3.1.v, 5.1.ii, 5.1.vi
2018	Mandatory requirements above; P4, P5, P8, Group Std: C6, C7, C8

C= Conformance with Criterion or Indicator  
 NC= Nonconformance with Criterion or Indicator  
 NA = Not Applicable  
 NE = Not Evaluated

REQUIREMENT	C/NC	COMMENT/CAR
<b>Principle #1: Compliance with Laws and FSC Principles</b> Forest management shall respect all applicable laws of the country in which they occur, and international treaties and agreements to which the country is a signatory, and comply with all FSC Principles and Criteria.		
1.1 Forest management shall respect all national and local laws and administrative requirements.	NE	
1.2. All applicable and legally prescribed fees, royalties, taxes and other charges shall be paid.	NE	
1.3. In signatory countries, the provisions of all binding international agreements such as CITES, ILO Conventions,	NE	

<p><b>ITTA, and Convention on Biological Diversity, shall be respected.</b></p>		
<p><b>1.4. Conflicts between laws, regulations and the FSC Principles and Criteria shall be evaluated for the purposes of certification, on a case by case basis, by the certifiers and the involved or affected parties.</b></p>	NE	
<p><b>1.5. Forest management areas should be protected from illegal harvesting, settlement and other unauthorized activities.</b></p>	C	
<p><b>1.5.a.</b> The forest owner or manager supports or implements measures intended to prevent illegal and unauthorized activities on the <i>Forest Management Unit</i> (FMU).</p>	C	<p>Group member, FMU private land owner is responsible for monitoring for illegal harvesting, settlement, or other unauthorized activity. During 2018 audit, group member private properties were observed to be well gated and signed. Group regulations require posting the corners of enrolled properties. During 5-year re-inspections, DF's take note of unauthorized activities and notify landowners.</p>
<p><b>1.5.b.</b> If illegal or unauthorized activities occur, the forest owner or manager implements actions designed to curtail such activities and correct the situation to the extent possible for meeting all land management objectives with consideration of available resources.</p>	C	<p>No reported activities as described in this indicator. Most of the properties are posted, gated, and contain CFP signs. In some instances, owners work with Conservation Officers. Some landowners use hidden cameras to monitor activity. District Foresters can assist group members with guidance if timber theft or illegal activities are noted.</p>
<p><b>1.6. Forest managers shall demonstrate a long-term commitment to adhere to the FSC Principles and Criteria.</b></p>	NE	
<p><b>Principle #2: Long-term tenure and use rights to the land and forest resources shall be clearly defined, documented and legally established.</b></p>		
<p><b>2.1. Clear evidence of long-term forest use rights to the land (e.g., land title, customary rights, or lease agreements) shall be demonstrated.</b></p>	NE	
<p><b>2.2. Local communities with legal or customary tenure or use rights shall maintain control, to the extent necessary to protect their rights or resources, over forest operations unless they delegate control with free and informed consent to other agencies.</b></p>	NE	
<p><b>2.3. Appropriate mechanisms shall be employed to resolve disputes over tenure claims and use rights. The circumstances and status of any outstanding disputes will be explicitly considered in the certification evaluation. Disputes of substantial magnitude involving a significant number of interests will normally disqualify an operation from being certified.</b></p>	C	
<p><b>2.3.a</b> If <i>disputes</i> arise regarding tenure claims or use rights then the forest owner or manager initially attempts to resolve them through open communication, negotiation, and/or mediation. If these good-faith efforts fail, then</p>	C	<p>No significant disputes were noted by any of the district foresters in attendance. Property disputes or use rights are generally the business of the private landowner and the DoF is not often involved.</p>

<p>federal, state, and/or local laws are employed to resolve such disputes.  <b>FF Indicator: Low risk of negative social or environmental impact.</b></p>		
<p><b>2.3.b</b> The forest owner or manager documents any significant disputes over tenure and use rights.  <b>FF Indicator: Low risk of negative social or environmental impact.</b></p>	C	<p>No evidence of non-compliance was noted during the field audit. No significant disputes were noted.</p>
<p><b>Principle #3: The legal and customary rights of indigenous peoples to own, use and manage their lands, territories, and resources shall be recognized and respected.</b></p>		
<p><b>3.1. Indigenous peoples shall control forest management on their lands and territories unless they delegate control with free and informed consent to other agencies.</b></p>	NE	
<p><b>3.2. Forest management shall not threaten or diminish, either directly or indirectly, the resources or tenure rights of indigenous peoples.</b></p>	C	
<p><b>3.2.a</b> During management planning, the forest owner or manager consults with American Indian groups that have legal rights or other binding agreements to the FMU to avoid harming their resources or rights.</p>	C	<p>The following is a list of Treaties enacted between the US government and Native American Tribes in Indiana. Details of the treaties are available online through the University of Oklahoma’s Indian Affairs: Laws and Treaties webpage (<a href="http://digital.library.okstate.edu/kappler/VOL2/toc.htm">digital.library.okstate.edu/kappler/VOL2/toc.htm</a>)</p> <p>August 1795 – Treaty of Greenville          June 1803 – Treaty of Fort Wayne          August 1804 – Treaty of Vincennes          August 1805 – Treaty of Grouseland          September 1809 – Treaty of Fort Wayne (“Harrison’s Purchase”)          September 1817 – Treaty with the Wyandots          October 1818 – Treaty of St. Mary’s          August 1821 – Treaty of Chicago          October 1826 – Treaty of Mississinewa          September 1828 – Treaty of Carey Mission          October 1832 – Treaty of Tippecanoe          October 1834 – Treaty with the Miami          November 1838 – Treaty with the Miami          November 1840 – Treaty with the Miami (final secession of native land in Indiana)</p> <p>Although none of the original Native American Nations’ landholdings remain in Indiana, the Division of Forestry recognizes that this does not preclude the existence of legal or customary rights. No legal or customary rights that would impact ICFCG tracts have yet been identified. If in the future such rights are identified, the Division of Forestry will work with the specific Native American nation to insure the protection of those rights.</p>
<p><b>3.2.b</b> Demonstrable actions are taken so that forest management does not adversely affect tribal resources.</p>	C	<p>See 3.2.a</p>

When applicable, evidence of, and measures for, protecting tribal resources are incorporated in the management plan.		
<b>3.3. Sites of special cultural, ecological, economic or religious significance to indigenous peoples shall be clearly identified in cooperation with such peoples, and recognized and protected by forest managers.</b>	NE	
<b>3.4. Indigenous peoples shall be compensated for the application of their traditional knowledge regarding the use of forest species or management systems in forest operations. This compensation shall be formally agreed upon with their free and informed consent before forest operations commence.</b>	NE	
<b>Principle #4: Forest management operations shall maintain or enhance the long-term social and economic well-being of forest workers and local communities.</b>		
<b>4.1. The communities within, or adjacent to, the forest management area should be given opportunities for employment, training, and other services.</b>	C	
<b>4.1.a</b> Employee compensation and hiring practices meet or exceed the prevailing <i>local</i> norms within the forestry industry. <b>FF Indicator: Low risk of negative social or environmental impact.</b>	C	Group member typically contact foresters or work directly with loggers or mills per interviews with group members. ICFCG group members are thus at low risk of negative social or environmental impact.
<b>4.1.b</b> Forest work is offered in ways that create high quality job opportunities for employees. <b>FF Indicator: Low risk of negative social or environmental impact.</b>	C	Group member typically contact foresters or work directly with loggers or mills. ICFCG group members are thus at low risk of negative social or environmental impact.  *Due to unfilled vacancies the work load of many ICFCG employees is becoming difficult to complete within typical work hours.
<b>4.1.c</b> Forest workers are provided with fair wages. <b>FF Indicator: Low risk of negative social or environmental impact.</b>	C	Group member typically contact foresters or work directly with loggers or mills. ICFCG group members are thus at low risk of negative social or environmental impact.
<b>4.1.d</b> Hiring practices and conditions of employment are non-discriminatory and follow applicable federal, state and local regulations. <b>FF Indicator: Low risk of negative social or environmental impact.</b>	C	Group member typically contact foresters or work directly with loggers or mills. ICFCG group members are thus at low risk of negative social or environmental impact.
<b>4.1.e</b> The forest owner or manager provides work opportunities to qualified local applicants and seeks opportunities for purchasing local goods and services of equal price and quality. <b>FF Indicator 4.1.e: The forest owner or manager, as feasible, contributes to the local community.</b>	C	ICFCG makes great contributions to the local economy by encouraging long-term timber management on non-industrial timberland. Benefits to the community include work opportunities for professional foresters, timber buyers, loggers, sawmills, and other wood product businesses. Some group members allow third parties to hunt or pass through their FMUs with permission.

<p><b>4.1.f</b> Commensurate with the size and scale of operation, the forest owner or manager provides and/or supports learning opportunities to improve public understanding of forests and forest management.  <b>FF Indicator: Inapplicable (pertinent requirements incorporated into Indicator 4.1.e)</b></p>	<p>NA</p>	
<p><b>4.1.g</b> The forest owner or manager participates in local economic development and/or civic activities, based on scale of operation and where such opportunities are available.  <b>FF Indicator: Inapplicable (pertinent requirements incorporated into Indicator 4.1.e)</b></p>	<p>NA</p>	
<p><b>4.2. Forest management should meet or exceed all applicable laws and/or regulations covering health and safety of employees and their families.</b></p>	<p>C</p>	
<p><b>4.2.a</b> The forest owner or manager meets or exceeds all applicable laws and/or regulations covering health and safety of employees and their families (also see Criterion 1.1).  <b>FF Indicator: Low risk of negative social or environmental impact.</b></p>	<p>C</p>	<p>Most group members do not hire any employees for forest management work and are thus at low risk for this indicator, as confirmed in interviews with group members.</p>
<p><b>4.2.b</b> The forest owner or manager and their employees and contractors demonstrate a safe work environment. Contracts or other written agreements include safety requirements.</p>	<p>C</p>	<p>It was not possible to view active felling operations during the audit, however, a review of stumps from recently felled trees indicated safe felling techniques. DoF sample contract, as well contracts of professional foresters reviewed during the audit (e.g. confirmed for contract on Tract 43-004), included safety requirements.                  Other evidence of a safe work environment includes:</p> <ul style="list-style-type: none"> <li>• Tract 43-0207- daughter works alongside of elderly father in the woods for safety reasons.</li> </ul> <p>CF member for Tract 71-0125 puts on periodic tree felling safety workshops on his property. Offers open invitation.</p>
<p><b>4.2.c</b> The forest owner or manager hires well-qualified service providers to safely implement the management plan.  <b>FF Indicator: Low risk of negative social or environmental impact.</b></p>	<p>C</p>	<p>Service providers that are hired include licensed timber buyers, loggers, and professional foresters. As is the case in most industries there is a wide range in the quality of service providers. The 2014 audit indicated that active harvests were typically done well. Audit team concludes low risk of social and environmental impact due to small size of properties. See also 7.3.a.</p>
<p><b>4.3 The rights of workers to organize and voluntarily negotiate with their employers shall be guaranteed as outlined in Conventions 87 and 98 of the International Labor Organization (ILO).</b></p>	<p>C</p>	
<p><b>4.3.a</b> Forest workers are free to associate with other workers for the purpose of advocating for their own employment interests.</p>	<p>C</p>	<p>The right for workers to freely associate and unionize is clearly protected by U.S. and Indiana law. ILO Convention 87 has been ratified by U.S. Law. ILO Convention 98, however, does not</p>

<p><b>FF Indicator: Low risk of negative social or environmental impact.</b></p>		<p>apply to public sector workers. Under U.S. Federal Law and consistent with ILO 98, public sector employee rights are established by the U.S. Congress for federal employees and by state legislatures for state, county and local public sector employees. The right to organize is outlined in IC 22-7 (<a href="http://www.in.gov/legislative/ic/code/title22/ar7/">http://www.in.gov/legislative/ic/code/title22/ar7/</a>; accessed October 12, 2011).</p>
<p><b>4.3.b</b> The forest owner or manager has effective and culturally sensitive mechanisms to resolve disputes between workers and management. <b>FF Indicator: Low risk of negative social or environmental impact.</b></p>	<p>C</p>	<p>Group members do not hire workers, but rather contract forest management and harvesting to third parties. Disputes of this nature are therefore unlikely.</p>
<p><b>4.4. Management planning and operations shall incorporate the results of evaluations of social impact. Consultations shall be maintained with people and groups (both men and women) directly affected by management operations.</b></p>	<p>C</p>	
<p><b>4.4.a</b> The forest owner or manager understands the likely social impacts of management activities, and incorporates this understanding into management planning and operations. Social impacts include effects on:</p> <ul style="list-style-type: none"> <li>• Archeological sites and sites of cultural, historical and community significance (on and off the FMU);</li> <li>• Public resources, including air, water and food (hunting, fishing, collecting);</li> <li>• Aesthetics;</li> <li>• Community goals for forest and natural resource use and protection such as employment, subsistence, recreation and health;</li> <li>• Community economic opportunities;</li> <li>• Other people who may be affected by management operations.</li> </ul> <p>A summary is available to the CB. <b>FF Indicator 4.4.a</b> The forest owner of manager understands the likely social impacts of management activities, and incorporates this understanding into management planning and operations.</p>	<p>C</p>	<p>Confirmed through review of:</p> <ul style="list-style-type: none"> <li>- Umbrella plan (p.13)</li> <li>- Forest Management Plans for each property visited in 2014</li> <li>- Indiana BMPs</li> </ul> <p>At the individual property level social impacts of management are typically negligible. However, at the level of the entire group, social impacts are significant in terms of jobs created harvesting timber.</p>
<p><b>4.4.b</b> The forest owner or manager seeks and considers input in management planning from people who would likely be affected by management activities. <b>FF Indicator: Low risk of negative social or environmental impact.</b></p>	<p>C</p>	<p>Audit team determined low risk of negative social or environmental impact given the small size of the FMUs.</p>
<p><b>4.4.c</b> People who are subject to direct adverse effects of management operations are apprised of relevant activities in advance of the action so that they may express concern.</p>	<p>C</p>	<p>No adverse effects of management observed, as confirmed through field visits and stakeholder interviews.</p>

<p><b>4.4.d</b> For <i>public forests</i>, consultation shall include the following components:</p> <ol style="list-style-type: none"> <li>Clearly defined and accessible methods for public participation are provided in both long and short-term planning processes, including harvest plans and operational plans;</li> <li>Public notification is sufficient to allow interested stakeholders the chance to learn of upcoming opportunities for public review and/or comment on the proposed management;</li> <li>An accessible and affordable appeals process to planning decisions is available.</li> </ol> <p>Planning decisions incorporate the results of public consultation. All draft and final planning documents, and their supporting data, are made readily available to the public.</p>	<p>NA</p>	<p>No public forests are part of the program.</p>
<p><b>4.5. Appropriate mechanisms shall be employed for resolving grievances and for providing fair compensation in the case of loss or damage affecting the legal or customary rights, property, resources, or livelihoods of local peoples. Measures shall be taken to avoid such loss or damage.</b></p>	<p>C</p>	
<p><b>4.5.a</b> The forest owner or manager does not engage in negligent activities that cause damage to other people.</p>	<p>C</p>	<p>Group members demonstrate good understanding of property boundary location and negligent activities that could possibly arise with neighbors. During 2018 audit, no disputes or acts of negligence were uncovered. Stakeholders contacted did not indicate any acts of negligence.</p>
<p><b>4.5.b</b> The forest owner or manager provides a known and accessible means for interested stakeholders to voice grievances and have them resolved. If significant disputes arise related to resolving grievances and/or providing fair compensation, the forest owner or manager follows appropriate dispute resolution procedures. At a minimum, the forest owner or manager maintains open communications, responds to grievances in a timely manner, demonstrates ongoing good faith efforts to resolve the grievances, and maintains records of legal suites and claims.</p>	<p>C</p>	<p>All group members interviewed generally reported good working relationships with ICFCG staff and neighbors.</p> <p>ICFCG maintains documentation related to any grievances and disputes in District and Central offices. State of Indiana procedures and processes for addressing grievances/ disputes provide a known and accessible means for interested stakeholders to voice grievances and have them resolved.</p>
<p><b>4.5.c</b> Fair compensation or reasonable mitigation is provided to local people, communities or adjacent landowners for substantiated damage or loss of income caused by the landowner or manager.</p> <p><b>FF Indicator: Low risk of negative social or environmental impact</b></p>	<p>C</p>	<p>During 2018 audit, no examples of substantiated damage or loss of income were observed.</p>
<p><b>Principle #5: Forest management operations shall encourage the efficient use of the forest’s multiple products and services to ensure economic viability and a wide range of environmental and social benefits.</b></p>		

<p><b>5.1. Forest management should strive toward economic viability, while taking into account the full environmental, social, and operational costs of production, and ensuring the investments necessary to maintain the ecological productivity of the forest.</b></p>	<p>C</p>	
<p><b>5.1.a</b> The forest owner or manager is financially able to implement core management activities, including all those environmental, social and operating costs, required to meet this Standard, and investment and reinvestment in forest management.</p>	<p>C</p>	<p>No landowner was found to be undertaking harvests that were not financially viable – most landowners were waiting until the market was favorable or trees had to be salvaged due to drought or disease damage. Salvage harvests, although not usually revenue generating, were generally undertaken with the future health of the stand in mind.</p> <p>See Minor 2018.1 for more detail regarding DNR and group management.</p>
<p><b>5.1.b</b> Responses to short-term financial factors are limited to levels that are consistent with fulfillment of this Standard.</p>	<p>C</p>	<p>Although landowners certainly try to time harvests to favorable timber markets, no harvests necessitated by financial factors were found to be in non-compliance with this standard. Very few landowners in the program were found to be heavily reliant on timber sales for income.</p>
<p><b>5.2. Forest management and marketing operations should encourage the optimal use and local processing of the forest’s diversity of products.</b></p>		
<p><b>5.2.a</b> Where forest products are harvested or sold, opportunities for forest product sales and services are given to local harvesters, value-added processing and manufacturing facilities, guiding services, and other operations that are able to offer services at competitive rates and levels of service.</p> <p><b>FF Indicator: Low risk of negative social or environmental impact</b></p>	<p>C</p>	<p>The DoF provides group participants with a compendium of forestry professionals in their area (consulting foresters, loggers, timber buyers, etc.) from which they may select individuals or companies to work with or to provide with bids for competitive rates.</p>
<p><b>5.2.b</b> The forest owner or manager takes measures to optimize the use of harvested forest products and explores product diversification where appropriate and consistent with management objectives.</p>	<p>C</p>	<p>Numerous examples were noted during the audit of individual landowners trying to optimize marketable resources off their forestland. One owner was processing tops for sale to a pellet factory, another was exploring options for sales of chip to co-gen plants or brick factories.</p>
<p><b>5.2.c</b> On public lands where forest products are harvested and sold, some sales of forest products or contracts are scaled or structured to allow small business to bid competitively.</p>	<p>NA</p>	
<p><b>5.3. Forest management should minimize waste associated with harvesting and on-site processing operations and avoid damage to other forest resources.</b></p>	<p>C</p>	
<p><b>5.3.a</b> Management practices are employed to minimize the loss and/or waste of harvested forest products.</p>	<p>C</p>	<p>Given the limited nature and low intensity of most harvests on participants’ lands, little waste generated. If anything, most timber buyers or loggers and consulting foresters tend to mark</p>



		trees that might best be left for wildlife, as they have defect that will significantly reduce their value. The emphasis in the field is certainly to minimize waste and extract anything that might give value.
<p><b>5.3.b</b> Harvest practices are managed to protect residual trees and other forest resources, including:</p> <ul style="list-style-type: none"> <li>soil compaction, <i>rutting</i> and erosion are minimized;</li> <li>residual trees are not significantly damaged to the extent that health, growth, or values are noticeably affected;</li> <li>damage to NTFPs is minimized during management activities; and</li> <li>techniques and equipment that minimize impacts to vegetation, soil, and water are used whenever feasible.</li> </ul>	C	The light touch of most operations seen during the field audit indicated very little residual stand damage – many harvests could not be located on the ground while walking the property, as even a year later the damage was insignificant at the level of the ownership. BMPs are generally followed and should a violation occur, operators are required to repair them. A few instances of repairs were noted during the field audit, though this did not rise to the level of a finding. Adherence to BMPs is audited annually by the DoF.
<p><b>5.4. Forest management should strive to strengthen and diversify the local economy, avoiding dependence on a single forest product.</b></p>	C	
<p><b>5.4.a</b> The forest owner or manager demonstrates knowledge of their operation’s effect on the local economy as it relates to existing and potential markets for a wide variety of timber and non-timber forest products and services.</p>	C	District foresters were well aware of the effects of landowners’ participation in the program on the local economy. Many landowners keep their woodlands as insurance and are able to reap profit on a 15 – 20-year time horizon. Most landowners are using forestland products to supplement other income and the industry supports a large number of contract foresters, logging crews, machinery operators and local mills.
<p><b>5.4.b</b> The forest owner or manager strives to diversify the economic use of the forest according to Indicator 5.4.a.</p>	C	Many landowners are exploring innovative revenue sources from their forestland, including maple syrup production, carbon credits, hunting and fishing leases.
<p><b>5.5. Forest management operations shall recognize, maintain, and, where appropriate, enhance the value of forest services and resources such as watersheds and fisheries.</b></p>	C	
<p><b>5.5.a</b> In developing and implementing activities on the FMU, the forest owner or manager identifies, defines and implements appropriate measures for maintaining and/or enhancing forest services and resources that serve public values, including municipal watersheds, fisheries, carbon storage and sequestration, recreation and tourism.</p>	C	The Classified Forest & Wildlands Program, at large, is designed to serve the public of Indiana by encouraging and making possible the conservation and management of the state’s forestlands, for the general benefit of the public. Although the lands in the program are all privately owned, the ability to retain forest cover at the state level arguably benefits all citizens and serves numerous public values, including watershed protection, wildlife habitat, recreation and tourism, clean air and water and carbon sequestration.
<p><b>5.5.b</b> The forest owner or manager uses the information from Indicator 5.5.a to implement appropriate measures for maintaining and/or enhancing these services and resources.</p>	C	Many landowners express recreation and wildlife habitat as the main objective for managing their forestland and many make management decisions that will enhance those features of their property. Management for wildlife habitat in particular is

		popular and frequently expressed as the reason to maintain the forest resource.
<b>5.6. The rate of harvest of forest products shall not exceed levels which can be permanently sustained.</b>	C	
<p><b>5.6.a</b> In FMUs where products are being harvested, the landowner or manager calculates the sustained yield harvest level for each sustained yield planning unit, and provides clear rationale for determining the size and layout of the planning unit. The sustained yield harvest level calculation is documented in the Management Plan.</p> <p>The sustained yield harvest level calculation for each planning unit is based on:</p> <ul style="list-style-type: none"> <li>• documented growth rates for particular sites, and/or acreage of forest types, age-classes and species distributions;</li> <li>• mortality and decay and other factors that affect net growth;</li> <li>• areas reserved from harvest or subject to harvest restrictions to meet other management goals;</li> <li>• silvicultural practices that will be employed on the FMU;</li> <li>• management objectives and desired future conditions.</li> </ul> <p>The calculation is made by considering the effects of repeated prescribed harvests on the product/species and its ecosystem, as well as planned management treatments and projections of subsequent regrowth beyond single rotation and multiple re-entries.</p>	NA	
<p><b>FF Indicator 5.6.a</b> On family forests, a sustained yield harvest level analysis shall be completed. Data used in the analysis may include but is not limited to:</p> <ul style="list-style-type: none"> <li>- regional growth data;</li> <li>- age-class and species distributions;</li> <li>- stocking rates required to meet management objectives;</li> <li>- ecological and legal constraints;</li> <li>- empirical growth and regeneration data; and,</li> <li>- validated forest productivity models.</li> </ul>	C	<p>The DoF has initiated a state wide continuous forest inventory (CFI) system that will permit estimates of growth and removal across the Classified Forest &amp; Wildlands Program as a whole. The third year of data collection is just being concluded. Once this data is analyzed, there will be trend data specific to classified forests available. Given the low priority of timber harvesting expressed by most landowners in the classified program, and the anticipated time and expense, individual, property level analysis is not justified, nor useful at this time. The data provided at the state level should provide sufficient assurance of trends on land within the classified program.</p>
<b>5.6.b</b> Average annual harvest levels, over rolling periods of no more than 10 years, do not exceed the calculated sustained yield harvest level.	NA	
<b>FF Indicator 5.6.b.</b> On family forests, harvest levels and rates do not exceed growth rates over successive harvests, contribute directly to achieving desired future conditions	C	<p>In response to an observation during the 2013 audit, the DoF provided the table below, which is based on FIA data and measures growth and removal of all trees 5 inch dbh or greater in cubic feet. The data is listed by FIA Regions. The data shows</p>

<p>as defined in the forest management plans, and do not diminish the long term ecological integrity and productivity of the site.</p>		<p>that at the state level, there is far more growth than removal. This is likely particularly true on group participants’ properties, where the emphasis is rarely on removals and most properties are not undergoing regular harvests. Even on state lands, where removal is more regular, harvests are approaching 60% of growth.</p> <table border="1" data-bbox="852 451 1534 724"> <thead> <tr> <th>UNIT</th> <th>GROWTH</th> <th>REMOVAL</th> <th>NET</th> </tr> </thead> <tbody> <tr> <td>North</td> <td>69,293,486</td> <td>7,404,432</td> <td>61,889,054</td> </tr> <tr> <td>Lower Wabash</td> <td>43,588,661</td> <td>23,710,321</td> <td>19,878,340</td> </tr> <tr> <td>Upland Flats</td> <td>30,115,742</td> <td>2,368,187</td> <td>27,747,555</td> </tr> <tr> <td><u>Knobs</u></td> <td><u>59,260,938</u></td> <td><u>28,947,145</u></td> <td><u>30,313,793</u></td> </tr> <tr> <td>Statewide</td> <td>202,258,827</td> <td>62,430,085</td> <td>139,828,742</td> </tr> </tbody> </table>	UNIT	GROWTH	REMOVAL	NET	North	69,293,486	7,404,432	61,889,054	Lower Wabash	43,588,661	23,710,321	19,878,340	Upland Flats	30,115,742	2,368,187	27,747,555	<u>Knobs</u>	<u>59,260,938</u>	<u>28,947,145</u>	<u>30,313,793</u>	Statewide	202,258,827	62,430,085	139,828,742
UNIT	GROWTH	REMOVAL	NET																							
North	69,293,486	7,404,432	61,889,054																							
Lower Wabash	43,588,661	23,710,321	19,878,340																							
Upland Flats	30,115,742	2,368,187	27,747,555																							
<u>Knobs</u>	<u>59,260,938</u>	<u>28,947,145</u>	<u>30,313,793</u>																							
Statewide	202,258,827	62,430,085	139,828,742																							
<p><b>5.6.c</b> Rates and methods of timber harvest lead to achieving desired conditions, and improve or maintain health and quality across the FMU. Overstocked stands and stands that have been depleted or rendered to be below productive potential due to natural events, past management, or lack of management, are returned to desired stocking levels and composition at the earliest practicable time as justified in management objectives.</p>	<p>C</p>	<p>Almost every harvest visited during the field audit included removals for forest health reasons. High mortality of tulip poplar following the 2008 drought has led most landowners to salvage dying poplar where possible. Group participants are also removing mature ash in advance of the EAB. Removals of these two species alone is helping to reduce overstocked stands and salvage harvests improve forest health.</p>																								
<p><b>5.6.d</b> For NTFPs, calculation of quantitative sustained yield harvest levels is required only in cases where products are harvested in significant commercial operations or where traditional or customary use rights may be impacted by such harvests. In other situations, the forest owner or manager utilizes available information, and new information that can be reasonably gathered, to set harvesting levels that will not result in a depletion of the non-timber growing stocks or other adverse effects to the forest ecosystem.</p>	<p>NA</p>	<p>No landowners were found to be collecting NTFPs at significant levels or for commercial operations.</p>																								
<p><b>Principle #6: Forest management shall conserve biological diversity and its associated values, water resources, soils, and unique and fragile ecosystems and landscapes, and, by so doing, maintain the ecological functions and the integrity of the forest.</b></p>																										
<p><b>6.1. Assessments of environmental impacts shall be completed -- appropriate to the scale, intensity of forest management and the uniqueness of the affected resources -- and adequately integrated into management systems. Assessments shall include landscape level considerations as well as the impacts of on-site processing facilities. Environmental impacts shall be assessed prior to commencement of site-disturbing operations.</b></p>	<p>NE</p>																									
<p><b>6.1.a</b> Using the results of <i>credible scientific analysis, best available information</i> (including relevant databases), and</p>	<p>NE</p>																									

<p>local knowledge and experience, an assessment of conditions on the FMU is completed and includes:</p> <ol style="list-style-type: none"> <li>1) Forest community types and development, size class and/or successional stages, and associated <b>natural disturbance regimes</b>;</li> <li>2) <b>Rare, Threatened and Endangered (RTE) species</b> and <b>rare ecological communities</b> (including plant communities);</li> <li>3) Other habitats and species of management concern;</li> <li>4) Water resources and associated riparian habitats and hydrologic functions;</li> <li>5) <b>Soil resources</b>; and</li> <li>6) <b>Historic conditions</b> on the FMU related to forest community types and development, size class and/or successional stages, and a broad comparison of historic and current conditions.</li> </ol>		
<p><b>6.1.b</b> Prior to commencing site-disturbing activities, the forest owner or manager assesses and documents the potential short and long-term impacts of planned management activities on elements 1-5 listed in Criterion 6.1.a.</p> <p>The assessment must incorporate the <b>best available information</b>, drawing from scientific literature and experts. The impact assessment will at minimum include identifying resources that may be impacted by management (e.g., streams, habitats of management concern, soil nutrients). Additional detail (i.e., detailed description or quantification of impacts) will vary depending on the uniqueness of the resource, potential risks, and steps that will be taken to avoid and minimize risks.</p>	NC	See Minor CAR 2018.1.
<p><b>6.1.c</b> Using the findings of the impact assessment (Indicator 6.1.b), management approaches and field prescriptions are developed and implemented that: 1) avoid or minimize negative short-term and long-term impacts; and, 2) maintain and/or enhance the long-term ecological viability of the forest.</p>	NE	
<p><b>6.1.d</b> On public lands, assessments developed in Indicator 6.1.a and management approaches developed in Indicator 6.1.c are made available to the public in draft form for review and comment prior to finalization. Final assessments are also made available.</p>	NE	
<p><b>6.2 Safeguards shall exist which protect rare, threatened and endangered species and their habitats (e.g., nesting and feeding areas). Conservation zones and protection</b></p>	C	

<p><b>areas shall be established, appropriate to the scale and intensity of forest management and the uniqueness of the affected resources. Inappropriate hunting, fishing, trapping, and collecting shall be controlled.</b></p>		
<p><b>6.2.a</b> If there is a likely presence of RTE species as identified in Indicator 6.1.a then either a field survey to verify the species' presence or absence is conducted prior to site-disturbing management activities, or management occurs with the assumption that potential RTE species are present.</p> <p>Surveys are conducted by biologists with the appropriate expertise in the species of interest and with appropriate qualifications to conduct the surveys. If a species is determined to be present, its location should be reported to the manager of the appropriate database.</p>	<p>NA</p>	<p>Family Forest certificate, see FF 6.2.a, below.</p>
<p><b>FF Indicator 6.2.a</b> If there is a likely presence of RTE species as identified in Indicator 6.1.a then either a field survey to verify the species' presence or absence is conducted prior to site-disturbing management activities, or management occurs with the assumption that potential RTE species are present. Surveys are conducted by biologists with the appropriate expertise in the species of interest and with appropriate qualifications to conduct the surveys. A secondary review of the survey does not need to be included in the process. If a species is determined to be present, its location should be reported to the manager of the appropriate database.</p>	<p>C</p>	<p>Per DoF procedures, Natural Heritage database surveys are completed when preparing management plans and prior to a harvest. If the Natural Heritage database query indicates possible presence of forest dwelling RTE species, management occurs with the assumption that they are present. Auditors observed conformance with these requirements. Through interviews and file reviews, verified DF's are using appropriate resources to determine habitat needs of RTE species when Natural Heritage hits come up. Many of the Natural Heritage hits are wetland plants that are outside of timber harvest areas. District Foresters could benefit from refresher training on steps to take in the case of Natural Heritage hits of forest dwelling fauna (see CAR 2014.15).</p>
<p><b>6.2.b</b> When RTE species are present or assumed to be present, modifications in management are made in order to maintain, restore or enhance the extent, quality and viability of the species and their habitats. <b>Conservation zones</b> and/or <b>protected areas</b> are established for RTE species, including those S3 species that are considered rare, where they are necessary to maintain or improve the short and long-term viability of the species. Conservation measures are based on relevant science, guidelines and/or consultation with relevant, independent experts as necessary to achieve the conservation goal of the Indicator.</p>	<p>C</p>	<p>Most Natural Heritage occurrences are within wetland or river corridors that are not impacted by timber harvests. However, when occurrences do occur within forested areas, appropriate actions are taken. Confirmed foresters in District 1, 2, 12, and 19 consult with DNR Wildlife when additional information is needed regarding management modification.</p>
<p><b>6.2.c</b> For medium and large public forests (e.g. state forests), forest management plans and operations are designed to meet species' recovery goals, as well as landscape level biodiversity conservation goals.</p>	<p>NA</p>	<p>All group members have privately owned lands under the scope of this certificate.</p>

<p><b>6.2.d</b> Within the capacity of the forest owner or manager, hunting, fishing, trapping, collecting and other activities are controlled to avoid the risk of impacts to vulnerable species and communities (See Criterion 1.5).</p>	<p>C</p>	<p>As all lands within the program are privately owned, hunting, fishing, etc., is strictly controlled by the owners.</p>
<p><b>6.3. Ecological functions and values shall be maintained intact, enhanced, or restored, including: a) Forest regeneration and succession. b) Genetic, species, and ecosystem diversity. c) Natural cycles that affect the productivity of the forest ecosystem.</b></p>	<p>C</p>	
<p><b>6.3.a.1</b> The forest owner or manager maintains, enhances, and/or restores under-represented <b>successional</b> stages in the FMU that would naturally occur on the types of sites found on the FMU. Where old growth of different community types that would naturally occur on the forest are under-represented in the landscape relative to natural conditions, a portion of the forest is managed to enhance and/or restore old growth characteristics.</p>	<p>C</p>	<p>Early and late successional forest stages are under-represented the State of Indiana per DNR analysis of inventory and wildlife data. Via tax incentives, the ICFCG encourages landowners to maintain land as forest. ICFCG contributes to moving forest to late successional because a significant percentage of group members do not harvest timber on their properties. However, the regeneration harvests necessary to create early successional habitat tend not to be a good fit in economic, ecological, or social terms given the small parcel size. Despite this challenge, ICFCG does encourage landowners to take steps to regenerate oak and other early successional types through Stewardship meetings, information brochures, and individual engagements by staff foresters.</p>
<p><b>6.3.a.2</b> When a <b>rare ecological community</b> is present, modifications are made in both the management plan and its implementation in order to maintain, restore or enhance the viability of the community. Based on the vulnerability of the existing community, <b>conservation zones</b> and/or <b>protected areas</b> are established where warranted.</p>	<p>C</p>	<p>Rare ecological communities are identified through the Natural Heritage database. When rare communities are identified for a property, District Foresters ensure this information is in the Forest Management Plan and will advise landowner to protect that community. These were confirmed in all FMPs during the 2018 audit.</p> <p>Other rare community types, which are not rare enough to be tracked in Natural Heritage database, are identified by District Foresters during property inspections. Given that most of silviculture on ICFCG group members is single tree selection, it is unlikely that rare community types would be damaged by logging.</p>
<p><b>6.3.a.3</b> When they are present, management maintains the area, structure, composition, and processes of all <b>Type 1</b> and <b>Type 2 old growth</b>. Type 1 and 2 old growth are also protected and buffered as necessary with conservation zones, unless an alternative plan is developed that provides greater overall protection of old growth values.</p> <p>Type 1 Old Growth is protected from harvesting and road construction. Type 1 old growth is also protected from other timber management activities, except as needed to maintain the ecological values associated with the stand,</p>	<p>C</p>	<p>ICFCG tracts will be continuously assessed for the presence of HCVF, including old growth by District Foresters during regular tract reinspections and other property visits. Candidate areas will be submitted by the District Forester to the Group Manager who will determine if further evaluation is needed. If further evaluation is warranted, the Group Manager will set up an assessment committee.</p> <p>Forestry staff, when interviewed, demonstrated knowledge of this requirement and were able to identify key staff for assistance as well as reference key documents.</p>

<p>including old growth attributes (e.g., remove exotic species, conduct controlled burning, and thinning from below in dry forest types when and where restoration is appropriate).</p> <p>Type 2 Old Growth is protected from harvesting to the extent necessary to maintain the area, structures, and functions of the stand. Timber harvest in Type 2 old growth must maintain old growth structures, functions, and components including individual trees that function as refugia (see Indicator 6.3.g).</p> <p>On public lands, old growth is protected from harvesting, as well as from other timber management activities, except if needed to maintain the values associated with the stand (e.g., remove exotic species, conduct controlled burning, and thinning from below in forest types when and where restoration is appropriate).</p> <p>On American Indian lands, timber harvest may be permitted in Type 1 and Type 2 old growth in recognition of their sovereignty and unique ownership. Timber harvest is permitted in situations where:</p> <ol style="list-style-type: none"> <li>1. Old growth forests comprise a significant portion of the tribal ownership.</li> <li>2. A history of forest stewardship by the tribe exists.</li> <li>3. High Conservation Value Forest attributes are maintained.</li> <li>4. Old-growth structures are maintained.</li> <li>5. Conservation zones representative of old growth stands are established.</li> <li>6. Landscape level considerations are addressed.</li> <li>7. Rare species are protected.</li> </ol>		
<p><b>6.3.b</b> To the extent feasible within the size of the ownership, particularly on larger ownerships (generally tens of thousands or more acres), management maintains, enhances, or restores habitat conditions suitable for well-distributed populations of animal species that are characteristic of forest ecosystems within the landscape.</p>	<p>NA</p>	<p>Not applicable given the small size of CF properties.</p>
<p><b>6.3.c</b> Management maintains, enhances and/or restores the plant and wildlife habitat of <b>Riparian Management Zones (RMZs)</b> to provide:</p> <ol style="list-style-type: none"> <li>a) habitat for aquatic species that breed in surrounding uplands;</li> <li>b) habitat for predominantly terrestrial species that breed in adjacent <b>aquatic habitats</b>;</li> </ol>	<p>C</p>	<p>RMZ are protected through implementation of Indiana BMPs. Audit team observed good conformance with RMZ protection during 2018 audit.</p>

<p>c) habitat for species that use riparian areas for feeding, cover, and travel;</p> <p>d) habitat for plant species associated with riparian areas; and,</p> <p>e) stream shading and inputs of wood and leaf litter into the adjacent aquatic ecosystem.</p>		
<p><b>Stand-scale Indicators</b></p> <p><b>6.3.d</b> Management practices maintain or enhance plant species composition, distribution and frequency of occurrence similar to those that would naturally occur on the site.</p>	C	<p>Silviculture practices observed on ICFCG group members is generally consistent with maintaining plant species composition. ICFCG members manage for a diversity of species. Indiana has strong timber markets that utilize a diversity of species, e.g., a timber sale in District 19 included the sale of 14 different tree species. Plantings tend to be skewed toward more marketable species such as oak and walnut. However, the percent composition of oak in Indiana is decreasing, thus favoring oak in plantings is justified both ecologically and economically.</p>
<p><b>6.3.e</b> When planting is required, a local source of known provenance is used when available and when the local source is equivalent in terms of quality, price and productivity. The use of non-local sources shall be justified, such as in situations where other management objectives (e.g. disease resistance or adapting to climate change) are best served by non-local sources. <b>Native species</b> suited to the site are normally selected for regeneration.</p>	C	<p>Nearly all planting stock comes from the State of Indiana nurseries that use local seed of known provenance to grow trees.</p>
<p><b>6.3.f</b> Management maintains, enhances, or restores habitat components and associated stand structures, in abundance and distribution that could be expected from naturally occurring processes. These components include:</p> <p>a) large live trees, live trees with decay or declining health, <b>snags</b>, and well-distributed coarse down and dead woody material. <b>Legacy trees</b> where present are not harvested; and</p> <p>b) vertical and horizontal complexity.</p> <p>Trees selected for <b>retention</b> are generally representative of the dominant species found on the site.</p>	C	<p>The majority of land owners practice selection harvest, no instances of clear cuts were observed in the 2018 audit. As a result, large live trees, snags, CWD, legacy trees, retention and vertical/horizontal complexity were abundantly observed throughout the 2018 audit.</p>
<p><b>6.3.g.1</b> In the Southeast, Appalachia, Ozark-Ouachita, Mississippi Alluvial Valley, and Pacific Coast Regions, when <b>even-aged systems</b> are employed, and during salvage harvests, live trees and other native vegetation are retained within the harvest unit as described in Appendix C for the applicable region.</p> <p>In the Lake States Northeast, Rocky Mountain and Southwest Regions, when even-aged silvicultural systems are employed, and during salvage harvests, live trees and</p>	C	<p>Green Tree Retention Policy (p. 16 of IFC Umbrella Plan). Regeneration harvests greater than 20 acres are very uncommon on ICFCG properties. No regeneration harvests of this size were visited during audit.</p>



<p>other native vegetation are retained within the harvest unit in a proportion and configuration that is consistent with the characteristic natural disturbance regime unless retention at a lower level is necessary for the purposes of restoration or rehabilitation. See Appendix C for additional regional requirements and guidance.</p>		
<p><b>6.3.g.2</b> Under very limited situations, the landowner or manager has the option to develop a qualified plan to allow minor departure from the opening size limits described in Indicator 6.3.g.1. A qualified plan:</p> <ol style="list-style-type: none"> <li>1. Is developed by qualified experts in ecological and/or related fields (wildlife biology, hydrology, landscape ecology, forestry/silviculture).</li> <li>2. Is based on the totality of the <b>best available information</b> including peer-reviewed science regarding natural disturbance regimes for the FMU.</li> <li>3. Is spatially and temporally explicit and includes maps of proposed openings or areas.</li> <li>4. Demonstrates that the variations will result in equal or greater benefit to wildlife, water quality, and other values compared to the normal opening size limits, including for sensitive and rare species.</li> <li>5. Is reviewed by independent experts in wildlife biology, hydrology, and landscape ecology, to confirm the preceding findings.</li> </ol>	<p>NA</p>	<p>ICFCG has not had the need to justify a departure to green tree retention requirements.</p>
<p><b>6.3.h</b> The forest owner or manager assesses the risk of, prioritizes, and, as warranted, develops and implements a strategy to prevent or control <b>invasive species</b>, including:</p> <ol style="list-style-type: none"> <li>1. a method to determine the extent of invasive species and the degree of threat to native species and ecosystems;</li> <li>2. implementation of management practices that minimize the risk of invasive establishment, growth, and spread;</li> <li>3. eradication or control of established invasive populations when feasible: and,</li> <li>4. monitoring of control measures and management practices to assess their effectiveness in preventing or controlling invasive species.</li> </ol>	<p>C</p>	<p>Interviews with ICFCG members, District Foresters, and consulting foresters showed a high level of awareness about invasive species. All management plans reviewed contained recommendation for treating invasive species, when they were present. Visited numerous properties where invasive species control projects were occurring. Funding for invasive species control is available and widely used via Environmental Quality Incentive Program (EQIP).</p>
<p><b>6.3.i</b> In applicable situations, the forest owner or manager identifies and applies site-specific fuels management practices, based on: (1) natural fire regimes, (2) risk of wildfire, (3) potential economic losses, (4) public safety, and (5) applicable laws and regulations.</p>	<p>C</p>	<p>The Division of Forestry, Fire Management Program provides organizational, operational and technical support regarding wildland and prescribed fire management. Indiana Code 14-23-5-1 outlines the Division of Forestry’s fire responsibilities. The Division of Forestry assumes Wildland fire responsibilities on ICFCG properties. The Division usually fulfills this responsibility</p>

		through Cooperative Agreements with local fire departments to provide initial attack on wildland fires.
<b>6.4. Representative samples of existing ecosystems within the landscape shall be protected in their natural state and recorded on maps, appropriate to the scale and intensity of operations and the uniqueness of the affected resources.</b>	NE	
<b>6.5 Written guidelines shall be prepared and implemented to control erosion; minimize forest damage during harvesting, road construction, and all other mechanical disturbances; and to protect water resources.</b>	NE	
<b>6.6. Management systems shall promote the development and 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.</b>	NE	
<b>6.7. Chemicals, containers, liquid and solid non-organic wastes including fuel and oil shall be disposed of in an environmentally appropriate manner at off-site locations.</b>	NE	
<b>6.8. Use of biological control agents shall be documented, minimized, monitored, and strictly controlled in accordance with national laws and internationally accepted scientific protocols. Use of genetically modified organisms shall be prohibited.</b>	NE	
<b>6.9. The use of exotic species shall be carefully controlled and actively monitored to avoid adverse ecological impacts.</b>	C	
<b>6.9.a</b> The use of <i>exotic species</i> is contingent on the availability of credible scientific data indicating that any such species is non-invasive and its application does not pose a risk to native biodiversity.	C	The Umbrella Management plan includes planting and seeding recommendations. The document presents abundant cautions for seed mixes and nursery stock, especially non-woody plants used to stabilize bare soils and in food plots for wildlife. Exotic species are used almost exclusively for erosion control or as food for wildlife, with care taken to prevent invasive species. Red and white pine, not normally present in Indiana hardwood forests, are produced by the state nursery and used primarily for planting old field and mine reclamation sites.
<b>6.9.b</b> If exotic species are used, their provenance and the location of their use are documented, and their ecological	C	White pine, red pine, and black locust come from adjacent states or the few sites in the state where these species

<p>effects are actively monitored.</p>		<p>naturally occur. Most of the pine planted on private land in Indiana comes from the state nursery, which maintains documentation on a given species' provenance. Indiana DNR cooperates with Purdue University on monitoring of planting and forest improvement programs.</p>
<p><b>6.9.c</b> The forest owner or manager shall take timely action to curtail or significantly reduce any adverse impacts resulting from their use of exotic species</p>	<p>C</p>	<p>Exotic species currently in use for commercial and management purposes pose few risks for adverse impacts. Observed exemplary efforts at many group member properties (see 2014 site notes) at identifying and controlling invasive species such as stiltgrass and ailanthus.</p>
<p><b>6.10. Forest conversion to plantations or non-forest land uses shall not occur, except in circumstances where conversion:</b>  <b>a) Entails a very limited portion of the forest management unit; and b) Does not occur on High Conservation Value Forest areas; and c) Will enable clear, substantial, additional, secure, long-term conservation benefits across the forest management unit.</b></p>	<p>NE</p>	
<p><b>Principle #7: A management plan -- appropriate to the scale and intensity of the operations -- shall be written, implemented, and kept up to date. The long-term objectives of management, and the means of achieving them, shall be clearly stated.</b></p>		
<p><b>7.1. The management plan and supporting documents shall provide:</b>  <b>a. Management objectives. b) description of the forest resources to be managed, environmental limitations, land use and ownership status, socio-economic conditions, and a profile of adjacent lands.</b>  <b>b. Description of silvicultural and/or other management system, based on the ecology of the forest in question and information gathered through resource inventories. d) Rationale for rate of annual harvest and species selection. e) Provisions for monitoring of forest growth and dynamics. f) Environmental safeguards based on environmental assessments. g) Plans for the identification and protection of rare, threatened and endangered species.</b>  <b>b) h) Maps describing the forest resource base including protected areas, planned management activities and land ownership.</b>  <b>i) Description and justification of harvesting techniques and equipment to be used.</b></p>	<p>NE</p>	
<p><b>7.3 Forest workers shall receive adequate training and supervision to ensure proper implementation of the management plans.</b></p>	<p>NE</p>	
<p><b>7.3.a</b> Workers are qualified to properly implement the management plan; All forest workers are provided with</p>	<p>C</p>	<p>See closure of OBS 2017.2 for more detail.</p>

sufficient guidance and supervision to adequately implement their respective components of the plan.		
<b>7.4 While respecting the confidentiality of information, forest managers shall make publicly available a summary of the primary elements of the management plan, including those listed in Criterion 7.1.</b>	C	
<b>7.4.a</b> While respecting landowner confidentiality, the management plan or a management plan summary that outlines the elements of the plan described in Criterion 7.1 is available to the public either at no charge or a nominal fee.	C	See closure of OBS 2017.3 for more detail.
<b>7.4.b</b> Managers of public forests make draft management plans, revisions and supporting documentation easily accessible for public review and comment prior to their implementation. Managers address public comments and modify the plans to ensure compliance with this Standard.	NE	
<b>Principle #8: Monitoring shall be conducted -- appropriate to the scale and intensity of forest management -- to assess the condition of the forest, yields of forest products, chain of custody, management activities and their social and environmental impacts.</b>		
<b>8.1 The frequency and intensity of monitoring should be determined by the scale and intensity of forest management operations, as well as, the relative complexity and fragility of the affected environment. Monitoring procedures should be consistent and replicable over time to allow comparison of results and assessment of change.</b>	C	
<b>8.1.a</b> Consistent with the scale and intensity of management, the forest owner or manager develops and consistently implements a regular, comprehensive, and replicable written monitoring protocol.	C	
<b>FF Indicator 8.1.a</b> For Family Forests, the forest owner or manager develops and consistently implements a regular, comprehensive, and replicable written monitoring protocol. Monitoring may be scaled to the size and intensity of the management operations that affect the resources identified in C8.2.	C	Section "Forest Growth & Dynamics Monitoring" in the group plan describes group manager and group member monitoring roles. In addition to FIA & CFI plot establishment and monitoring, DoF conducts regular BMP monitoring on 10% of reported harvest sites annually. All parcels in the Classified Forest & Wildlands Program are visited and reviewed every five - seven years by a District Forester. Group members are responsible for informal, qualitative monitoring of forest conditions.
<b>8.2. Forest management should include the research and data collection needed to monitor, at a minimum, the following indicators: a) yield of all forest products harvested, b) growth rates, regeneration, and condition of the forest, c) composition and observed changes in the flora and fauna, d) environmental and social impacts of</b>	C	

<p><b>harvesting and other operations, and e) cost, productivity, and efficiency of forest management.</b></p>		
<p><b>8.2.a.1</b> For all commercially harvested products, an inventory system is maintained. The inventory system includes at a minimum: a) species, b) volumes, c) stocking, d) regeneration, and e) stand and forest composition and structure; and f) timber quality.</p>	C	<p>Indiana uses FIA and CFI (continuous forest inventory) to monitor the classified system as a whole.</p>
<p><b>8.2.a.2</b> Significant, unanticipated removal or loss or increased vulnerability of forest resources is monitored and recorded. Recorded information shall include date and location of occurrence, description of disturbance, extent and severity of loss, and may be both quantitative and qualitative.</p>	C	<p>Monitoring of unanticipated loss occurs through:</p> <ul style="list-style-type: none"> <li>• Indiana DoF Forest Health Surveys (aerial surveys)</li> <li>• Landowner identification resulting in visit from District Forester or consultant.</li> <li>• Forest inventory prior to and following harvest activities</li> <li>• Unanticipated removal (i.e., timber theft) is uncommon and thus only monitored passively.</li> </ul>
<p><b>8.2.b</b> The forest owner or manager maintains records of harvested timber and NTFPs (volume and product and/or grade). Records must adequately ensure that the requirements under Criterion 5.6 are met.</p>	C	<p>Annual reports collected by DoF from each landowner in the program collect harvest data, including number of trees harvested, bd ft volume, and species. Although landowners do not always provide the information, an adequate system is in place to monitor annual removals.</p> <p>The Group Manager, DNR, reported 24 MMBF (estimated) volume of product harvested in 2017 for the 2018 audit from “green certified” lands.</p>
<p><b>8.2.c</b> The forest owner or manager periodically obtains data needed to monitor presence on the FMU of:</p> <ol style="list-style-type: none"> <li>1) Rare, threatened and endangered species and/or their <b>habitats</b>;</li> <li>2) Common and rare plant communities and/or habitat;</li> <li>3) Location, presence and abundance of invasive species;</li> <li>4) Condition of protected areas, set-asides and buffer zones;</li> <li>5) High Conservation Value Forests (see Criterion 9.4).</li> </ol>	C	<ul style="list-style-type: none"> <li>• DoF periodically monitors habitat conditions for all plants and animals as part of its periodic inventory of forest stand types and stocking levels.</li> <li>• The location and status of invasive species is routinely monitored by field foresters.</li> <li>• DoF works with the Division of Nature Preserves to monitor the condition of protected areas and set-asides.</li> </ul> <p>District foresters monitor classified lands during classified reinspections.</p>
<p><b>8.2.d.1</b> Monitoring is conducted to ensure that site specific plans and operations are properly implemented, environmental impacts of site disturbing operations are minimized, and that harvest prescriptions and guidelines are effective.</p>	C	<p>Such monitoring occurs and is described in the DoF Classified Forest &amp; Wildlands Procedures Manual and the Group Umbrella Plan. A sample of 10% of harvest sites are monitored for BMP impacts annually. All harvest sites are subject to close-out inspections.</p>
<p><b>8.2.d.2</b> A monitoring program is in place to assess the condition and environmental impacts of the forest-road system.</p>	C	<p>Such monitoring occurs and is described in the DoF Classified Forest &amp; Wildlands Procedure Manual and the Group Umbrella Plan.</p>
<p><b>8.2.d.3</b> The landowner or manager monitors relevant socio-economic issues (see Indicator 4.4.a), including the social impacts of harvesting, participation in local economic opportunities (see Indicator 4.1.g), the creation and/or maintenance of quality job opportunities (see</p>	C	<p>Addressed in the Indiana <a href="#">Statewide Forest Assessment &amp; Strategy</a>.</p>

Indicator 4.1.b), and local purchasing opportunities (see Indicator 4.1.e).		
<b>8.2.d.4</b> Stakeholder responses to management activities are monitored and recorded as necessary.	C	See Family Forest applicability note and DoF determination of NA.
<b>8.2.d.5</b> Where sites of cultural significance exist, the opportunity to jointly monitor sites of cultural significance is offered to tribal representatives (see Principle 3).	C	Archeological reviews continue prior to timber harvests.
<b>8.2.e</b> The forest owner or manager monitors the costs and revenues of management in order to assess productivity and efficiency.	C	Timber management activities on non-industrial properties are structured and monitored to ensure revenue is sufficient to pay for the logging costs and the consulting forester. Since harvests typically only occur every 15-20 years, there is little opportunity to assess productivity and efficiency of management on any regular basis. Land owners use simple cost-benefit calculations to determine efficiency of their overall management choices (i.e., enroll in Classified Forests and manage for timber products).
<b>8.3 Documentation shall be provided by the forest manager to enable monitoring and certifying organizations to trace each forest product from its origin, a process known as the "chain of custody."</b>	C	
<b>8.3.a</b> When forest products are being sold as FSC-certified, the forest owner or manager has a system that prevents mixing of FSC-certified and non-certified forest products prior to the point of sale, with accompanying documentation to enable the tracing of the harvested material from each harvested product from its origin to the point of sale.	C	See COC indicators for FMEs.
<b>8.3.b</b> The forest owner or manager maintains documentation to enable the tracing of the harvested material from each harvested product from its origin to the point of sale.	C	See COC indicators for FMEs.
<b>8.4 The results of monitoring shall be incorporated into the implementation and revision of the management plan.</b>	C	
<b>8.4.a</b> The forest owner or manager monitors and documents the degree to which the objectives stated in the management plan are being fulfilled, as well as significant deviations from the plan.	C	Addressed during and following harvest, during 5-year re-inspection as needed, and at 10-year plan re-write. All DF's are provided with tablet computers and access to centralized planning database to facilitate plan updates. Statewide BMP monitoring on CWP parcels helps assess how well BMPs are being implemented generally across the State on ICFCG members.
<b>8.4.b</b> Where monitoring indicates that management objectives and guidelines, including those necessary for conformance with this Standard, are not being met or if changing conditions indicate that a change in management	C	Occurs through 5-year re-inspections and post-harvest monitoring. When management activities deviate from the plan, DF's follow-up with recommended and/or mandatory

<p>strategy is necessary, the management plan, operational plans, and/or other plan implementation measures are revised to ensure the objectives and guidelines will be met. If monitoring shows that the management objectives and guidelines themselves are not sufficient to ensure conformance with this Standard, then the objectives and guidelines are modified.</p>		<p>actions to ensure the trajectory of the property is aligned to management objectives.</p>
<p><b>8.5 While respecting the confidentiality of information, forest managers shall make publicly available a summary of the results of monitoring indicators, including those listed in Criterion 8.2.</b></p>	<p>C/NC</p>	
<p><b>8.5.a</b> While protecting landowner confidentiality, either full monitoring results or an up-to-date summary of the most recent monitoring information is maintained, covering the Indicators listed in Criterion 8.2, and is available to the public, free or at a nominal price, upon request.</p>	<p>C</p>	
<p><b>Principle #9: Management activities in high conservation value forests shall maintain or enhance the attributes which define such forests. Decisions regarding high conservation value forests shall always be considered in the context of a precautionary approach.</b></p> <p><b>High Conservation Value Forests are those that possess one or more of the following attributes:</b></p> <ul style="list-style-type: none"> <li>a) Forest areas containing globally, regionally or nationally significant: concentrations of biodiversity values (e.g., endemism, endangered species, refugia); and/or large landscape level forests, contained within, or containing the management unit, where viable populations of most if not all naturally occurring species exist in natural patterns of distribution and abundance</li> <li>b) Forest areas that are in or contain rare, threatened or endangered ecosystems</li> <li>c) Forest areas that provide basic services of nature in critical situations (e.g., watershed protection, erosion control)</li> <li>d) Forest areas fundamental to meeting basic needs of local communities (e.g., subsistence, health) and/or critical to local communities' traditional cultural identity (areas of cultural, ecological, economic or religious significance identified in cooperation with such local communities).</li> </ul>		
<p><b>9.1 Assessment to determine the presence of the attributes consistent with High Conservation Value Forests will be completed, appropriate to scale and intensity of forest management.</b></p>	<p>NE</p>	
<p><b>9.2 The consultative portion of the certification process must place emphasis on the identified conservation attributes, and options for the maintenance thereof.</b></p>	<p>NE</p>	
<p><b>9.3 The management plan shall include and implement specific measures that ensure the maintenance and/or enhancement of the applicable conservation attributes consistent with the precautionary approach. These measures shall be specifically included in the publicly available management plan summary.</b></p>	<p>NE</p>	
<p><b>9.4 Annual monitoring shall be conducted to assess the effectiveness of the measures employed to maintain or enhance the applicable conservation attributes.</b></p>	<p>C</p>	
<p><b>9.4.a</b> The forest owner or manager monitors, or participates in a program to annually monitor, the status of</p>	<p>C</p>	<p>No evidence of non-compliance was noted in the field. Nature Preserves (HCVF I) are monitored annually by Regional</p>

<p>the specific HCV attributes, including the effectiveness of the measures employed for their maintenance or enhancement. The monitoring program is designed and implemented consistent with the requirements of Principle 8.</p> <p><b>FF Indicator: Low risk of negative social or environmental impact for private family forests. Public lands must follow the requirements in Indicator 9.4.a.</b></p>		<p>Ecologist with the Division of Nature Preserves. District foresters informally monitor during classified reinspections.</p>
<p><b>9.4.b</b> When monitoring results indicate increasing risk to a specific HCV attribute, the forest owner/manager re-evaluates the measures taken to maintain or enhance that attribute, and adjusts the management measures in an effort to reverse the trend.</p>	<p>C</p>	<p>Nature Preserves (HCVF I) are monitored annually by Regional Ecologist with the Division of Nature Preserves. District foresters informally monitor during classified reinspections.</p>

### Appendix 6 – Chain of Custody Indicators for FMEs Conformance Table

REQUIREMENT	C/ NC	COMMENT/CAR
<b>1. Quality Management</b>		
<p>1.1 The FME shall appoint a management representative as having overall responsibility and authority for the organization’s compliance with all applicable requirements of this standard.</p>	<p>C</p>	<p>Brenda Huter, Forest Stewardship Coordinator, is identified in this role in program documents.</p>
<p>1.2 A system shall be implemented to track and trace all products that are sold with an FSC Claim. For group and multiple FMU certificates, this system shall also be documented.</p>	<p>C</p>	<p>Group Umbrella Plan, section starting on page 20 titled “Marketing of Forest Products” requires retention of records for five or more years.</p>
<p>1.3 The FME shall maintain complete records of all FSC-related COC activities, including sales and training, for at least 5 years.</p>	<p>C</p>	<p>Records are maintained a minimum of 5 years as confirmed in Umbrella Plan, interviews, and inspection of group management records.</p>
<p>1.4 The FME shall define its forest gate(s) (check all that apply): <i>The forest gate is defined as the point where the change in ownership of the certified-forest product occurs.</i></p>	<p>C</p>	<p><input checked="" type="checkbox"/> <b>Stump</b> <i>Stumpage sale or sales of standing timber; transfer of ownership of certified-forest product occurs <u>upon</u> harvest.</i></p> <p><input type="checkbox"/> <b>On-site concentration yard</b> <i>Transfer of ownership of certified-product occurs at concentration yard under control of FME.</i></p> <p><input checked="" type="checkbox"/> <b>Off-site Mill/ Log Yard/ Port</b> <i>Transfer of ownership occurs when certified-product is unloaded or paid for at purchaser’s facility or a facility under the purchaser’s control.</i></p> <p><input type="checkbox"/> <b>Auction house/ Brokerage</b> <i>Transfer of ownership occurs at a government-run or private auction house/ brokerage.</i></p>



		<input checked="" type="checkbox"/> <b>Lump-sum sale/ Per Unit/ Pre-Paid Agreement</b> <i>A timber sale in which the buyer and seller agree on a total price for marked standing trees or for trees within a defined area before the wood is removed — the timber is usually paid for <u>before</u> harvesting begins. Similar to a per-unit sale.</i>  <input checked="" type="checkbox"/> <b>Log landing</b> <i>Transfer of ownership of certified-product occurs at landing/yarding areas.</i>  <input type="checkbox"/> <b>Other</b> (Please describe):
<p>1.5 The FME shall have sufficient control over its forest gate(s) to ensure that there is no risk of mixing of FSC-certified forest products covered by the scope of the FM/COC certificate with forest products from outside of the scope prior to the transfer of ownership.</p>	C	Group Umbrella Plan, section starting on page 20 titled “Marketing of Forest Products”.
<p>1.6 The FME and its contractors shall not process FSC-certified material prior to transfer of ownership at the forest gate without conforming to applicable chain of custody requirements.  <i>NOTE: This does not apply to log cutting or de-barking units, small portable sawmills or on-site processing of chips/biomass originating from the FMU under evaluation.</i></p>	C	Group Umbrella Plan, section starting on page 20 titled “Marketing of Forest Products”.
<p>1.7 The FME has supported transaction verification conducted by SCS and Accreditation Services International (ASI) by providing samples of FSC transaction data as requested by SCS.  <i>NOTE: Pricing information is not within the scope of transaction verification data disclosure.</i></p>	X	<b>N/A, no verification requested</b>
<p><b>2. Product Control, Sales and Delivery</b></p>		
<p>2.1. Products from the certified forest area shall be identifiable as certified at the forest gate(s).</p>	C	All timber sales sold as certified visited during the audit had trip tickets identifying each load as certified, with the code and claim.
<p>2.2 Information about all products sold shall be compiled and documented for all FMUs in the scope of certification, including:</p> <ol style="list-style-type: none"> <li>1) Common and scientific species name;</li> <li>2) Product name or description;</li> <li>3) Volume (or quantity) of product;</li> <li>4) Information to trace the material to the source of origin harvest block;</li> <li>5) Harvest date;</li> <li>6) If basic processing activities take place in the forest, the date and volume/quantity produced; and</li> </ol>	C	Inspection of timber sales documents and log ticket books confirmed items 1-7 are completed. Summaries of this information was provided to the audit team.

<p>7) Whether or not the material was sold with an FSC Claim.</p>		
<p>2.3. The FME shall ensure that all sales documents issued for outputs sold with FSC claims include the following information:</p> <ul style="list-style-type: none"> <li>a) name and contact details of the FME;</li> <li>b) information to identify the customer, such as their name and address;</li> <li>c) date when the document was issued;</li> <li>d) product name or description, including common and scientific species name(s);</li> <li>e) quantity of products sold;</li> <li>f) the FME’s FSC Forest Management (FM/COC) or FSC Controlled Wood (CW/FM) code;</li> <li>g) clear indication of the FSC claim for each product item or the total products as follows: <ul style="list-style-type: none"> <li>i. the claim “FSC 100%” for products from FSC 100% product groups; or</li> <li>ii. the claim “FSC Controlled Wood” for products from FSC Controlled Wood product groups.</li> </ul> </li> </ul>	<p>C</p>	<p>Group Umbrella Plan, section starting on page 20 titled “Marketing of Forest Products” includes relevant instructions. Trip tickets for certified sales checked on site during the audit were found to be in conformance.</p>
<p>2.4 If the sales documentation issued by the FME is not included with the shipment of the product and this information is relevant for the customer to identify the product as being FSC certified, the related delivery documentation has included the same information as required in indicator 2.3 and a reference linking it to the sales documentation.</p> <p><b>Note: 2.3 and 2.4 above are based on FSC-STD-40-004 V3-0 Clauses 5.1 and 5.3</b></p>	<p>C</p>	<p>Haul tickets used by COC certified primary producers include information about whether the logs are from a certified Classified Forest tract.</p>
<p>2.5 If the FME is unable to include the FSC claim and/or certificate code in sales or delivery documents, the required information has been provided to the customer through supplementary documentation (e.g. supplementary letters). In this case, the FME has obtained permission from SCS to implement supplementary documentation in accordance with the following criteria:</p> <ul style="list-style-type: none"> <li>a. there shall exist clear information linking the supplementary documentation to the sales or delivery documents;</li> <li>b. there is no risk that the customer will misinterpret which products are or are not FSC certified in the supplementary documentation; and</li> <li>c. where the sales documents contain multiple products with different FSC claims, each product</li> </ul>	<p>NA</p>	

shall be cross-referenced to the associated FSC claim provided in the supplementary documentation.		
2.6 The FME may identify products exclusively made of input materials from small or community producers by adding the following claim to sales documents: “From small or community forest producers.” This claim can be passed on along the supply chain by certificate holders. <i>A forest management unit (FMU) or group of FMUs that meet(s) the small and low-intensity managed forest eligibility criteria (FSC-STD-1-003a) and addenda. A community FMU must comply with the tenure and management criteria defined in FSC-STD-40-004.</i>	NA	
	X	N/A, not a small or community producer; or does not wish to pass along this claim.
<b>3. Labeling and Promotion</b>		<b>N/A, FME does not use/ intend to use trademarks and no trademark uses were detected during the audit.</b>
		<b>N/A, CW/FM certificates are not allowed to use FSC trademarks and no trademark uses were detected during the audit (Note: it is a Major nonconformity to 3.1 if CW/FM certificates are found to be using trademarks).</b>
3.1 The FME shall adhere to relevant trademark use requirements of FSC-STD-50-001 described in the <i>SCS Trademark Annex for FMEs</i> .	X	Refer to evidence cited in applicable trademark checklist(s) cited below.
<b>4. Outsourcing</b>	X	<b>N/A, FME does not outsource any COC-related activities, as confirmed via interviews, sales documentation, and field observation.</b>
		<b>N/A, FME outsources low-risk activities such as transport and harvesting, as confirmed via interviews, sales documentation, and field observation.</b>
4.1 The FME shall provide the names and contact details of all outsourced service providers.	NA	No outsourcing is used.
4.2 The FME shall have a control system for the outsourced process and agreement which ensures that: a) The material used for the production of FSC-certified material is traceable and not mixed with any other material prior to the point of transfer of legal ownership; b) The outsourcer keeps records of FSC-certified material covered under the outsourcing agreement; c) The FME issues the final invoice for the processed or produced FSC-certified material following outsourcing; d) The outsourcer only uses FSC trademarks on products covered by the scope of the	NA	Outsourcing is not used.

<p>outsourcing agreement and not for promotional use.</p> <p>e) The outsourcer does not further outsource the material.</p> <p>f) The outsourcer accepts the right of the certificate body to audit them.</p>		
<p><b>5. Training and/or Communication Strategies</b></p>		
<p>5.1 All relevant FME staff and outsourcers shall be trained in the FME’s COC control system commensurate with the scale and intensity of operations and shall demonstrate competence in implementing the FME’s COC control system.</p>	<p>C</p>	<p>FME staff receive COC-related training. District Foresters demonstrated how training records are logged in an online database administered by the central office. District foresters instruct loggers and consulting foresters in obtaining the CoC number in the event of a certified sale. Group participants conducting a certified sale were visited during the audit and their CoC documentation found to be in order. Documentation of training provided in 2017 for loggers and consultants was provided.</p>
<p>5.2 The FME shall maintain up-to-date records of its COC training and/or communications program, such as a list of trained employees, completed COC trainings or communications, the intended frequency of COC training (e.g., training plan), and related program materials (e.g., presentations, memos, contracts, employee handbooks, etc.).</p>	<p>C</p>	<p>FME staff receive COC-related training. District Foresters demonstrated how training records are logged in an online database administered by the central office.</p>

**Appendix 7 – Trademark Standard Conformance Table**

Trademark Standard was not evaluated during this evaluation.

**SCS Trademark Annex for FMEs: FSC Trademarks, FSC-STD-50-001 V2-0**

PART I: General Requirements for Use of the FSC Trademarks  
(FSC “checkmark-and-tree” logo, initials “FSC,” and/or name “Forest Stewardship Council”)

<p><b>Description</b> of how the FME currently uses, or intends to use, FSC trademarks and/or labels, including but not limited to printed materials, Internet applications, on-product labeling, and other public-facing media:</p>	<p>ICFCG used FSC trademarks/logos on their public website, in group manual (Umbrella Plan), and some informational brochures and maps.</p>
--	---

<p><b>1.2 Trademark License Agreement and valid certificate</b>                  In order to use these FSC trademarks, the FME shall have a valid FSC trademark license agreement and hold a valid certificate.  <i>Note: Consultations for certification Organizations applying for forest management certification or conducting activities related to the implementation of controlled wood requirements, may refer to FSC by name and initials for stakeholder consultation.</i></p>	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs
<p><b>1.6 Product Group List</b>                  The products intended to be labeled or promoted as FSC certified have been included in the FME’s certified product group list.</p>	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs
<p><b>Section 1.2 and 1.6 Evidence:</b> Included in FME’s product group list as reported in “Species in scope of joint FM/COC certificate”, Section 7 of this report.</p>	
<p><b>1.3 Trademark License Code</b>                  The FSC trademark license code assigned by FSC to the FME accompanies any use of the FSC trademarks. It is sufficient to show the code once per product or promotional material.</p>	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs
<p><b>1.4 Trademark Symbol</b>                  The FSC logo and the ‘Forests For All Forever’ marks shall include the trademark symbol ® in the upper right corner when used on products or materials to be distributed in a country where the relevant trademark is registered.                   For use in a country where the trademark is not yet registered, use of the symbol ™ is recommended. The Trademark Registration List document is available in the FSC trademark portal and marketing toolkit.                   The symbol ® shall also be added to ‘FSC’ and ‘Forest Steward-ship Council’ at the first or most prominent use in any text; one use per material is sufficient (e.g. website or brochure).   <i>NOTE: The use of the trademark symbol is not required for FSC claims in sales and delivery documents, or for the disclaimer statement specified in requirement 6.2.</i></p>	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs <input type="checkbox"/> N/A, one or more noted exceptions apply
<p><b>2.1 Restrictions on using FSC trademarks</b>                  The FME <b>has not used</b> the FSC trademarks in the following ways:</p> <ul style="list-style-type: none"> <li>a) in a way that could cause confusion, misinterpretation, or loss of credibility to the FSC certification scheme;</li> <li>b) in a way that implies that FSC endorses, participates in, or is responsible for activities performed by the FME, outside the scope of certification;</li> <li>c) to promote product quality aspects not covered by FSC certification;</li> <li>d) in product brand or company names, such as ‘FSC Golden Timber’ or website domain names;</li> <li>e) in connection with FSC controlled wood or controlled material – they shall not be used for labelling products or in any promotion of sales or sourcing of controlled material or FSC controlled wood; the initials FSC shall only be used to pass on FSC controlled wood claims in sales and de-livery documentation, in conformity with FSC chain of custody requirements.</li> </ul>	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs
<p><b>2.2 Translations</b></p>	<input checked="" type="checkbox"/> C

<p>The name 'Forest Stewardship Council' has not been replaced with a translation. A translation may be included in brackets after the name, for example: Forest Stewardship Council® (translation)</p>	<input type="checkbox"/> NC <input type="checkbox"/> C w/Obs <input type="checkbox"/> N/A, no translations
<p><b>Sections 1.3, 1.4, 2.1, and 2.2 Evidence:</b> Website, timber sale documents, manuals and other handbooks used by FME.</p>	
<p><b>Sections 8 and 9 Graphic Rules</b>                  The FME has only used FSC logos that conform to the standard requirements governing:</p> <ul style="list-style-type: none"> <li>• color and font (8.1-8.3);</li> <li>• format and size (8.4-8.9);</li> <li>• label placement (8.10); and</li> <li>• 'Forests For All Forever' marks (9.1-9.7).</li> </ul>	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs <input type="checkbox"/> N/A, not using FSC logo
<p><b>1.5 Trademark Use Approval</b>                  The FME has submitted all intended uses of the FSC trademarks to SCS for approval.                  OR                  The FME has an <b>approved trademark use management system</b> in place. (If the FME has a trademark use management system, complete Annex A.)</p> <p><i>4.6 FSC trademarks may be used to identify FSC-certified materials in the chain of custody before the products are finished. It is not necessary to submit such segregation marks for approval. All segregation marks shall be removed before the products go to the final point of sale or are delivered to uncertified organizations.</i></p>	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs
<p><b>Sections 1.5 Evidence:</b> FME requested two trademark approvals between 6/26/17 and 5/1/2018 which were approved.</p>	

**PART II: On-Product Use of FSC Trademarks**

N/A, not using on-product trademarks (skip Part II)

**PART III: Promotional Use of FSC Trademarks**

<p><b>6.1 Catalogues, Brochures, and Websites</b>                  When the FSC trademarks have been used in catalogues, brochures, or websites, the following requirements apply:</p> <ul style="list-style-type: none"> <li>• It is sufficient to present the promotional elements only once in catalogues, brochures, websites, etc.</li> <li>• If both FSC-certified and uncertified products are listed, then a text such as "Look for our FSC®-certified products" shall be used next to the promotional elements and the FSC-certified products shall be clearly identified.</li> <li>• If some or all the products are available as FSC certified on request only, this is clearly stated.</li> </ul>	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs <input type="checkbox"/> N/A, not using trademarks in catalogues/ brochures/websites
---	--

<p><b>6.2 Sales and Delivery Documents</b>                  When the FSC trademarks are included on sales or delivery document templates that may be used for both FSC and non-FSC products, the following or a similar statement is included: “Only the products that are identified as such on this document are FSC certified”.</p> <p><i>NOTE: Use of the FSC claim and certificate code on invoices does not qualify as FSC trademark use.</i></p>	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs <input type="checkbox"/> N/A, not using trademarks on templates for FSC & non-FSC products
<p><b>6.3 Promotional Items</b>                  All promotional items (e.g., mugs, pens, T-shirts, caps, banners, vehicles, etc.) have displayed, at minimum, the FSC logo and FSC trademark license code.</p>	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs <input type="checkbox"/> N/A, not labeling promotional items
<p><b>6.5 Trade Fairs</b>                  When the FSC trademarks are used for promotion at trade fairs, the FME has:</p> <ul style="list-style-type: none"> <li>a) clearly marked which products are FSC certified, or</li> <li>b) add an add a visible disclaimer stating “Ask for our FSC®-certified products” or similar if no FSC-certified products are displayed.</li> </ul> <p><i>NOTE: Use of text to describe the FSC certification of the FME does not require a disclaimer.</i></p>	<input type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs <input checked="" type="checkbox"/> N/A, not using trademarks at trade fairs
<p><b>Section 6.6 and 6.7 Investment/Financial Claims</b>                  When investment companies or others are making financial claims based on the FME’s FSC certified operations, the FME has taken full responsibility for the use of the FSC trademarks.                  Any such claims have been accompanied by the disclaimer, “FSC is not responsible for and does not endorse any financial claims on returns on investments.”</p>	<input type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs <input checked="" type="checkbox"/> N/A, not making financial claims about FSC status
<p><b>7.1 and 7.2 Other Forestry Certification Scheme Logos</b>                  The FSC trademarks have not been used together with the marks of other forest certification schemes in a way which implies equivalence, or in a way which is disadvantageous to the FSC trademarks in terms of size or placement.</p>	<input type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs <input checked="" type="checkbox"/> N/A, not using other scheme logos
<p><b>7.3 Business Cards</b>                  The FSC trademarks have not used on business cards to promote the FME’s certification.                  The FSC logo or ‘Forests For All Forever’ marks are not used on business cards for promotion.                  A text reference to the FME’s FSC certification, with license code, is allowed, for example “We are FSC® certified (FSC® C#####)” or “We sell FSC®-certified products (FSC® C#####)”.</p>	<input type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs <input checked="" type="checkbox"/> N/A, approval granted prior to July 1, 2011
<p><b>7.4 Promotion with CB Logo</b>                  FSC certified products have not been promoted using only the SCS Kingfisher and/or SCS Global Services logo.</p>	<input type="checkbox"/> C <input type="checkbox"/> NC <input checked="" type="checkbox"/> C w/Obs

**Sections 6.1 - 6.3, 6.5-6.7, 7.1-7. 4 Evidence:** Websites, manuals, and other FME documents.

**Number of trademark uses reviewed and rationale that sample choice is sufficient to confirm requirements are met:** 2, total sample of requested and approved TM requests with documentation of SCS approval.

**Annex A: Trademark use management system**

N/A, not using a trademark management system

**Annex B. Additional trademark rules for group FM certificate holders**

<p><b>Annex B, 1.1</b> The group entity (or manager, or central office) shall ensure that all uses of the FSC trademarks by the group entity or its individual members are approved by the certification body prior to use, or that the group and its members have an approved trademark use management system in place. When seeking approval by the certification body, group members shall submit all approvals via the group entity or central office, and keep records of approvals. Alternative submission methods may be approved by the certification body.</p>	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs
<p><b>Section 1.1 Evidence:</b> Review of policies, handbooks, interviews with staff, inspection of sales documents.</p>	
<p><b>Annex B, 1.2</b> The group entity shall not produce any document similar to an FSC certificate for its participants. If individual membership documents are issued, these statements shall be included:                  a) "Managing the FSC® certification program of SCS Global Services"                  b) "Group certification by SCS Global Services"</p>	<input type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs <input checked="" type="checkbox"/> N/A, not issuing individual membership documents
<p><b>Annex B, 1.3</b> No other forest certification schemes' marks or names shall appear on any membership documents (as per clause 1.2) issued by the group in connection with FSC certification.  <i>Note: This only applies to documents issued per Annex B, 1.2 and NOT other documents such as group procedures.</i></p>	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs
<p><b>Annex B, 1.4</b> Subcodes of members shall not be added to the license code.</p>	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs
<p><b>Sections 1.2, 1.3, and 1.4 Evidence:</b> Evidence as described above.</p>	



## Appendix 8 – Group Management Program

**Group Management Conformance Table**

Requirement	C/N	Comment / CAR
<b>PART 1 QUALITY SYSTEM REQUIREMENTS</b>		
<b>C1 General Requirements</b>	NE	
<b>C2 Responsibilities</b>		
2.1 The Group entity shall clearly define and document the division of responsibilities between the Group entity and the Group members in relation to forest management activities (for example with respect to management planning, monitoring, harvesting, quality control, marketing, timber sale, etc).	NE	<b>Group Entity responsibilities:</b> <b>Non-SLIMF Group member responsibilities:</b> <b>SLIMF Group member responsibilities:</b> <b>Other:</b>
2.2 The Group entity shall appoint a management representative as having overall responsibility and authority for the Group entity’s compliance with all applicable requirements of this standard.	NE	
2.3 Group entity staff and Group members shall demonstrate knowledge of the Group’s procedures and the applicable Forest Stewardship Standard.	NC	See Minor CAR 2018.2
<b>C3 Group entity’s procedures</b>		
3.1 The Group entity shall establish, implement and maintain written procedures for Group membership covering all applicable requirements of this standard, according to scale and complexity of the group including:	NE	
I. Organizational structure;	NE	
II. Responsibilities of the Group entity and the Group members including main activities to fulfill such responsibilities (i.e. Development of management plans, sales and marketing of FSC products, harvesting, planting, monitoring, etc);	NE	
III. Rules regarding eligibility for membership to the Group;	NE	

IV.	Rules regarding withdrawal / suspension of members from the Group;	NE	
V.	Clear description of the process to fulfill any corrective action requests issued internally and by the certification body including timelines and implications if any of the corrective actions are not complied with;	NE	
VI.	Documented procedures for the inclusion of new Group members;	NE	
VII.	Complaints procedure for Group members.	NE	
3.2	The Group entity's procedures shall be sufficient to establish an efficient internal control system ensuring that all members are fulfilling applicable requirements.	NC	See Minor CAR 2018.3.
3.3	The Group entity shall define the personnel responsible for each procedure together with the qualifications or training measures required for its implementation.	NE	
3.4	The Group entity or the certification body shall evaluate every applicant for membership of the Group and ensure that there are no major nonconformances with applicable requirements of the Forest Stewardship Standard, and with any additional requirements for membership of the Group, prior to being granted membership of the Group. <i>NOTE: for applicants complying with SLIMF eligibility criteria for size, the initial evaluation may be done through a desk audit.</i>	NE	
<b>C4 Informed consent of Group members</b>		NE	
4.1	The Group entity shall provide each Group member with documentation, or access to documentation, specifying the relevant terms and conditions of Group membership. The documentation shall include:	NE	
<b>C5 Group Records</b>		NE	
<b>PART 2 GROUP FEATURES</b>			
<b>C6 Group Size</b>			

<p>6.1 There is no restriction on the maximum size that a group certificate can cover in terms of number of group members, their individual forest property size or total forest area. The Group entity shall have sufficient human and technical resources to manage and control the Group in line with the requirements of this standard.</p> <p><i>NOTE: The number of Group members, their individual size and the total area will however influence the evaluation intensity applied by the certification body in their annual audits.</i></p>	<p>NC</p>	<p>2017: Budget cuts and unfilled vacancies have stretched the ability of DoF to continue to grow and execute the program in an exemplary manner. The audit team was concerned that further reductions in staffing or increases in program responsibilities (e.g. program growth) without staffing increases could lead to problems with FSC conformance. No finding issued.</p> <p>2018: See Minor CAR 2018.1.</p>
<p>6.2 The Group entity shall specify in their procedures the maximum number of members that can be supported by the management system and the human and technical capacities of the Group entity.</p>	<p>C</p>	<p>Maximum group size defined in Umbrella plan.</p>
<p><b>C7 Multinational groups</b></p>		
<p>7.1 Group schemes shall only be applied to national groups which are covered by the same Forest Stewardship Standard.</p>	<p>NA</p>	
<p>7.2 In cases where homogeneous conditions between countries / regions may allow an effective and credible cross- border or multi-regional monitoring system, the Group entity shall request formal approval by FSC IC through their accredited Certification Body to allow certification of such a group scheme.</p>	<p>NA</p>	
<p><b>PART 3 INTERNAL MONITORING</b></p>		
<p><b>C8 Monitoring requirements</b></p>		
<p>8.1 The Group entity shall implement a documented monitoring and control system that includes at least the following:</p>	<p>C</p>	
<p>i. Written description of the monitoring and control system;</p>	<p>C</p>	<p>Monitoring is documented in <i>Monitoring of BMPs</i> in the Umbrella Plan. Division of Forestry also produces an annual monitoring summary of the BMP results. Monitoring procedures for site visits to group member FMUs is also described in CFW procedures.</p>
<p>ii. Regular (at least annual) monitoring visits to a sample of Group members to confirm continued compliance with all</p>	<p>C</p>	<p>Each year, 10% of timber sales are monitored for BMP using the Indiana Forestry BMP Monitoring Form.</p>

<p>the requirements of the applicable Forest Stewardship Standard, and with any additional requirements for membership of the Group.</p>		<p>At the group member level, District foresters are involved in timber sales and monitor implementation of BMPs at least once during an active harvest. Post-harvest visits are also conducted.</p>
<p>8.2 The Group entity shall define criteria to be monitored at each internal audit and according to the group characteristics, risk factors and local circumstances.</p>	<p>C</p>	<p>ICFCG has two main types of internal audits. One is the site re-inspection, during which the Stewardship Management Plan (SMP) is updated with input from the group member. The SMP template contains the criteria that must be addressed in the group member’s site-specific FMP.</p> <p>BMP monitoring is done on approximately 10% of ICFCG. ICFCG uses a form that contains the criteria to be assessed. These are summarized each year in a publicly available report.</p>
<p>8.3. The minimum sample to be visited annually for internal monitoring shall be determined as follows:</p> <p><i>NOTE: for the purpose of sampling, FMUs &lt; 1,000 ha and managed by the same managerial body may be combined into a ‘resource management unit’ (RMU) according to the proposal made in FSC-STD-20-007 Annex 1.</i></p>	<p>C</p>	
<p><b>a) Type I Groups with mixed responsibilities (see section D Terms and definitions)</b> Groups or sub-groups with mixed responsibilities shall apply a minimum sampling of <math>X = \sqrt{y}</math> for ‘normal’ FMUs and <math>X = 0.6 * \sqrt{y}</math> for FMUs &lt; 1,000 ha. Sampling shall be increased if HCVs are threatened or land tenure or use right disputes are pending within the group.</p>	<p>C</p>	<p>Although ICFCG assists landowners in preparation of management plans and may have some oversight in harvesting, ICFCG is considered a Type 1 Group due to the responsibilities being divided between group members and ICFCG staff. ICFCG is eligible for RMU designation, however, due to its involvement in management planning and oversight of group members. See SCS’ write-up in the sampling section of the 2011 annual audit for more information.</p>
<p><b>b) Type II Resource Manager Groups (see section D Terms and definitions)</b> Group entities who also operate as resource managers may define the required internal sampling intensity at their own discretion for the forest properties they are managing, independent of their size and ownership (the</p>	<p>NA</p>	

minimum numbers as defined above do not apply here).		
8.4 For monitoring purposes the Group entity should use the same stratification into sets of 'like' FMUs as defined by the certification body in their evaluation.	C	All group members are under natural/ semi-natural forest management. Most group members have tracts less than 100 ha in size. The fact that ICFCG updates 15-17% of SMPs per year provides that ICFCG reasonably visits members in both the 0-100 ha and 100-1,000 ha range.
8.5 The Group entity should visit different members in their annual monitoring than the ones selected for evaluation by the certification body, unless pending corrective actions, complaints or risk factors are requiring a revisit of the same units.	C	Since ICFCG samples more group members than is required under this standard, they visit several group members each year that the CB does not.
8.6 In the selection process of members to be visited, the Group entity should include random selection techniques.	C	ICFCG uses random sampling techniques to select group members for BMP evaluation. For SMP updates, these are not random. In general, as ICFCG visits more group members that required by the standard, they are at low risk of failing to uncover nonconformities on group member FMUs.
8.7 The Group entity shall issue corrective action requests to address non-compliances identified during their visits and monitor their implementation.	C	The process for addressing any internal CARs is included in the <i>Enforcement &amp; Mandatory Withdrawal</i> section of the Umbrella Plan (p. 6). It includes a clear description of timelines and implications for any internal CARs that are not complied with.  Monitoring is documented in <i>Monitoring of BMPs</i> in the Umbrella Plan (p. 21-22). CARs may be issued to ensure compliance with BMPs.
8.8 Additional monitoring visits shall be scheduled when potential problems arise or the Group entity receives information from stakeholders about alleged violations of the FSC requirements by Group members.	C	ICFCG schedules additional visits for pre-harvest, during harvest, and post-harvest. These are conducted to ensure conformance to certification requirements.
<b>C9 Sales of forest products and use of the FSC trademark</b>	NE	

**Group Management Program Members**

Insert Excel, Word or PDF file as an object here (or use table below)