



**Bureau Veritas Certification**  
**North America, Inc.**  
**SFI/PEFC/ATFS Audit Report**  
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Company Name	<u>STATE OF MAINE</u> Department of Conservation Bureau of Parks and Lands
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PQC Code	E01E

Contract Number:	US.1071418	Certification Audit:		Re-Certification Audit:	X	Surveillance: (Indicate visit # or Pre-Assessment)	
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Audit Summary	
<b>Introduction</b>	
<p>This report summarizes the results of the certificate transfer and renewal audit process conducted on the State of Maine’s Department of Conservation Bureau of Parks and Lands SFI program for forest management operations on their 556,121 acres of public lands.. Mr. Brian Callaghan, Bureau Veritas Certification Lead Auditor, served as lead auditor throughout the audit process. Mr. Rick Larkin CBW, Mr. Jim Colla, and Mr. Matt Tormohlen served as an audit team members.</p>	
<b>Audit Scope, Objectives and Process</b>	
<p>The scope of the audit is “Forest management on State Lands”. The audit was conducted against the SFI 2010-2014 Standard. A document review was conducted at the company’s regional office in Bangor Maine. Objectives 1, 15, 19, and 20 were covered in their entirety at the regional office. The objective of the document review was to verify that the Program Participant’s SFI Program is in conformance with the SFI Objectives, Performance Measures, and Indicators, and any additional indicators that the Program Participant chooses. Field-level and region-specific indicators in SFIS Objectives 2 through 7 and 14, 16 and 17 were covered during the field audits. The objective of the field audits was to verify whether the Program Participant has effectively implemented its SFI Standard program requirements on the ground. There was no substitution or modification of indicators. Standard Bureau Veritas Certification protocols and forms were applied throughout the audit as provided by the most recent version of the Bureau Veritas Certification SFI Auditor Handbook available on the auditor access website.</p>	
<b>Audit Plan</b>	
<p>The audit began and ended with opening and closing meetings held at the Eastern Regional office in Bangor Maine. The audit involved a review of Bureau documents and data, selection of field sites for inspection, field inspections of 17 tracts where operations have recently occurred, and visits to a variety of recreation values (i.e. trails, portages, campsites, boat launches). The audit process was completed according to the following schedule:</p>	

AUDIT SCHEDULE			
Person	Time	Place	Activity
<b>Dec. 12, 2011</b>			
Callaghan Larkin Colla Tormohlen	7 :30 am	TBD	Preparation meeting of the audit team
Callaghan/Colla	8:30 am	BPL Offices	Opening Meeting
Tom Charles	9:00 am		State to present; Forestry background, Departments role, Resource Management Issues, and Safety
Audit Team	10 :00 am		Document review & Finalize Site Selection
Audit Team	12 :00 pm		Auditors may examine sites in. East Region
Audit Team	5 :00 pm	Offices	Daily Debriefing
<b>Dec. 13, 2011</b>			
Audit Team	7 :00 am	Offices	Gather for field visits
Callaghan/ Colla	8 :00 am	Field Sites	Field visits in East Region
Larkin/Tormohlen	8 :00 am	Field Sites	Field Visits in West Region
Audit Team	5 :00 pm	Offices	Daily Debriefing
<b>Dec. 14, 2011</b>			
Audit Team	7 :00 am	Offices	Gather for field visits
Callaghan/Colla	8 :00 am	Field Sites	Field visits in North
Larkin Tormohlen	8 :00 am	Field Sites	Field Visits West
Audit Team	5 :00 pm	Offices	Daily Debriefing
<b>Dec. 15, 2011</b>			
Audit Team	7 :00 am	Offices	Gather for field visits
Callaghan/Colla	8 :00 am	Field Sites	Field visits in North & East
Larkin Tormohlen	8 :00 am	Field Sites	Field West
Audit Team	5 :00 pm	Offices	Daily Debriefing
<b>Dec. 16, 2011</b>			
Audit Team	8:00 am	Offices	Final Document Review and Interviews.
Audit Team	1:00pm	Offices	Finalize audit results
Audit Team	2:00 pm	Offices	Closing Meeting – audit findings, CARs, next step, confidentiality and appeals.

### Company Information

The Maine Department of Conservation is composed of four bureaus; Bureau of Geology and Natural Areas, the Maine Forest Service, the Land Use Regulation Commission, and the Bureau of Parks and Lands. The Bureau of Parks and Lands manages 556,121 acres of forest lands acquired through the *Lands for Maine's Future* program. Management of these “public reserved” lands is the

responsibility of the Division of Lands within the Bureau of Parks and Lands (the Bureau or BPL). For the purposes of forest management the Bureau is organized into three regions (North, East, and West). The State holds all ownership rights to its lands, though all areas are open to public recreation activities.

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

### Audit Results

The document review included an examination of the Bureau's SFI system documentation and its forest management planning processes. The Bureau has a history of conformance with the SFI Standard, and its policies and procedures meet the intent of the Standard.

State lands managed by the Bureau of Parks and Lands of the Maine Department of Conservation are managed with the objective of improving the value of the forest resource. This objective has led the Bureau to manage lands in such a way as to improve the condition of the forest rather than maximizing timber or revenue production. Multiple use management is a critical component of the bureau's approach with a heavy emphasis on non-motorized recreational activities.

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

**Comment [HM1]:** So there is a few plantations ? Please precise the area or suppress the sentence if there is no plantations

Explained – I hope

Table 1. Sites inspected during the audit.

REGION	Location	Acres	Ha	Observations
NORTH	Deboullie C-1	327	73	Intermediate cutting units inspected. New road construction. Best practices employed in compliance, well stocked stands of desired species. Trees were marked to cut, however BPL typically does not butt mark. Small patch cuts (<4 ac.) in beech stands to convert to desired species. Excellent protection of residual trees during harvesting.
NORTH	Round Pond C-123	1,587	355	Intermediate cutting and OSR units inspected. New road construction. BMPs in compliance, well stocked stands of desired species. Trees were marked to cut, however BPL typically does not butt mark. High value tree cut that was most likely not intended to be removed. Small patch cuts (<4 ac.) in beech stands to convert to desired species. Excellent protection of residual trees during harvesting.
NORTH	Eagle Lk. C-7,12,13	583	130	Intermediate cutting units inspected. New road construction. Best practices employed in compliance, well stocked stands of desired species. Trees were marked to cut,

REGION	Location	Acres	Ha	Observations
NORTH	Scopan, T10R4 C-5	220	49	Intermediate cutting units inspected. New road construction. BMPs in compliance, well stocked stands of desired species. Trees were marked to cut, however BPL typically does not butt mark. Excellent protection of residual trees during harvesting. Contract logging service (CLS) contract. Interviewed logger (trucker). Completed a trip ticket and explained trip ticket policy.
EAST	Bogan Brook C-5	258	58	Hardwood stand being managed with single tree selection to produce an all-aged stand. No site damage issues and no residual stand damage. Tree butts are not marked so it is hard to tell if proper trees are cut. Inconsistent with other sites. No stream crossings. trails minimized.
EAST	Nahmakanta C-29,30,33	789	176	Aspen clear cuts (<4ac) and Hardwood selection cutting. Trees marked for removal. Covers portion of a deer yard. Old growth characteristics remain.
EAST	Duck Lake fire types	999	223	Extensive HCVF with a multitude of habitat types that includes old growth, historic portage trail within the HCVF. Interviewed stakeholder, owner of Nicaous Lodge; very complimentary of BPL efforts with respect to recreation and resource management activities.
EAST	Bradley C-45	256	57	WP seed tree unit and intermediate cuttings units inspected. New road construction and bridge installation. BMPs in compliance, well stocked stands of desired species. Excellent protection of residual trees during harvesting.
EAST	Tunk/Donnell C-49	231	52	Interviewed logging contractor, CLP qualified; had first aid and spill kit on site. Well informed with respect to meeting and implementing BPL objectives. Interviewed logging contractor, CLP qualified; had first aid and spill kit on site. Well informed with respect to meeting and implementing BPL objectives.
EAST	Plt 14	122	27	
WEST	Richardson 148,151	130	29	Partial harvest improvement cut, no site damage, no residual stand damage, trails widely spaced, No BMP issues. Good Job
WEST	Sandy Bay	235	53	Selection cut in hard maple no stand damage Part of Area being managed for maple syrup. More than 14,000 taps have been set. Stand is health and vigorous.
WEST	Bigelow C-205,06,11	285	64	Overstory removal and hardwood selection/thin. Appear to lack a procedure for assessing renewal success after harvest. No issues
WEST	L.Moose C-448	82	18	X-country trail protected, Appalachian trail buffers on to site. Temporary bridge removed and remediated. Skid trails well protected. Clean harvest
WEST	L.Moose C-449,50	860	192	X-country trail protected, Appalachian trail buffers on to site. Temporary bridge removed and remediated. Skid trails well protected. Clean harvest
NORTH	Scraggley Lake	368	82	Intermediate cutting units inspected. New road construction. BMPs in compliance, well stocked stands of desired species. Trees were marked to cut, however BPL typically does not butt mark. Excellent protection of residual trees during harvesting. Interviewed MFS FPA compliance inspector. Stated reports are only sent to inspected party upon request or if a corrective action is needed. Reports full compliance on BPS units.

The Bureau does a good job of implementing stand level habitat elements including retaining snags, mast, den and nest trees and large down woody debris. Additionally, they have worked to protect and enlarge deer yards on some properties. The Bureau is managing to produce large diameter (i.e. older) trees. The Bureau identifies and protects areas of potential old growth when planning and conducting forest management activities. The organization has maintained an excellent aesthetic program, developing buffers along all public traffic areas, angled skid trails, curved road entrances and off highway landings. All sites visited demonstrated excellent aesthetic considerations.

The auditors observed excellent regeneration throughout the audit. All sites visited were BMP compliant with regards to soil and water quality, stand residual, access and water crossings. Stream and lake buffers were well established. Logging contractors were properly trained according to the SIC requirements. The Bureau has demonstrated a history of compliance with the Maine FPA and state BMPs. Results of the field audit verified the Bureau's applications of BMPs.

### Findings

#### Previous non-conformances:

No non-conformances were issued during the previous audit.

#### Non-conformances:

Three non-conformances were issued during this audit.

1. PM 2.1 Ind. 3: The organization has not developed criteria for adequate regeneration stocking levels/species composition and does not have a process in place to determine if those criteria have been met.
2. PM 3.1 Ind. 4 : The organization does not implement consistent harvest inspections reports of ALL management operations; some units are not completing any harvest inspection forms, some are completing only final contractor evaluation forms, some inspection forms contain different scoring techniques.
3. PM16.1 Ind.1: No evidence of a written statement of commitment to the SFI 2010 – 2014 Standard was observed during the audit.

#### Opportunities for Improvement:

| ±None issued

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#### Notable Practices:

Seven notable practices were issued:

1. PM 5.4 Ind. 1: The State of Maine Bureau of Parks and Lands is dedicated to providing high quality recreational opportunities on the public reserved lands. By providing boat launches, campsites, Adirondack shelters, maintained portages, and hiking trails the Bureau provides an important service to the public.

#### Logo/label use:

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

trademarks.

**SFI reporting:**

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

**Conclusions**

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

**Surveillance audit schedule**

The first surveillance audit should begin prior to December, 2012.

**SEE SF61 FOR AUDIT NOTES**

Summary of Audit Findings:						
Audit Date(s):	From: 12/12/2011 (doc review) 12/12/2011 (Field sites)			To: 12/12/2011 (doc review) 12/16/2011 (Field sites)		
Number of SF02's Raised:	Major:		0	Minor:	3	
Is a follow up visit required:	Yes	No	X	Date(s) of follow up visit:		
Follow-up visit remarks:						
Team Leader Recommendation:						
Corrective Action Plan (s) Accepted	Yes	x	No	Date:	2.28.2012	
Proceed to/Continue Certification	Yes	X	No	Date:	2.28.2012	
All NCR's Cleared	Yes	X	No	Date:	2.28.2012	
Standard audit conducted against:						
1)	SFI 2010-2014	3)				
2)		4)				
Team Leader (1):	Team Members (2,3,4...)					
Brian Callaghan RPF CEA(SFM)	2) Jim Colla					
	3) Rick Larkin					
	4) Matt Tormohlen					
	5)					
Scope of Supply: (scope statement must be verified and appear in the space below)						
Forest management of State lands, managed by Bureau of Parks and Lands						
Accreditation's	ANAB					
Number of Certificates	1					
Proposed Date for Next Audit Event						
Date	Prior to December 2012					
Audit Report Distribution						
Maine Conservation, Bureau of Parks & Lands: Tom Charles - tom.t.charles@maine.gov						
Bureau Veritas Certification: Melani Potts-melani.potts@us.bureauveritas.com						



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## SF02/NA NONCONFORMITY REPORT

Company Name and Site:		SF02#:	
State of Maine, Bureau of Parks & Lands		1	
Contract #:	Department / Process:	Team Leader:	
<b>US.1071418</b>	Management Inspections	<b>Error! Contact not defined.</b>	
Date:	Standard and Clause #:	Team Member:	
12.16.2011	2.1, Indicator 3	Matt Tormohlen	
Major	Minor	Other Documents (if applicable):	Company Representative:
	<b>X</b>		Tom Charles
<b>REQUIREMENT OF AUDITED STANDARD:</b>			
Measure 2.1: Program Participants shall promptly reforest after final harvest.			
Indicator 3: Clear criteria to judge adequate regeneration and appropriate actions to correct under-stocked areas and achieve acceptable species composition and stocking rates for both planting and natural regeneration.			
<b>OBSERVED NONCONFORMITY:</b>			
The organization has not developed criteria for adequate regeneration stocking levels/species composition and does not have a process in place to determine if those criteria have been met.			
<b>ROOT CAUSE ANALYSIS AND CORRECTIVE ACTION (to be completed by the Company)</b>			
Proposed Completion Date	Actual Completion Date	Company Representative	
1.16.2012	2.28.2012	Tom Charles	
Root Cause Analysis and Corrective Action Response (actions must be in past tense)			
Root Cause: Given the host of staff responsibilities, insufficient time has been allocated to this task. The near-inevitability of successful regeneration in the Acadian forest also contributed to this decision.			
Corrective Action: Sample harvest areas are to be visited about two years following the operation, to check on the species mixture of regeneration.			
Method used to verify effectiveness of action: A post-harvest sampling scheme will be developed by the chief of silviculture and regional field staff. This will likely be a qualitative sample, evaluating presence and dominance of regeneration species, rather than numbers.			
<b>CLEARANCE REPORT</b>			
(to be completed by Bureau Veritas Certification - verify effective identification of root cause and effective implementation of action by the client)			
Root Cause: Acceptable			
Corrective Action: Acceptable – monitor surveillance			
Accepted	Yes	X	No
			Nonconformance Downgraded
	Yes		No
Follow Up Comments:			
Auditor:	Brian Callaghan	Date:	2.29.2012



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## SF02/NA NONCONFORMITY REPORT

Company Name and Site:		SF02#:	
State of Maine, Bureau of Parks & Lands		2	
Contract #:	Department / Process:	Team Leader:	
<b>US.1071418</b>	Management Inspections	<b>Error! Contact not defined.</b>	
Date:	Standard and Clause #:	Team Member:	
12.16.2011	3.1, Indicator 4	Matt Tormohlen	
Major	Minor	Other Documents (if applicable):	Company Representative:
	X		Tom Charles
<b>REQUIREMENT OF AUDITED STANDARD:</b>			
Measure 3.1: Program participants shall meet or exceed all applicable federal, provincial, state, and local water quality laws and meet or exceed best management practices developed under Canadian or U.S. Environmental Protection Agency – approved state water quality programs.			
Indicator 4: Monitoring of overall best management practices implementation.			
<b>OBSERVED NONCONFORMITY:</b>			
The organization does not implement consistent harvest inspections reports of ALL management operations; some units are not completing any harvest inspection forms, some are completing only final contractor evaluation forms, some inspection forms contain different scoring techniques.			
<b>ROOT CAUSE ANALYSIS AND CORRECTIVE ACTION (to be completed by the Company)</b>			
Proposed Completion Date	Actual Completion Date	Company Representative	
1.16.2012	2.28.2012	Tom Charles	
Root Cause Analysis and Corrective Action Response (actions must be in past tense)			
Root Cause: Though Bureau policy is that regular harvest inspection reports be made, the details of implementation have not been standardized.			
Corrective Action: Regional managers will establish appropriate reporting frequencies for harvest crew and contractor reporting.			
Method used to verify effectiveness of action: Documentation of harvest report frequency will be evaluated by regional managers and the chief of silviculture.			
<b>CLEARANCE REPORT</b>			
(to be completed by Bureau Veritas Certification - verify effective identification of root cause and effective implementation of action by the client)			
Root Cause: Acceptable			
Corrective Action: Acceptable – monitor surveillance			
Accepted	Yes	X	No
Nonconformance Downgraded	Yes		No
Follow Up Comments:			
Auditor:	Brian Callaghan	Date:	2.29.2012



## SF02/NA NONCONFORMITY REPORT

<b>Company Name and Site:</b> Maine Bureau of Parks and Lands		<b>SF02#:</b> 3
Contract #:	Department / Process:	Team Leader:
US.1071418		Callaghan
Date:	Standard and Clause #:	Team Member:
12/16/2011	SFIS Obj. 16, PM 16.1, Ind. 1	Rick Larkin
Major	Minor	Other Documents (if applicable):
	X	
<b>Company Representative:</b> Tom Charles		
<b>REQUIREMENT OF AUDITED STANDARD:</b> The 2010 SFIS requires a "Written statement of commitment to the SFI 2010-2014 Standard communicated throughout the organization, particularly to facility and woodland managers, fiber sourcing staff and field foresters."		
<b>OBSERVED NONCONFORMITY:</b> No evidence of a written statement of commitment to the SFI 2010 – 2014 Standard was observed during the audit.		
<b>ROOT CAUSE ANALYSIS AND CORRECTIVE ACTION (to be completed by the Company)</b>		
Proposed Completion Date	Actual Completion Date	Company Representative
1.16.2012	2.28.2012	Tom Charles
<b>Root Cause Analysis and Corrective Action Response (actions must be in past tense)</b>		
Root Cause: Such a statement was present in the Bureau's Annual Report (presented to the legislative committee of jurisdiction and available to the public), but this was not presented to the audit team, plus the statement needed to be updated to reflect the full implementation of the 2010-2014 Standards. Corrective Action: The following statement is in the 2011 Annual Report (to be presented to the legislative committee in March of 2012): <i>The Bureau intends to conduct management in compliance with the 2010-2014 standards, principles, and criteria of both SFI and FSC, for all upcoming audits.</i> Method used to verify effectiveness of action: The above statement will be in future Annual Reports, and will be revised as needed to conform to SFI and FSC requirements.		
<b>CLEARANCE REPORT</b> (to be completed by Bureau Veritas Certification - verify effective identification of root cause and effective implementation of action by the client)		
Root Cause: Acceptable Corrective Action: Acceptable – monitor surveillance		
Accepted	Yes	X
	No	
Nonconformance Downgraded	Yes	No
<b>Follow Up Comments:</b>		
Auditor:	Brian Callaghan	Date: 2.29.2012

Clause	Audit Report
Opening Meeting	<p>Participants: Brian Callaghan, Rick Larkin, Matt Tormohlen, Jim Colla, Nicole Drisko, Tom Charles, Chuck Simpson</p> <ul style="list-style-type: none"> <li>➤ Introductions</li> <li>➤ Scope of the audit</li> <li>➤ Audit schedule/plan</li> <li>➤ Nonconformance types – Major / Minor</li> <li>➤ Review of previous nonconformances - 0.</li> <li>➤ Process approach to auditing and audit sampling</li> <li>➤ Confidentiality agreement</li> <li>➤ Termination of the audit</li> <li>➤ Appeals process</li> <li>➤ Closing meeting timing</li> </ul> <p>Discussions:</p>
Closing Meeting	<p>Participants: Brian Callaghan, Rick Larkin, Matt Tormohlen, Jim Colla, Nicole Drisko, Tom Charles, Chuck Simpson, Joe Wiley, Tom Morrison, Peter S.</p> <ul style="list-style-type: none"> <li>➤ Introductions and appreciation for selecting Bureau Veritas Certification.</li> <li>➤ Review of audit process - process approach and sampling.</li> <li>➤ Review of OFIs and System Strengths</li> <li>➤ Non-conformances - 3</li> <li>➤ Date for next audit.</li> <li>➤ Reporting protocol and timing</li> </ul> <p>Discussions:</p>