

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

Ohio DNR Division of Forestry

Columbus, Ohio, USA

SCS-FM/COC-00130N

ODNR-Division of Forestry, 2045 Morse Road, Bldg. H-1, Columbus, Ohio 43229-6693

Chad.Sanders@dnr.state.oh.us

<http://forestry.ohiodnr.gov/>

CERTIFIED	EXPIRATION
5 January 2016	4 January 2022

DATE OF FIELD EVALUATION

19-22 October 2020

DATE OF REPORT FINALIZATION

18 November 2020

SCS Contact:

Brendan Grady | Director

Forest Management Certification

+1.510.452.8000

bgrady@scsglobalservices.com

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2000 Powell Street, Ste. 600, Emeryville, CA 94608 USA

+1.510.452.8000 main | +1.510.452.8001 fax

www.SCSglobalServices.com

Foreword

Cycle in annual surveillance evaluations				
<input type="checkbox"/> 1 st annual evaluation	<input type="checkbox"/> 2 nd annual evaluation	<input type="checkbox"/> 3 rd annual evaluation	<input type="checkbox"/> 4 th annual evaluation	<input checked="" type="checkbox"/> Other (<i>expansion of scope, Major CAR audit, special audit, etc.</i>): COVID-19 Surveillance
Name of Forest Management Enterprise (FME) and abbreviation used in this report:				
Ohio DNR; Ohio DoF; DoF or FME				

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.

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SECTION A – PUBLIC SUMMARY

1. General Information

1.1 Evaluation Team

Auditor name:	Kyle Meister	Auditor role:	Lead FSC auditor/ team SFI auditor
Qualifications:	<p>Kyle Meister is an FSC® Forest Management (FM) and Chain of Custody (COC), Sustainable Biomass Partnership, and Roundtable on Sustainable Palm Oil Supply Chain Certification Lead Auditor with SCS Global Services. He has conducted FSC FM pre-assessments, evaluations or surveillance audits in Bolivia, Brazil, Canada, Costa Rica, Dominican Republic, Indonesia, India, Japan, Mexico, New Zealand, Spain, and all major forest producing regions of the United States. He has conducted COC assessments in Bolivia, Canada, Panama, and the United States (California, Georgia, Kentucky, North Carolina, Oregon, Pennsylvania, South Carolina, Tennessee, Virginia, and West Virginia). Mr. Meister has successfully completed CAR Lead Verifier, ISO 9001:2008 Lead Auditor, SA8000 Social Systems Introduction and Basic Auditor, RSPO® Supply Chain Lead Auditor, SBP® Lead Auditor, and FSC Lead Auditor and Trainer Training Courses. He holds a B.S. in Natural Resource Ecology and Management and a B.A. in Spanish from the University of Michigan; and a Master of Forestry from the Yale School of Forestry and Environmental Studies.</p>		
Auditor name:	Beth Jacqumain	Auditor role:	Lead SFI auditor/ team FSC auditor
Qualifications:	<p>Senior Certification Forester at SCS Global Services, Forest Ecologist and Certified Forester (SAFCF#1467). 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 FSC®, SFI®, and RW® Lead Auditor for Forest Management/Chain of Custody. Audited and led FSC evaluations, harvest and logging operations certification audits; and joint/combined PEFC® FM (AFS®, RW, SFI, ATFS®).</p> <p>An 11-year member of the Forest Guild, 21-year adjunct-Faculty with Itasca Community College, NR Department. Member 20+ years Society of American Foresters. Served SAF MN State Chair 2010 and multiple committees, state and national, throughout. Past and current member on committee revising the SAF CF certification exam. Original lead instructor of UMN "Ecosystem Silviculture" certificate course for professional foresters. BS Forest Management from Michigan State University and MS Forest Biology/Ecology from Auburn University. 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), CSA/FIA Phase II forest inventory; conifer thinning operations, pine restoration, wildfire fighting, and fire ecology in conifer dominated systems. Beth has conducted evaluations of forest management, procurement, and supply chains throughout the forested regions of the US, WA/Victoria/Tasmania Australia, New Zealand, Fiji Islands (Viti levu), and Slovakia.</p>		

1.2 Total Time Spent on Evaluation

A. Number of days spent on-site for evaluation:	4
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:	1
E. Total number of person days used in evaluation:	9

1.3 Standards Used

All standards used are available on the websites of FSC International (www.fsc.org) or SCS Global Services (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 applicable <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: FSC-US, V1-0
	<input checked="" type="checkbox"/> FSC Trademark Standard (FSC-STD-50-001 V2-0)
	<input checked="" type="checkbox"/> SCS COC indicators for FMEs, V8-0
	<input 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: 19 October 2020	
Time/Tech	Activities/ notes
9:00am, MS Teams	ICT testing with technical on-site contact. Test communications for on-site meeting room
	Opening Meeting: <ul style="list-style-type: none"> ▪ Introductions (meeting attendance list done by certificate holder and copy sent to auditor) ▪ Review scope of evaluation ▪ Review, adjust and approve Audit Plan <ul style="list-style-type: none"> ○ ICT Plan for audit including if problems ▪ Intro/update to Scheme and SCS standards ▪ Conformance evaluation methods – Introduce ICT plan for the rest of the audit ▪ Confidentiality and public summary – including ICT ▪ Review of open CARs/OBS ▪ Emergency and security procedures (if necessary)

	<ul style="list-style-type: none"> Final site selections – mandatory selections, active harvests for recordings Additional documentation requests
10:30am	Break
10:45am, Plan for completion and record transmission prior to daily briefing	<ul style="list-style-type: none"> A sampling of preselected sites to be visited to record aspects of field criteria as directed by audit team leader (e.g., on-site, field data collection with camera(s), GPS/time-date stamp). These should be designed to record evidence for conformity to selected PC&I to be evaluated.
	Breaks/meals as needed
1:00pm, Forest Management document review.	<ul style="list-style-type: none"> May or may not include FME staff. Documentation and record review done separately by audit team. Staff and stakeholder interviews as scheduled.
3:30pm	Prepare for daily briefing, document inventory, additional doc requests, receive site-records
4:00pm	Give daily debriefing on audit day progress and next day plans/requests
Date: 20 October 2020	
Time/Tech	Activities/ notes
9:00am, MS Teams	ICT testing with technical on-site contact. Test communications for on-site meeting room
9:15am, Plan for completion and record transmission prior to daily briefing	<ul style="list-style-type: none"> A sampling of preselected sites to be visited to record aspects of field criteria as directed by audit team leader (e.g., on-site, field data collection with camera(s), GPS/time-date stamp). These should be designed to record evidence for conformity to selected PC&I to be evaluated. Interviews with staff
10:30am	Break
10:45am, tech	May or may not include FME staff. Documentation and record review done separately by audit team. Staff and stakeholder interviews as scheduled.
	Breaks/meals as needed
1:00pm, Forest Management document review.	May or may not include FME staff. Documentation and record review done separately by audit team. Staff and stakeholder interviews as scheduled.
3:30pm	Prepare for daily briefing, document inventory, additional doc requests, receive site-records
4:00pm	Give daily debriefing on audit day progress and next day plans/requests
Date: 21 October 2020	
Time/Tech	Activities/ notes
9:00am, MS Teams	ICT testing with technical on-site contact. Test communications for on-site meeting room
9:15am, Plan for completion and record transmission prior to daily briefing	<ul style="list-style-type: none"> A sampling of preselected sites to be visited to record aspects of field criteria as directed by audit team leader (e.g., on-site, field data collection with camera(s), GPS/time-date stamp). These should be designed to record evidence for conformity to selected PC&I to be evaluated. Interviews with staff
10:30am	Break
10:45am, tech	May or may not include FME staff. Documentation and record review done separately by audit team. Staff and stakeholder interviews as scheduled.
	Breaks/meals as needed

1:00pm, Forest Management document review.	May or may not include FME staff. Documentation and record review done separately by audit team. Staff and stakeholder interviews as scheduled.
3:30pm	Prepare for daily briefing, document inventory, additional doc requests, receive site-records
4:00pm	Give daily debriefing on audit day progress and next day plans/requests
Date: 22 October 2020	
9:00am	Prepare for morning briefing – review of doc/records request, new doc/records requests
9:10am	Tech check of ICT tools
9:15am – 2:00pm	Any remaining interviews, document review, etc.
3:00pm	Closing Meeting Preparation: Auditor(s) take time to consolidate notes and confirm evaluation findings
4:00pm	Closing Meeting: Review preliminary findings (potential non-conformities and observations) and discuss next steps

Site notes	
District 4	
1.	Zaleski State Forest. Compartment/ ID: D-11/12/ Contract 2003. Activity/ Feature of Interest: Stumpage Timber Sale, Completed harvest, and Closeout completed. Review of site documentation: contract, timber cruise, marking transmittal, prospectus, timber harvest notice of intent, map, master logger record, and inspection forms (these may be assumed present for all completed sales unless otherwise stated). All pre-harvest meetings and environmental assessments completed. Site was a combination of hardwood deferment and thinning (even-aged; 14 and 11 acres, respectively) and single-tree selection (uneven-aged; 14 acres). Drone video demonstrates excellent spacing on retained/crop trees in the even-aged areas, and multiple canopy layers in the uneven-aged areas. This ensures that multiple species and structures are being maintained on the site for mast production and wildlife habitat. Roads and log landings observed had drainage features installed. Log landings were bedded with straw or seed mix. Photos reviewed of the sale demonstrated retention of multiple species intended for crop trees and seed production to establish regeneration on the deferment site.
2.	Zaleski State Forest. Compartment/ ID: D-24/ Wolfpen Hollow. Activity/ Feature of Interest: Prescribed Burn, Planned, Burn plan for oak regeneration. Not started. Review of site documentation: cruising report; EPA notification; smoke, ignitions, and prescription map; and burn plan. Before-burn photos demonstrate established oak regeneration capable of surviving a ground burn, as well as the overstory mesic species (e.g., American beech) that suppress the oak species.
3.	Zaleski State Forest. Compartment/ ID: A2. Activity/ Feature of Interest: Precommercial, Completed, Stiltgrass treatment completed Sept 2020. Review of site documentation: application records, Precommercial Project Proposal and Prescription forms (prescription, maps, environmental assessments, adjacent landowner notification check, and inspection forms). 20 acres of stiltgrass controlled with glyphosate formulation. This invasive species keeps native species from establishing and reaching free-to-grow conditions.
4.	Compartment/ ID: Various/ Joint Chiefs. Activity/ Feature of Interest: Precommercial - Invasive control, Completed, "Joint Chief's" project. Invasive species control at various location on Zaleski Forest. Review of site documentation: application records, Precommercial Project Proposal and Prescription forms (prescription, maps, environmental assessments, adjacent landowner notification check, and inspection forms). Several sites (hundreds of acres) were treated to control

<p>several invasive species (e.g., Ailanthus, Paulownia, stiltgrass, honeysuckle, autumn-olive). Each site had its own prescription and environmental assessment. All applications done by licensed applicators. Woody species were cut and treated with a basal spray and herbaceous species with foliar spray. Reviewed photos of application sites, individually treated trees, and foliar spray sites for stiltgrass. Photos demonstrate that treatments have been effective in controlling overstory individuals.</p>
<p>5. Zaleski State Forest. Compartment/ ID: C-27/ Contract 1906. Activity/ Feature of Interest: Stumpage Timber Sale, Not started, Sold. Drone footage and photos: Markings/paint confirmed consistent with Marking Transmittal document: Forest Boundary, Sale Boundary, Retention Trees, Saw Cut Trees, Pulp Cut Trees, Cull Trees. Sale is about 27 acres and includes 3 stands with mature oak succeeding to red maple and yellow poplar. Stands will be thinned to release healthy oaks, provide seed bed, and reduce undesired tree species and fire damaged individuals. Conventional logging to be used. Wildlife and aesthetic considerations are buffering road retaining scattered culls, dens, and dead trees. Cruise report includes information regarding cemetery protections, "Flag a buffer around all sites and keep equipment and logging debris out of flagged areas," and no equipment traffic through area. Old Fire Tower site identified during pre-harvest review and protections described in Cruise report. Sale Sold Dec 7, 2018.</p>
<p>District 2</p>
<p>6. Fernwood State Forest. Compartment/ ID: A3/ Contract 1923, Long Run Sale. Activity/ Feature of Interest: Stumpage Timber Sale, In-progress. Drone footage: Hardwood thinning, 137 acres. Forest Manager description via drone footage. Sale overview, landing deck, primary skid trail observed. Confirmed, blue marked to cut, boundaries in red paint. Multiple timber mats reviewed for stream crossings. Seeding and straw application on skid trail to mitigate erosion. Retention ponds, artifacts of prior ownership, protections installed. BMPs observed, no issues. Additional photos: BMP closeouts, water bars; stream crossings cleared; spill kits; skid trails with water bars; no rutting observed.</p>
<p>7. Willow Grove State Forest. New property acquisition - 350-acre forest. No activities. Staff built a sign and monument. Reviewed documentation, photos, and maps of property. Photos of newly installed Willow Grove Mine memorial.</p>
<p>8. Yellow Creek State Forest. Compartment/ ID: A5. Activity/ Feature of Interest: Precommercial, Completed, Oak Wilt management - girdling and herbicide treatment. Photos: 21 photos showing marked and girdled oak trees, good impact. This block of Yellow Creek State Forest had large widespread mortality of Quercus spp. caused by oak wilt. Without treatment problem would have worsened due to the combination of how the pathogen can move through a stand and the density of oak in this forest. All oaks in the red oak subgroup marked inside of the treatment areas were double girdled and stem injected with herbicide. The mid and understory in some of these areas was dominated by witch hazel which was also treated to release desired existing or encourage new tree regeneration. Proposal included prescription, map, environmental impacts assessment, and inspection data sheets per ODNR procedures.</p>

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 2015	1 st Annual Evaluation 2016	2 nd Annual Evaluation 2017	3 rd Annual Evaluation 2018	4 th Annual Evaluation 2019	COVID-19 Surveillance audit 2020
No findings	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
P1						

P2						
P3						
P4	4.4.b (OBS)			4.2 (Minor)	4.2.b (OBS)	4.2.b (OBS)
P5	5.4.a & 5.4.b (OBS)					
P6	6.1.b (OBS); 6.2.a (OBS); 6.3.h (Minor); 6.4.b (Minor); 6.5.b (Minor); 6.7.c (Minor)	6.3.f (2 OBS's)	6.3.f (OBS)		6.7.a (Minor)	
P7	7.3.a (OBS)					
P8	8.3.b (Major)			8.2 (Minor)		8.3.a (OBS)
P9						
P10						
COC for FM	& 1.2 & 1.4 & 1.5 (Major); 2.1 & 2.2 & 2.3 & 2.4 (Major); 3.1 (Minor); 5.1 & 5.2 (Minor)				5.2 (OBS)	1.2, 1.4, and 2.2 (OBS)
Trademark						1.3 and 1.5 (Minor)
Group						
Other						

4.3 Existing Corrective Action Requests and Observations

Finding Number: 2019.1	
Select one: <input type="checkbox"/> Major CAR <input type="checkbox"/> Minor CAR <input checked="" type="checkbox"/> Observation	
FMU CAR/OBS issued to (when more than one FMU):	
Deadline	<input type="checkbox"/> Pre-condition to certification <input type="checkbox"/> 3 months from Issuance of Final Report <input type="checkbox"/> Next audit (surveillance or re-evaluation) <input checked="" type="checkbox"/> Other deadline (specify): <i>Observation; response is optional.</i>
FSC Indicator:	4.2.b
<p>Non-Conformance: Loggers observed at Scioto Trail State Forest were well equipped with PPE, thus allowing the audit team to close 2018's Minor CAR 2018.1.</p> <p>However, review of the same team's first-aid kit revealed that the kit's contents had expired in 2013. The kit was unopened and sealed, and it assumed that most of its contents (e.g., bandages, gauze) remained functional. However, other contents (e.g., medicinal ointments) may no longer be effective.</p>	
<p>Observation: The forest owner or manager and their employees and contractors should demonstrate a safe work environment.</p>	
FME response (including any evidence submitted)	DOF does not inspect first aid kits of outside contractors. Contractors acknowledge by signing a timber sale agreement with the state of Ohio that they will comply with relevant health and safety laws of Ohio. However, it may be reasonable to remind contractors during the pre-sale meeting.

SCS review	<p>Per review of pre-sale meeting documents and inspection forms, there is no specific record related to checking any safety measures beyond removal of trash and other non-organic wastes and PPE checks. Per interviews with staff, more detailed inspections may be difficult or require advice from legal counsel.</p> <p>During the course of the audit, the FME secured some clarification from logger training/ education programs. Specifically, contents of a First Aid kit are not part of the Master Logger required training. It may be covered during the required First Aid/CPR course and some chapters may review this as part of their continuing education unit (CEUs) credit offerings. The Ohio Forestry Association (OFA) has provided On-The-Job Trauma training at its Annual Meeting and at a Master Logger Recertification class, where the contents of a kit were reviewed in more detail, such as carrying severe trauma blood clotting agents. OFA also offered this training for CEUs to local chapters. OFA also reminds logging companies to follow OSHA guidelines, which probably covers First Aid Kits.</p> <p>Per review of the OSHA website, there are some mandatory (e.g., 1910.266 App A) and non-mandatory (e.g., 1910.151 App A) statutes related to first aid kits. More general information on first aid kits was found here (viewed 21 October 2020): https://www.osha.gov/medical-first-aid/standards.</p> <p>Considering the number of safety topics covered in Master Logger training and CEUs being offered, it is likely that first aid kits are reviewed during several trainings. However, this could not be confirmed. Since this is the principal training available to loggers in the state and that its director recommended ensuring that it is specifically covered, this OBS is sustained. Refer to OBS 2020.1</p>
Status of CAR:	<input type="checkbox"/> Closed <input type="checkbox"/> Upgraded to Major <input checked="" type="checkbox"/> Other decision (refer to description above)

Finding Number: 2019.2	
Select one: <input type="checkbox"/> Major CAR <input checked="" type="checkbox"/> Minor CAR <input type="checkbox"/> Observation	
FMU CAR/OBS issued to (when more than one FMU):	
Deadline	<input type="checkbox"/> Pre-condition to certification <input type="checkbox"/> 3 months from Issuance of Final Report <input checked="" type="checkbox"/> Next audit (surveillance or re-evaluation) <input type="checkbox"/> Other deadline (specify):
FSC Indicator:	6.7.a
<p>Non-Conformance: When asked how they would respond to a hazardous spill, the loggers at Scioto Trail State Forest demonstrated their knowledge of how to employ their team's spill kit, which was contained in their vehicle.</p> <p>However, in conversation with one of the equipment operators at Dean State Forest, it was revealed that he had no knowledge of how to respond to a hazardous spill and had never carried a spill kit with him on an active job.</p>	

Corrective Action Request: The forest owner or manager, and employees and contractors, shall have the equipment and training necessary to respond to hazardous spills.	
FME response (including any evidence submitted)	An email directive was sent to all managers instructing their equipment operators to watch two videos on YouTube as training on the use of spill kits in forestry operations. District Managers were instructed to purchase spill kits for all transport trucks on their units. See evidence of email correspondence and responses that spill kits have been purchased.
SCS review	Confirmed via review of email records that referred to the resources cited in the FME response (18/Sep/20, 6/Oct/20, and 15/Oct/20). A receipt for the purchase of spill kits was also provided. Photos of chemical storage facilities demonstrate that spill kits are stored on the FMU and available to staff.
Status of CAR:	<input checked="" type="checkbox"/> Closed <input type="checkbox"/> Upgraded to Major <input type="checkbox"/> Other decision (refer to description above)

Finding Number: 2019.3	
Select one: <input type="checkbox"/> Major CAR <input type="checkbox"/> Minor CAR <input checked="" type="checkbox"/> Observation	
FMU CAR/OBS issued to (when more than one FMU):	
Deadline	<input type="checkbox"/> Pre-condition to certification <input type="checkbox"/> 3 months from Issuance of Final Report <input type="checkbox"/> Next audit (surveillance or re-evaluation) <input checked="" type="checkbox"/> Other deadline (specify): Observation; response is optional
FSC Indicator:	Chain of Custody Indicators, 5.2
<p>Observation: Chain of Custody records (last updated in September 2016), including sign-in sheet, were reviewed. Interviews with FME staff confirmed that all relevant personnel were up to date on ODOF's COC procedures.</p> <p>However, the audit team was unable to verify the existence of a training plan for COC procedures. There does not appear to be a plan in place for potential new hires to be formally trained on COC procedures, for example.</p>	
<p>Corrective Action Request: The FME should 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>	
FME response (including any evidence submitted)	DOF feels this is a simple misunderstanding. DOF has a training plan for all new foresters which specifically include training on the "Land Management Manual". DOF's CoC program is included in that manual. DOF can provide training records where all foresters have been trained on the manual.
SCS review	Complete training records were reviewed for two FME staff and the IQS training tracker was reviewed for other staff (trainings 2017-19). The "forester refresher" course covers COC as it includes a review of Chapter 13 of the LMM.

Status of CAR:	<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

Finding Number: 2020.1	
Select one: <input type="checkbox"/> Major CAR <input type="checkbox"/> Minor CAR <input checked="" type="checkbox"/> Observation	
FMU CAR/OBS issued to (when more than one FMU):	
Deadline	
<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 regularly scheduled audit, whichever comes first (<i>surveillance or re-evaluation</i>) <input checked="" type="checkbox"/> Observation – response is optional <input type="checkbox"/> Other deadline (specify):	
Primary standard reference:	FSC-US, V1-0, 4.2.b
Other applicable standard reference(s):	
<p>Non-Conformity (or Background/ Justification in the case of Observations): Continuation of 2019.1: <i>Loggers observed at Scioto Trail State Forest were well equipped with PPE, thus allowing the audit team to close 2018's Minor CAR 2018.1.</i></p> <p><i>However, review of the same team's first-aid kit revealed that the kit's contents had expired in 2013. The kit was unopened and sealed, and it assumed that most of its contents (e.g., bandages, gauze) remained functional. However, other contents (e.g., medicinal ointments) may no longer be effective.</i></p> <p>Considering the number of safety topics covered in Master Logger training and CEUs being offered, it is likely that first aid kits are reviewed during several trainings. However, this could not be confirmed. Since this is the principal training available to loggers in the state and that its director recommended ensuring that it is specifically covered, this OBS is sustained.</p>	
Corrective Action Request (or Observation): The forest owner or manager and their employees and contractors should demonstrate a safe work environment.	
FME response (including any evidence submitted)	
SCS review	
Status of CAR:	<input type="checkbox"/> Closed <input type="checkbox"/> Upgraded to Major <input type="checkbox"/> Other decision (refer to description above)

Finding Number: 2020.2	
Select one: <input type="checkbox"/> Major CAR <input type="checkbox"/> Minor CAR <input checked="" type="checkbox"/> Observation	
FMU CAR/OBS issued to (when more than one FMU):	
Deadline	

<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, whichever comes first (<i>surveillance or re-evaluation</i>) <input type="checkbox"/> Observation – response is optional <input type="checkbox"/> Other deadline (specify):	
Primary standard reference:	FSC-US, V1-0, 8.3.a
Other applicable standard reference(s):	SCS COC indicators for FMEs, V8-0, 1.2, 1.4, 2.2
<p>Non-Conformity (or Background/ Justification in the case of Observations): COC procedures (<i>Chapter 13: Chain of Custody Program on Ohio's State Forests</i>) are up to date. However, one of the agreements established to define a forest gate* specific to single timber buyer expired in 2019. This forest gate has not been updated, and it is possible to keep selling to this timber buyer under other defined forest gates.</p> <p>It was also found that there are instances in which the FME's Zaleski sawmill maintains legal ownership over material from the FMU starting from harvest, processing into solid wood products, and through to construction of infrastructure on the FMU. In these situations, there is no change in ownership and hence no forest gate. This means that the FME may make claims of certified wood on this infrastructure when it is entirely made of wood originating from the FMU. However, any sales of these solid wood products with an FSC claim would not be permitted until an evaluation to FSC-STD-40-004 were conducted.</p> <p><i>*The forest gate is defined as the point where the change in ownership of the certified-forest product occurs.</i></p> <p>Information and data required in SCS COC 2.2 is spread over several documents and records (e.g., product groups list, trip tickets, invoices for sold logs, timber sale agreements, and annual harvest record Excel file for each state forest). The FME could consider conducting a gap assessment to determine if any information/data is missing and/or located in records not demonstrated during the audit. NOTE: this requirement has been adapted from the FSC International Generic Indicators and will be fully applicable after the FSC-US IGI-adapted standard becomes valid.</p>	
<p>Corrective Action Request (or Observation): The FME should consider revising its COC procedures to address the potential gaps identified above.</p>	
FME response (including any evidence submitted)	
SCS review	
Status of CAR:	<input type="checkbox"/> Closed <input type="checkbox"/> Upgraded to Major <input type="checkbox"/> Other decision (refer to description above)

Finding Number: 2020.3	
Select one: <input type="checkbox"/> Major CAR <input checked="" type="checkbox"/> Minor CAR <input type="checkbox"/> Observation	
FMU CAR/OBS issued to (when more than one FMU):	
Deadline	
<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, whichever comes first (<i>surveillance or re-evaluation</i>) <input type="checkbox"/> Observation – response is optional <input type="checkbox"/> Other deadline (specify):	
Primary standard reference:	Primary standard reference: FSC-STD-50-001, V2-0, 1.3

Other applicable standard reference(s):	Other applicable standard reference(s):
Non-Conformity (or Background/ Justification in the case of Observations): The FSC trademark license code assigned by FSC to the organization does not accompany the use of the FSC trademarks. It is sufficient to show the code once per product or promotional material. Specifically, the Division of Forestry webpage has been updated since the initial approval in 2015 and the FSC logo with the FME's license code has been removed.	
Corrective Action Request (or Observation): The FSC trademark license code assigned by FSC to the organization shall accompany the use of the FSC trademarks. It is sufficient to show the code once per product or promotional material.	
FME response (including any evidence submitted)	The license code was added after the mentions of Forest Stewardship Council and FSC.
SCS review	Confirmed that the webpage now has the FSC license code.
Status of CAR:	<input checked="" type="checkbox"/> Closed <input type="checkbox"/> Upgraded to Major <input type="checkbox"/> Other decision (refer to description above)

Finding Number: 2020.4	
Select one: <input type="checkbox"/> Major CAR <input checked="" type="checkbox"/> Minor CAR <input type="checkbox"/> Observation	
FMU CAR/OBS issued to (when more than one FMU):	
Deadline	
<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, whichever comes first (<i>surveillance or re-evaluation</i>) <input type="checkbox"/> Observation – response is optional <input type="checkbox"/> Other deadline (specify):	
Primary standard reference:	FSC-STD-50-001, V2-0, 1.5
Other applicable standard reference(s):	
Non-Conformity (or Background/ Justification in the case of Observations): The organization updated its website and has not submitted all intended uses of the FSC trademarks to SCS for approval.	
Corrective Action Request (or Observation): The organization shall submit its updated website to SCS for approval.	
FME response (including any evidence submitted)	November 2020: Refer to Case #327353
SCS review	November 2020: Confirmed via review of website and case 327353 that the website has been submitted to SCS and approved.
Status of CAR:	<input checked="" 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 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
contents of a First Aid kit are not part of the Master Logger required training. It may be covered during the required First Aid/CPR course and some chapters may review this as part of their continuing education unit (CEUs) credit offerings. The Ohio Forestry Association (OFA) has provided On-The-Job Trauma training at its Annual Meeting and at a Master Logger	Considering the number of safety topics covered in Master Logger training and CEUs being offered, it is likely that first aid kits are reviewed during several trainings. However, this could

<p>Recertification class, where the contents of a kit were reviewed in more detail, such as carrying severe trauma blood clotting agents. OFA also offered this training for CEUs to local chapters.</p> <p>Maybe there should be a discussion in the SIC about adding this as Required Training. Of course, OFA also reminds logging companies to follow OSHA guidelines, which probably covers First Aid Kits.</p> <p>As part of the annual random inspection process of members of the Ohio Master Logging Company program, Safety is one of the categories that is inspected. These inspections are carried out by Ohio Division of Forestry personnel. The following 9 items are inspected for in that process.</p> <ul style="list-style-type: none"> • Is there a company Safety Plan? • Is there a displayed OSHA Poster? • Do they hold and document Safety Meetings? • Are MSDS sheets available? (we need to update the MSDS wording) • Do they use Open-Face/Hinge Cutting techniques. • Are they using Required PPE? • Are they doing Required Equipment Inspections? • Are they CPR & First Aid trained? • Is there evidence of an Employee Training Program? <p>Unfortunately, a properly stocked First Aid kit is not on the list. It obviously should be. I believe this will change for the future.</p> <p>Also, I am currently working with an insurance company to develop a generic safety plan template for small logging and sawmill companies. We are editing version 2 right now and hope to have a finished, free template very soon to provide to members of the forest products industry that need a good place to start.</p>	<p>not be confirmed. Since this is the principal training available to loggers in the state and that its director recommended ensuring that first aid kits be specifically covered, refer to OBS 2020.1</p>
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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"/>
Comments:	

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 checked="" type="checkbox"/> Social Information	<input checked="" type="checkbox"/> Pesticide and Other Chemical Use <input checked="" 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
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Name and Contact Information

Organization name	Ohio Department of Natural Resources (ODNR)-Division of Forestry		
Contact person	Chad Sanders		
Address	ODNR-Division of Forestry 945 ODNR Mohican Rd 60 Perrysville, OH 44864	Telephone	419-938-6222
		Fax	419-938-3104
		e-mail	Chad.sanders@dnr.state.oh.us
		Website	http://www.ohiodnr.gov

FSC Sales Information

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

Scope of Certificate

Certificate Type	<input checked="" type="checkbox"/> Single FMU	<input type="checkbox"/> Multiple FMU
	<input type="checkbox"/> Group	
SLIMF (if applicable)	<input type="checkbox"/> Small SLIMF certificate	<input type="checkbox"/> Low intensity SLIMF certificate
	<input type="checkbox"/> Group SLIMF certificate	
# Group Members (if applicable)		
Number of FMUs in scope of certificate		
Geographic location of non-SLIMF FMU(s)	Latitude: 82 deg 57' 55.45" West, Longitude: 40 deg 03' 33.61" North	
Forest zone	<input type="checkbox"/> Boreal	<input checked="" type="checkbox"/> Temperate
	<input type="checkbox"/> Subtropical	<input type="checkbox"/> Tropical
Total forest area in scope of certificate:		
Total forest area in scope of certificate which is:	Units: <input type="checkbox"/> ha or <input checked="" type="checkbox"/> ac	
privately managed		
state managed	200,407	
community managed		
Number of FMUs in scope that are:		

less than 100 ha in area	0	100 - 1000 ha in area	0
1000 - 10 000 ha in area	0	more than 10 000 ha in area	1
Total forest area in scope of certificate which is included in FMUs that:			Units: <input type="checkbox"/> ha or <input checked="" type="checkbox"/> ac
are less than 100 ha in area		0	
are between 100 ha and 1000 ha in area		0	
meet the eligibility criteria as <i>low intensity</i> SLIMF FMUs		0	
Division of FMUs into manageable units:			
Ohio DNR - Division of Forestry 2020			
State Forest Units		Location Certified Acres	
BEAVER CREEK STATE FOREST Total	North	1,122	
BLUE ROCK STATE FOREST Total	South	4,575	
BLUE ROCK WEST Total	South	675	
BRUSH CREEK STATE FOREST Total	South	13,415	
CHAPIN FOREST RESERVATION Total	North	367	
DEAN STATE FOREST Total	South	2,755	
FERNWOOD STATE FOREST Total	North	3,021	
GIFFORD STATE FOREST Total	South	317	
GREEN SPRINGS Property Total	North	74	
HARRISON STATE FOREST Total	North	1,345	
HOCKING STATE FOREST Total	South	9,804	
MAUMEE STATE FOREST Total	North	3,308	
MOHICAN-MEMORIAL FOREST Total	North	4,525	
PERRY STATE FOREST Total	South	4,701	
PIKE STATE FOREST Total	South	12,516	
RICHLAND FURNACE STATE FOREST Total	South	2,530	
SCIOTO TRAIL STATE FOREST Total	South	9,586	
SHADE RIVER STATE FOREST Total	South	2,859	
SHAWNEE STATE FOREST Total	South	64,710	
SUNFISH CREEK STATE FOREST Total	South	637	
TAR HOLLOW STATE FOREST Total	South	16,434	
VINTON FURNACE STATE FOREST Total	South	12,083	
WILLOW GROVE	North	350	
YELLOW CREEK STATE FOREST Total	North	756	
ZALESKI STATE FOREST Total	South	27,799	
ZANESVILLE Property Total	South	143	
Grand Total		200,407	

Social Information

Number of forest workers (including contractors) working in forest within scope of certificate (differentiated by gender):		
male workers: # 86		female workers: # 23
Number of accidents in forest work since previous evaluation:	Serious: # 7	Fatal: # 0

Pesticide and Other Chemical Use

<input type="checkbox"/> FME does not use pesticides.				
Commercial name of pesticide / herbicide	Active ingredient	Quantity applied since previous evaluation (kg or lbs.)	Total area treated since previous evaluation (ha or ac)	Reason for use
Garlon 4 Ultra	triclopyr: 2-[(3,5,6-trichloro-2-pyridinyl)oxy] acetic acid, butoxyethyl ester	515.3 oz. (1 oz. = 0.0625 lbs. or 0.0283495 kg)	1213 ac	Invasive Plant Treatment
Arsenal AC	isopropylaine salt of imazapyr: 92-[4,5-dihydro-4-methyl-4-(1-methylethyl)-5-oxo-1H-imidazol-2-yl]-3pyridinecarboxylic acid)	1.59 oz.	51 ac	Invasive Plant Treatment
AquaNeat	Glyphosate, N-(phosphonomethyl)glycine, in the form of its isopropylamine salt	503.3 oz.	65 ac	Invasive Plant Treatment
Bandit 2F	imidacloprid, 1-[(6-Chloro-3-pyridinyl)methyl]-N-nitro-2-imidazolidinimin	36.6 oz.	335 ac	Invasive Insect Treatment
flumioxazin	Flumioxazin, 2-[7-fluoro-3,4-dihydro-3-oxo-4-(2-propynyl)-sH-1,4-benzoxazin-6-yl]-4,5,6,7-tetrahydro-1,3(sH)-dione	94.3 oz.	18.5 ac	Tree planting site prep
Prodiamine 65WDG	Prodiamine	336.7 oz.	18.5 ac	Tree planting site prep
GlyStar Pro	Glyphosate, N-(phosphonomethyl)glycine, in the form of its isopropylamine salt	94.4 oz.	2 ac	wetland restoration
Aqua Star	Glyphosate, N-(phosphonomethyl)glycine, in the form of its isopropylamine salt	60.26 oz.	2 ac	wetland restoration
Alligare Triclopyr 3	Triclopyr: 3,5,6-trichloro-2-pyridinyloxyacetic acid, triethylamine salt	428.5 oz.	530 ac	Invasive Plant Treatment

Production Forests

Timber Forest Products	Units: <input type="checkbox"/> ha or <input checked="" type="checkbox"/> ac
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Total area of production forest (i.e. forest from which timber may be harvested)	185,716
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	185,716
Silvicultural system(s)	Area under type of management
Even-aged management	
Clearcut (clearcut size range)	76
Shelterwood	257
Other:	161
Uneven-aged management	1416
Individual tree selection	
Group selection	193
Other:	11
<input type="checkbox"/> Other (e.g. nursery, recreation area, windbreak, bamboo, silvo-pastoral system, agro-forestry system, etc.)	
Non-timber Forest Products (NTFPs)	
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
Species in scope of joint FM/COC certificate: (Scientific / Latin Name and Common / Trade Name)	
Eastern White Pine, <i>Pinus strobus</i> Red Pine, <i>Pinus resinosa</i> Pitch Pine, <i>Pinus rigida</i> Shortleaf Pine, <i>Pinus echinata</i> Virginia Pine, <i>Pinus virginiana</i> Tamarack, <i>Larix laricina</i> Eastern Hemlock, <i>Tsuga canadensis</i> Eastern Red Cedar, <i>Juniperus virginiana</i> Sugar Maple, <i>Acer saccharum</i> Boxelder, <i>Acer negundo</i> Red Maple, <i>Acer rubrum</i> Silver Maple, <i>Acer saccharinum</i> Black Maple, <i>Acer nigrum</i> White Ash, <i>Fraxinus americana</i> Black Ash, <i>Fraxinus nigra</i> Green Ash, <i>Fraxinus pennsylvanica</i> Yellow Buckeye, <i>Aesculus octandra</i> Ohio Buckeye, <i>Aesculus glabra</i> Black Walnut, <i>Juglans nigra</i> Butternut, <i>Juglans cinerea</i>	

Bitternut Hickory, *Carya cordiformis*
 Mockernut Hickory, *Carya tomentosa*
 Shellbark Hickory, *Carya laciniosa*
 Shagbark Hickory, *Carya ovata*
 Pignut Hickory, *Carya glabra*
 Honey Locust, *Gleditsia triacanthos*
 Black Locust, *Robinia pseudoacacia*
 Sassafras, *Sassafras albidum*
 Hackberry, *Celtis occidentalis*
 Eastern cottonwood, *Populus deltoides*
 Bigtooth Aspen, *Populus grandidentata*
 Black Cherry, *Prunus serotina*
 American Beech, *Fagus grandifolia*
 Northern Red Oak, *Quercus rubra*
 Scarlet Oak, *Quercus coccinea*
 Pin Oak, *Quercus palustris*
 Black Oak, *Quercus velutina*
 White Oak, *Quercus alba*
 Chestnut Oak, *Quercus prinus*

FSC Product Classification

Timber products		
Product Level 1	Product Level 2	Species
W1	W1.1 Roundwood	All
W5 Solid wood (sawn, chipped, sliced or peeled)		All
Non-Timber Forest Products		
Product Level 1	Product Level 2	Product Level 3 and Species
NA		

Note: W1, W2, and W3 product groups usually do not require a separate evaluation to FSC-STD-40-004 (COC) if processing occurs in the field for FM/COC and CW/FM certificate types. N1-N10 (NTFPs) are eligible to be sold with FSC claims under FM/COC certification if reported here. Bamboo and NTFPs derived from trees (e.g. cork, resin, bark) may be eligible for FM/COC and CW/FM certification. NTFPs used for food and medicinal purposes are not eligible for CW/FM certification. Check with SCS if you have any products intended to be sold with an FSC claim outside of any of these categories.

Conservation and High Conservation Value Areas

Conservation Area	Units: <input type="checkbox"/> ha or <input checked="" type="checkbox"/> ac
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).*	14,691

*Note: Total conservation and HCV areas may differ since these may serve different functions in the FME's management system. Designation as HCV may allow for active management, including commercial harvest. Conservation areas are typically under passive management, but may undergo invasive species control, prescribed burns, non-commercial harvest, and other management activities intended to maintain or enhance their integrity. In all cases, figures are reported by the FME as it pertains local laws & regulations, management objectives, and FSC requirements.

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).	Portions: Mohican, Hocking, Shawnee	3,496
HCV2	Forests or areas containing globally, regionally or nationally significant 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.	Shawnee Wilderness area	8,354
HCV3	Forests or areas that are in or contain rare, threatened or endangered ecosystems.	Portions: Maumee	277
HCV4	Forests or areas that provide basic services of nature in critical situations (e.g. watershed protection, erosion control).	Portions: Zaleski, Beaver Creek	2,287
HCV5	Forests or areas fundamental to meeting basic needs of local communities (e.g. subsistence, health).		0
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).	Cemeteries at various forests and Memorial Shrine forest	277
Total area of forest classified as 'High Conservation Value Forest / Area'			14,691

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

☒ N/A – All forestland owned or managed by the certificate holder is included in the scope.

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

Appendix 2 – Staff and Stakeholders Consulted

List of FME Staff Consulted

To protect privacy, **only FME staff who have expressly provided written permission are listed**. These records are retained by SCS and subject to FSC or ASI examination.

Name	Title	Contact Information	Consultation method
Maintained in SCS files if permission has been granted.			

List of other Stakeholders Consulted*

To protect privacy, **only stakeholders who have expressly provided written permission are listed**. These records are retained by SCS and subject to FSC or ASI examination.

List of other Stakeholders Consulted*

Name	Title	Contact Information	Consultation method	Requests Stakeholder Notification? (Y/N)
Brad Perkins	Executive Director, Ohio Forestry Association	Cell: 740-502-4215 Email: Brad@ohioforest.org	Email/phone	Y

** Note: SCS may maintain additional records of stakeholder consultation activities (e.g., email notifications) in its recordkeeping system. Anonymous stakeholders may have provided comments as a part of stakeholder outreach activities.*

Appendix 3 – Additional Evaluation Techniques Employed

- ☐ None.
- ☒ Additional techniques employed (*describe*):

Due to the COVID-19 crisis, the audit was conducted per applicable FSC, RW, and/or SFI guidance. The following Information and Communication Technology (ICT) Tools were used to complete the audit, including any issues that were exceptionally difficult to evaluate. Remember that audit evidence typically includes Documentation, Interviews, and Observation. Remote audits tend to emphasize Documentation and Interviews over direct Observation. Certain technologies must be used to substitute for direct Observation. During remote audits, auditors shall utilize information and communication technology (ICT) to evaluate all requirements from the annual audit plan to the extent possible. Audits shall be conducted on the basis of virtual meetings / interviews with relevant people of the certificate holder and stakeholders, relevant documents and records, satellite images (where possible), and other best available information.

Remote audits **must** include all forms of remote auditing tools described below:

- Video meetings / remote site sampling (virtual company tour);
- Interviews with relevant FME personnel and stakeholders;
- Relevant documents and records; and
- Satellite or drone images (where possible), and other best available remote observation information including, for example, georeferenced photos and videos.

If one of these tools is not available, the auditor must justify how the audit can proceed without such tools in this form. Audits in this situation may be postponed at the discretion of the FM director until an on-site audit is possible, if the lack of appropriate ICT tools presents an unacceptable conformance risk.

Describe the ICT tools used and agreed upon with the certificate holder to evaluate the requirements included in the scope of the audit (check all that apply):

Documentation:	<input checked="" type="checkbox"/> Computer (e.g., laptop)	<input checked="" type="checkbox"/> Email	<input checked="" type="checkbox"/> Filesharing service (e.g., Dropbox, SharePoint)	<input type="checkbox"/> Virtual Private Network (VPN)	<input type="checkbox"/> Other (describe):
Interviews:	<input type="checkbox"/> Phone (e.g., mobile, landline)	<input type="checkbox"/> Peer-to-peer voice, chat, or video application (e.g., Skype, WhatsApp)	<input checked="" type="checkbox"/> Tele- or video-conferencing application (e.g., Zoom, GoToMeeting)	<input type="checkbox"/> Teletypewriter (TTY) or other device for hearing-impaired	<input type="checkbox"/> Other (describe):
Observation:	<input checked="" type="checkbox"/> Satellite/GIS data	<input checked="" type="checkbox"/> Smartphone camera	<input type="checkbox"/> Digital camera	<input checked="" type="checkbox"/> Video/audio recording	<input type="checkbox"/> Other (describe):

General description: MS teams was used to conduct interviews with staff and share screens for showing records and presentations. Filesharing (e.g., documents, records) was done using the FME's FTP. Remote inspection was done using a combination of photos and drone video footage taken by FME staff.

Appendix 4 – Required Tracking

Pesticide Derogations

- ☒ There are no active pesticide derogations for this FME.

Progressive HCVF Assessments

- ☒ FME does not use partial or progressive HCVF assessments.

Special Instructions or Scoping Notes for Next Regularly Scheduled Annual Audit

<input checked="" type="checkbox"/>	Not applicable; no significant issues identified that may impact the next audit.
Some issues were identified during this audit that the next audit team could consider in the next audit, such as:	
<input type="checkbox"/>	Scope of certificate:
<input type="checkbox"/>	Audit sampling:
<input type="checkbox"/>	Audit time:
<input type="checkbox"/>	Audit season:
<input type="checkbox"/>	Travel time between sites or FMUs:
<input type="checkbox"/>	Audit frequency:
<input type="checkbox"/>	Suggested audit team competency for next audit:
<input type="checkbox"/>	Suggested requirements to include during the next audit:
<input type="checkbox"/>	Suggested issues investigate during the next audit:
<input type="checkbox"/>	Suggested sites for inspection:
<input type="checkbox"/>	Stakeholders to be consulted:
<input type="checkbox"/>	Other(s) – please describe:

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	FSC P&C Reviewed
2016	P.1, P.2, P.3, 4.2, 4.4, 5.6, 6.2, 6.3, 6.9, 8.2, and 9.4
2017	P.7 and P.9
2018	P.4, P.5
2019	P.6, P.8 plus required criteria (see above)
2020	Criteria 6.6, 7.1, and 8.3 (including SCS COC indicators for FMEs)

C= Conformance with Criterion or Indicator

NC= Nonconformance with Criterion or Indicator

NA = Not Applicable

NE = Not Evaluated

FSC Forest Management Standard (v1.0)—United States

REQUIREMENT	C/ NC	COMMENT/CAR
Principle #1: Compliance with Laws and FSC Principles 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, ITTA, and Convention on Biological Diversity, shall be respected.	NE	
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.	NE	
1.5. Forest management areas should be protected from illegal harvesting, settlement and other unauthorized activities.	C	
1.5.a. The forest owner or manager supports or implements measures intended to prevent illegal and unauthorized activities on the Forest Management Unit (FMU).	C	Ohio Administrative Code 1501:3 sets forest rules and visitation policy. State Forest Boundary Marking policy ensures that FME is actively marking boundaries. Boundary marking is a regular scheduled duty of each unit. Timber harvest prep chapter of LM manual includes language on marking of timber harvest boundaries. Law Enforcement coverage ensures the protection of forest resources. Law Enforcement occasionally conducts special projects. Each district issues special use permits. These permits are available at the district offices.
1.5.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.	C	All state forests are covered by law enforcement officers from the Division of Parks who enforce forest rules and Ohio laws on state forest lands. FME reported no significant illegal or unauthorized activities since the previous audit.
1.6. Forest managers shall demonstrate a long-term commitment to adhere to the FSC Principles and Criteria.	NE	
Principle #2: Long-term tenure and use rights to the land and forest resources shall be clearly defined, documented and legally established.		

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.	NE	
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.	NE	
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.	C	
2.3.a 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 federal, state, and/or local laws are employed to resolve such disputes.	C	FME has a dispute resolution process that can be used to help guide a dispute to resolution. Employees are trained in dispute resolution. FME can cite specific disputes where negotiations were held in good faith. Forest Managers and District Managers track local disputes. FME has reported no disputes since the last audit.
2.3.b The forest owner or manager documents any significant disputes over tenure and use rights.	C	FME maintains a catalog of disputes and resolutions. Forest Managers and District Managers track local disputes. FME has reported no disputes since the last audit.
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.		
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.	NE	
3.2. Forest management shall not threaten or diminish, either directly or indirectly, the resources or tenure rights of indigenous peoples.	NA	
3.2.a 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.	NA	There are no tribes that have current legal rights or other binding agreements on state forests per FME's consultation with Hopewell National Historic Park and staff regarding cultural sites, as well as consultation with Ohio Historical Preservation Office data of historic sites. "Special Sites" are delineated in GIS.
3.2.b Demonstrable actions are taken so that forest management does not adversely affect tribal resources. When applicable, evidence of, and measures for,	NA	Special sites are in GIS. FME has trained staff in the recognition and protection of cultural resources per interviews. In the past, staff attended a training session administered by the Hopewell National Historic Park

protecting tribal resources are incorporated in the management plan.		archeologists on the history, identification, and protection of Indian mounds.
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.	NE	
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.	NE	
Principle #4: Forest management operations shall maintain or enhance the long-term social and economic well-being of forest workers and local communities.		
4.1. The communities within, or adjacent to, the forest management area should be given opportunities for employment, training, and other services.	NE	
4.2. Forest management should meet or exceed all applicable laws and/or regulations covering health and safety of employees and their families.	C	
4.2.a 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).	C	<p>FME reported that minor injuries have occurred. Specifically, 7 lost time injuries that have occurred over the past year. Confirmed via review of annual forest injuries spreadsheet. There have been no changes to safety clauses in contract language or to any safety regulations/policies.</p> <p>Complete training records were reviewed for two FME staff and the IQS training tracker was reviewed for other staff (trainings 2017-19). Staff training records related to OSH include fire line safety, chainsaw safety, etc. The “forester refresher” course covers several topics, including health & safety.</p>
4.2.b The forest owner or manager and their employees and contractors demonstrate a safe work environment. Contracts or other written agreements include safety requirements.	C	<p>Confirmed via interviews with staff and observation of sites visited during remote inspection that a safe work environment is demonstrated. Contract template reviewed requires adherence to federal and state law, insurance, and stipulations for logging sites in item 10 (e.g., master logger, PPE, etc.).</p> <p>See OBS 2020.1</p>
4.2.c The forest owner or manager hires well-qualified service providers to safely implement the management plan.		
4.3 The rights of workers to organize and voluntarily negotiate with their employers shall be guaranteed as	NE	

outlined in Conventions 87 and 98 of the International Labor Organization (ILO).		
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.	C	
<p>4.4.a 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"> • Archeological sites and sites of cultural, historical and community significance (on and off the FMU; • Public resources, including air, water and food (hunting, fishing, collecting); • Aesthetics; • Community goals for forest and natural resource use and protection such as employment, subsistence, recreation and health; • Community economic opportunities; • Other people who may be affected by management operations. <p>A summary is available to the CB.</p>	C	<p>FME is in the process of writing the statewide “Forest Action Plan” that covers all public and private forests in the Ohio. FME provided multiple open houses and stakeholder interaction opportunities. That process informs the ongoing state forest management planning effort.</p> <p>All items addressed in full or in part in Statewide Forest Action Plan, Forest Advisory Council, Aesthetics Committee, Integration Committee notes, and 5-year management plan.</p> <p><i>Summary: Forest Action Plan – This assessment includes a myriad of social and economic assessments and data. DOF was the author and a key partner and state forests are integral to the strategies in the document. Arch and Cultural sites – see evidence on C3. Public Participation – mentioned above using our “Pathways to Participation” process. Forest Advisory Council – provides feedback and consultation to DOF on a wide range of issues including those listed in this indicator. Law Enforcement coverage of all state forests by Park Officers. Ohio Fire Council / and Fire Assistance Programs – DOF participates in the effort to form an Ohio Fire Council. Ohio Rural Fire Council – DOF supports this council of rural fire departments. Ohio Forestry Association – DOF is active in the Ohio Forestry Association and several staff holds office positions.</i></p>
4.4.b The forest owner or manager seeks and considers input in management planning from people who would likely be affected by management activities.	C	FME offers several mechanisms including the Open Houses, Pathways to Participation, stakeholder meetings, website, and Forest Advisory Council thru which input and consultation is received regarding strategic and forest plans and site-specific activities.
4.4.c 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.	C	A public notice for timber sales is listed in the local newspaper. All timber sales have signage. FME regularly issues statewide news release for large scale projects and planning efforts and new initiatives. For larger prescribed fires, FME has sent post cards to

		neighbors and advertised on local radio stations. FME also provides a Notice of Intent and Timber Harvest Plan to the local SWCD (NOI-THP). FME offers an open house process. Forest managers are encouraged to maintain local contacts to township trustees and county officials. Finally, FME actively engages other DNR divisions to get perspective on their input and their constituent sensitivities.
<p>4.4.d For public forests, consultation shall include the following components:</p> <ol style="list-style-type: none"> 1. Clearly defined and accessible methods for public participation are provided in both long and short-term planning processes, including harvest plans and operational plans; 2. 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; 3. An accessible and affordable appeals process to planning decisions is available. <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>	C	<ol style="list-style-type: none"> 1. FME has “Pathways to Participation” outlined and available on its website. The Forest Advisory Council is also responsive to this indicator. Also, public consultation meetings for planning process. 2. Open house notices, prescribed fire notices, timber notices, wilderness plan notices and extension of time for comments. 3. FME has a Dispute Resolution process. 4. FME is a member of the Vinton Furnace Research Advisory Council. 5. FME has a strategic plan, forest-specific 5-year management plan, and annual work plans and they are all posted on FME website and reviewed during open houses. <p>Management Review committee evaluates all comments and deals with them appropriately. FME held several direct meetings with stakeholder groups, reworked its open houses to enhance participation with a formal slide show and question time, and did several other enhancements locally to promote consultation efforts.</p> <p>Confirmed via review of stakeholder consultation and management review records (e.g., Aesthetics Committee FY 2020 Summary; Integration Committee Meeting Notes: June 10, 2020; Ohio Wetlands Association (OWA) letter 1/17/20; Sierra Club meeting July 8, 2020).</p> <p>Records of responses to the OWA were demonstrated. The Division Chief, Asst. Chief, and certification manager met with OWA on Feb. 28, 2020 to discuss their initial letter and the FME’s response. One of the resolutions discussed was to have OWA assist with training of FME staff to identify wetlands. OWA does this type of training, but it is usually focused on environmental firms that specialize in permitting. The training is indefinitely postponed due to COVID situation.</p>

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.	NE	
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.		
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.	NE	
5.2. Forest management and marketing operations should encourage the optimal use and local processing of the forest's diversity of products.	NE	
5.3. Forest management should minimize waste associated with harvesting and on-site processing operations and avoid damage to other forest resources.	NE	
5.4. Forest management should strive to strengthen and diversify the local economy, avoiding dependence on a single forest product.	NE	
5.5. Forest management operations shall recognize, maintain, and, where appropriate, enhance the value of forest services and resources such as watersheds and fisheries.	NE	
5.6. The rate of harvest of forest products shall not exceed levels which can be permanently sustained.	C	
<p>5.6.a 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"> • documented growth rates for particular sites, and/or acreage of forest types, age-classes and species distributions; • mortality and decay and other factors that affect net growth; • areas reserved from harvest or subject to harvest restrictions to meet other management goals; • silvicultural practices that will be employed on the FMU; 	C	<p>FME reported that the AAC has remained consistent. FME has placed a limit on itself of harvesting no more than 50% of annual growth in any given year, and consistently harvests approximately 25% of growth on a rolling 5-year average.</p> <p>More details on the AAC are in the 5-year management plan and Chapter 3 of the Land Management Manual (LMM).</p>

<ul style="list-style-type: none"> management objectives and desired future conditions. <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>		
5.6.b Average annual harvest levels, over rolling periods of no more than 10 years, do not exceed the calculated sustained yield harvest level.	C	FME reported that past year's harvest totals 8,654,715 board feet of hardwood sawtimber. This represents approximately 21% of annual growth. FME consistently harvests approximately 25% of annual growth over the last 5 years rolling average. Confirmed by annual harvest Excel spreadsheet, which goes back to 1999.
5.6.c 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.	C	FME outlines this in the DFC doc and in Chapter 3 of the LMM. DFC included in the 5-year management plans. Reacting to data presented in FIA that show oak decline and the "mesification" of Ohio forests, FME is focused on Oak management and a full discussion of this focus is outlined in these documents.
5.6.d 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.	NA	FME does not harvest significant or commercially manage for NTFPs. The public may gather NTFPs per applicable regulations. Ginseng collection on the FMU is prohibited.
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.		
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.	NE	
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 areas shall be established, appropriate	C	

to the scale and intensity of forest management and the uniqueness of the affected resources. Inappropriate hunting, fishing, trapping, and collecting shall be controlled.		
<p>6.2.a 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>	C	<p>FME reported that normal pre-harvest or pre-activity assessments have occurred. No new zones were established.</p> <p>FME policy states that it must follow-up with any positive "hit" on any database. DOW biologists review management and activity plans and view GIS data. They provide feedback and comment as necessary. FME reviews certain sites based on heritage data and provides a thorough field survey for rare plants. FME is reviewing any positive hits from the database and forwarding findings to the database program administrator.</p>
<p>6.2.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.</p> <p>Conservation zones and/or protected areas 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>	C	<p>Normal mitigation efforts are outlined at the activity level and were reviewed for sites remotely inspection in 2020.</p> <p>FME's approach is outlined in the LMM and documented in marking estimates, burn plans, etc. There is a mitigation section where it documents what was found and any adjustments to the activity. Training on RTE species has been included in regular trainings. FME has a zone system that includes HCVF (HCVF includes areas of RTE species concentrations) and RSAs.</p>
6.2.c 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.	C	FME participates and complies with DOW Wildlife Action Plans (recovery goals) for forest dwelling RTE species. They are referenced in the 5-year management plans. FME adopted the biodiversity goals outlined in the Forest Action Plan and placed them in each forest's management plan.
6.2.d 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).	C	FME has Law Enforcement who patrol the forest and enforces laws including poaching. All state forests are open for public hunting. DOW enforces RTE species laws on state forests.
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.	C	
6.3.a.1 The forest owner or manager maintains, enhances, and/or restores under-represented successional stages in the FMU that would naturally	C	FME's approach to dealing with under-represented successional stages is outlined in the DFC document. FME policies also deal with Legacy Trees, SMZs and

<p>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>zones that include HCVF and Wilderness. The context here is that FME believes that <i>oak</i> regeneration is an “under-represented” successional stage and management is trying to promote oak in its future forests. The DFC document and the wildlife chapter of the manual were revised to better conform to this indicator.</p> <p>FME has an oak ecology and restoration focus and it guides harvesting and prescribed burning prescriptions. Oak management by definition, maintains or enhances under-represented naturally occurring successional stages (oak regeneration is underrepresented in Ohio). Confirmed via remote inspection that regeneration harvests have occurred that are intended to meet oak regeneration objectives.</p>
<p>6.3.a.2 When a <i>rare ecological community</i> 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, conservation zones and/or protected areas are established where warranted.</p>	C	<p>This analysis is inclusive of the FME’s zone system and delineations of areas to be set aside in more restrictive zones. Site level assessments are designed to capture anything not considered during zoning. FME manages Maumee State Forest that lies within the Oak Openings region and FME has recognized restoration at Maumee is necessary.</p>
<p>6.3.a.3 When they are present, management maintains the area, structure, composition, and processes of all Type 1 and Type 2 old growth. 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, 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>	C	<p>Ohio state forests exist in the context of heavy-handed anthropogenic influences including widespread iron-ore furnaces in the mid to late 1800s. These furnaces required vast quantities of wood material to fire the furnaces. Subsequent land use was mostly in the form of low-intensity farming and woodlot grazing. These influences leave us with a forest that is relatively even-aged and less than 120 years old. FME believes that, based on inventory data, it does not have any type 1 or type 2 old growth. 40 years of compartment reviews have helped discern the lack of old growth.</p> <p>FME has management zones that will promote future late successional stands. In those zones, no activities, except invasive species control, is allowed. HCVF and other zones respond to this indicator. FME has policies to deal with Legacy Trees and Retention Trees that will promote future late successional stages. FME’s desired future condition and inventory is evidence that it manages with and old forest component.</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"> 1. Old growth forests comprise a significant portion of the tribal ownership. 2. A history of forest stewardship by the tribe exists. 3. High Conservation Value Forest attributes are maintained. 4. Old-growth structures are maintained. 5. Conservation zones representative of old growth stands are established. 6. Landscape level considerations are addressed. 7. Rare species are protected. 		
<p>6.3.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>	C	<p>In large part, oak management focus has positive implications for a host of wildlife species that would predictably suffer if the forests were allowed to transition to mesic species. DOW, USFS research, and other partners and publications support us in this effort. FME manages Maumee State Forest in the Oak Openings region. FME conducted a massive effort to deal with ice storm damage and response efforts serve to enhance or restore animal habitat.</p> <p>Zoning system provides evidence for this indicator. FME has 2 Ruffed Grouse management areas and 1 Wild Turkey management area. Shawnee and Zaleski are identified by DOW as “forest focus areas” for most if not all-important wildlife species and have associated tactical plans. FME has invasive species programs. Rattlesnake habitat is conserved at Shawnee SF. FME has a backcountry management area, HCVFs, and RSAs. Past tree planting efforts on reclaimed mine areas at Fernwood, Harrison, and Perry. There have been historic tree plantings for soil conservation at Mohican, Hocking, etc. FME has an Indiana Bat Management Strategy that has a habitat component. FME cooperates with TNC to provide a corridor between the Edge of Appalachia Preserve and Shawnee State Forest. FME manages the Forest Legacy Program to promote conservation easements.</p>

<p>6.3.c Management maintains, enhances and/or restores the plant and wildlife habitat of Riparian Management Zones (RMZs) to provide:</p> <ul style="list-style-type: none"> a) habitat for aquatic species that breed in surrounding uplands; b) habitat for predominantly terrestrial species that breed in adjacent aquatic habitats; c) habitat for species that use riparian areas for feeding, cover, and travel; d) habitat for plant species associated with riparian areas; and, e) stream shading and inputs of wood and leaf litter into the adjacent aquatic ecosystem. 	C	<p>FME zone system outlined in LM manual chapter 2 contains a “Resource Protection” zone that includes all of the major floodplain forests under management. Management guidelines prevent clearcutting and heavy equipment use in the zone. FME has an SMZ policy. FME identified OEPA designated high quality streams located on state forests. FME solicited input from the fisheries section of DOW for identification of important stream habitats and zoned them as appropriate. FME foresters have been trained on SMZs. SMZs were observed on maps and in the field for sites selected in 2020 for remote inspection.</p>
<p>Stand-scale Indicators 6.3.d 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>Oak ecology and management focus. All foresters receive training on SILVAH Oak. All foresters have received silviculture training and FME has a pine management policy.</p>
<p>6.3.e 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. Native species suited to the site are normally selected for regeneration.</p>	C	<p>FME has a pre-commercial activity chapter in LM manual. Tree planting is incidental and not normal operation therefore this indicator is directly applicable. When tree planting occurs, stock is purchased locally and has a local source. Local source seed mixes are used. FME can show attempts to procure funding through NWTf for use of native seed mixes.</p> <p>FME reported no assisted regeneration this year.</p>
<p>6.3.f 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> <ul style="list-style-type: none"> a) large live trees, live trees with decay or declining health, snags, and well-distributed coarse down and dead woody material. Legacy trees where present are not harvested; and b) vertical and horizontal complexity. <p>Trees selected for retention are generally representative of the dominant species found on the site.</p>	C	<p>FME’s emphasis on oak ecology and management addresses this indicator. Further, FME has guidelines relating to Legacy Trees and Retention Trees in the LM Manual. Further guidance on retention trees is outlined in DOW documents such as the Indiana Bat Management Strategy and others. FME and DOW coordinated on revising the retention guidelines in the LM manual to reconcile three different documents and to eliminate confusion with staff.</p>
<p>6.3.g.1 In the Southeast, Appalachia, Ozark-Ouachita, Mississippi Alluvial Valley, and Pacific Coast Regions, when even-aged systems 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</p>	C	<p>FME believes that even-aged systems are most appropriate to oak regeneration. Evidence is outlined in the timber harvest prep chapter of the LM manual. Refer to FME’s retention policy. Silviculture systems conducive to oak management include treatments that meet this indicator such as deferment cuts and shelterwoods.</p>

<p>systems are employed, and during salvage harvests, live trees and 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>FME and DOW coordinated on revising the retention guidelines in the LM manual to reconcile three different documents and to eliminate confusion with staff.</p> <p>Retention objectives have been a focus over the last several years and FME can demonstrate improvement in this area with documentation and evidence. Retention guidelines exist in the timber sale agreement as well as the pre-harvest documents.</p> <p>Remotely inspected sites confirm that retention objectives are being met. Refer to site notes.</p>
<p>6.3.g.2 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"> 1. Is developed by qualified experts in ecological and/or related fields (wildlife biology, hydrology, landscape ecology, forestry/silviculture). 2. Is based on the totality of the best available information including peer-reviewed science regarding natural disturbance regimes for the FMU. 3. Is spatially and temporally explicit and includes maps of proposed openings or areas. 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. 5. Is reviewed by independent experts in wildlife biology, hydrology, and landscape ecology, to confirm the preceding findings. 	C	<p>Outlined in the LM manual.</p>
<p>6.3.h The forest owner or manager assesses the risk of, prioritizes, and, as warranted, develops and implements a strategy to prevent or control invasive species, including:</p> <ol style="list-style-type: none"> 1. a method to determine the extent of invasive species and the degree of threat to native species and ecosystems; 2. implementation of management practices that minimize the risk of invasive establishment, growth, and spread; 3. eradication or control of established invasive populations when feasible: and, 4. monitoring of control measures and management practices to assess their effectiveness in preventing or controlling invasive species. 	C	<p>FME had several strong efforts to control invasive plants on a wide scale from 2009-2011. Those funds have since ceased. But there were many thousands of acres treated.</p> <p>Forest Health program has been active in last two years on control efforts regarding Hemlock Woolly Adelgid and other invasive pests.</p> <p>FME reported that it is a partner in the “Joint Chief’s project” to control invasive species. Joint Chiefs refers to Chiefs of various state forestry agencies. Focus of the project funding to control invasives. Approximately 1000 acres have been treated.</p>

6.3.i 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.	C	FME has a fire management program that responds to this indicator. However, due to Covid, no prescribed fires have taken place this year.
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.	NE	
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.	NE	
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.	C	
6.6.a No products on the FSC list of Highly Hazardous Pesticides are used (see FSC-POL-30-001 EN FSC Pesticides policy 2005 and associated documents).	C	Per review of the list of HHP vis-à-vis the FME's chemical list, there are a few that qualify as restricted and highly restricted. The FME is in the process of adapting ESRAs for these chemicals. The ESRA requirement becomes effective 1 January 2021.
6.6.b All toxicants used to control pests and competing vegetation, including rodenticides, insecticides, herbicides, and fungicides are used only when and where non-chemical management practices are: a) not available; b) prohibitively expensive, taking into account overall environmental and social costs, risks and benefits; c) the only effective means for controlling invasive and exotic species; or d) result in less environmental damage than non-chemical alternatives (e.g., top soil disturbance, loss of soil litter and down wood debris). If chemicals are used, the forest owner or manager uses the least environmentally damaging formulation and application method practical.	C	Per interviews with staff, several are licensed pesticide applicators. Most of the FME's chemical use is in the control of invasive species. All projects that use chemicals have a plan similar to the plans developed for timber sales or prescribed burns. Chapter 9 (Pre-commercial Silvicultural Activities) is the written strategy that covers the options for chemical and non-chemical control of invasive species and competing vegetation.

Written strategies are developed and implemented that justify the use of chemical pesticides. Whenever feasible, an eventual phase-out of chemical use is included in the strategy. The written strategy shall include an analysis of options for, and the effects of, various chemical and non-chemical pest control strategies, with the goal of reducing or eliminating chemical use.		
6.6.c Chemicals and application methods are selected to minimize risk to non-target species and sites. When considering the choice between aerial and ground application, the forest owner or manager evaluates the comparative risk to non-target species and sites, the comparative risk of worker exposure, and the overall amount and type of chemicals required.	C	Written plans including prescriptions, methods, and rates are prepared, reviewed, and approved prior to treatments that include the items in this indicator. Reviewed chemical prescriptions for application sites cited in the field itinerary.
6.6.d Whenever chemicals are used, a written prescription is prepared that describes the site-specific hazards and environmental risks, and the precautions that workers will employ to avoid or minimize those hazards and risks, and includes a map of the treatment area. Chemicals are applied only by workers who have received proper training in application methods and safety. They are made aware of the risks, wear proper safety equipment, and are trained to minimize environmental impacts on non-target species and sites.	C	Written plans including prescriptions, methods, and rates are prepared, reviewed, and approved prior to treatments that include the items in this indicator. Reviewed chemical prescriptions for application sites cited in the field itinerary.
6.6.e If chemicals are used, the effects are monitored and the results are used for adaptive management. Records are kept of pest occurrences, control measures, and incidences of worker exposure to chemicals.	C	Treatments include both in-progress inspections and final inspections and monitoring. Reviewed annual chemical application summary Excel spreadsheet (Pesticide Use Active Ingredient Totals.xlsx).
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.	NE	
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.	NE	
6.9. The use of exotic species shall be carefully controlled and actively monitored to avoid adverse ecological impacts.	NA	
6.9.a 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.	NA	FME reported no use of exotic species for management or commercial purposes.

6.9.b If exotic species are used, their provenance and the location of their use are documented, and their ecological effects are actively monitored.	NA	FME reported no use of exotic species for management or commercial purposes.
6.9.c The forest owner or manager shall take timely action to curtail or significantly reduce any adverse impacts resulting from their use of exotic species	NA	FME reported no use of exotic species for management or commercial purposes.
6.10. Forest conversion to plantations or non-forest land uses shall not occur, except in circumstances where conversion: 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.	NE	
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.		
7.1. The management plan and supporting documents shall provide: 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. 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) h) Maps describing the forest resource base including protected areas, planned management activities and land ownership. i) Description and justification of harvesting techniques and equipment to be used.	C	
7.1.a The management plan identifies the ownership and legal status of the FMU and its resources, including rights held by the owner and rights held by others.	C	FME has outlined rights and authority in Chapter 1 of the LM manual. Third party rights are known and title review process ensures that unknown rights are extinguished.
7.1.b The management plan describes the history of land use and past management, current forest types and associated development, size class and/or successional	C	A history of land use is detailed in the 5-year management plan. Current forest types and attributes are tracked in inventory and GIS database.

stages, and natural disturbance regimes that affect the FMU (see Indicator 6.1.a).		
7.1.c The management plan describes: a) current conditions of the timber and non-timber forest resources being managed; b) desired future conditions; c) historical ecological conditions; and d) applicable management objectives and activities to move the FMU toward desired future conditions.	C	a) thru d) are incorporated into the 5-year management plan in part and also the DFC document and the LM manual.
7.1.d The management plan includes a description of the landscape within which the FMU is located and describes how landscape-scale habitat elements described in Criterion 6.3 will be addressed.	C	Landscape elements are discussed in the forest-specific management plans and the RSA and HCVF assessments. Plans rely on landscape-level data sets used in the Forest Action Plan and the FIA reports on landscape conditions on the surrounding forests.
7.1.e The management plan includes a description of the following resources and outlines activities to conserve and/or protect: <ul style="list-style-type: none"> • rare, threatened, or endangered species and natural communities (see Criterion 6.2); • plant species and community diversity and wildlife habitats (see Criterion 6.3); • water resources (see Criterion 6.5); • soil resources (see Criterion 6.3); • Representative Sample Areas (see Criterion 6.4); • High Conservation Value Forests (see Principle 9); • Other special management areas. 	C	These items are addressed in forest plans, and in the LM manual and the RSA and HCVF assessments.
7.1.f If invasive species are present, the management plan describes invasive species conditions, applicable management objectives, and how they will be controlled (see Indicator 6.3.j).	C	FME outlines specific projects in the forest-specific annual work plans. FME also has specific state-wide and forest-wide invasive species control programs. FME addresses this in the LM manual.
7.1.g The management plan describes insects and diseases, current or anticipated outbreaks on forest conditions and management goals, and how insects and diseases will be managed (see Criteria 6.6 and 6.8).	C	FME addresses this in the forest protection chapter 10 of the LM manual.
7.1.h If chemicals are used, the plan describes what is being used, applications, and how the management system conforms with Criterion 6.6.	C	FME addresses this in the forest protection chapter 10 of the LM manual.
7.1.i If biological controls are used, the management plan describes what is being used, applications, and how the management system conforms with Criterion 6.8.	C	FME addresses this in the forest protection chapter 10 of the LM manual.
7.1.j The management plan incorporates the results of the evaluation of social impacts, including: <ul style="list-style-type: none"> • traditional cultural resources and rights of use (see Criterion 2.1); • potential conflicts with customary uses and use rights (see Criteria 2.2, 2.3, 3.2); • management of ceremonial, archeological, and historic sites (see Criteria 3.3 and 4.5); 	C	5-year management plan for state forests. A full discussion of social impact monitoring is located in chapter 12 of the LM manual. FME uses the Forest Action Plan process, public participation process, civic activities, recreation program, and many other sources to determine social impacts. Results are considered in the Integration Committee (Management Review Committee) and are plans are updated every 5 years.

<ul style="list-style-type: none"> management of aesthetic values (see Indicator 4.4.a); public access to and use of the forest, and other recreation issues; local and regional socioeconomic conditions and economic opportunities, including creation and/or maintenance of quality jobs (see Indicators 4.1.b and 4.4.a), local purchasing opportunities (see Indicator 4.1.e), and participation in local development opportunities (see Indicator 4.1.g). 		
7.1.k The management plan describes the general purpose, condition and maintenance needs of the transportation network (see Indicator 6.5.e).	C	Forest management plans include section on infrastructure. Annual work plans outline specific road maintenance activities.
7.1.l The management plan describes the silvicultural and other management systems used and how they will sustain, over the long term, forest ecosystems present on the FMU.	C	FME's emphasis on oak ecology and management is covered in the strategic plan, forest plans, and in the LM manual, including use of the SILVAH Oak prescription support tool. This is also linked to the zones discussed in Chapter 2 of the manual.
7.1.m The management plan describes how species selection and harvest rate calculations were developed to meet the requirements of Criterion 5.6.	C	A section on G&Y, harvest levels, and inventory is included in each forest plans and in the LM manual.
7.1.n The management plan includes a description of monitoring procedures necessary to address the requirements of Criterion 8.2.	C	A section on monitoring is included in the forest plans and a full discussion is located in the LM manual (Chap 12). Confirmed also via review of annual work plans.
7.1.o The management plan includes maps describing the resource base, the characteristics of general management zones, special management areas, and protected areas at a level of detail to achieve management objectives and protect sensitive sites.	C	FME has a forest information system where all tracking and mapping is housed. Large forest-level maps and unit-level activity maps are displayed at open houses and are appendices of the plans.
7.1.p The management plan describes and justifies the types and sizes of harvesting machinery and techniques employed on the FMU to minimize or limit impacts to the resource.	C	Outlined in the timber sale contract. FME revised management plans to include this language to comply with this indicator.
7.1.q Plans for harvesting and other significant site-disturbing management activities required to carry out the management plan are prepared prior to implementation. Plans clearly describe the activity, the relationship to objectives, outcomes, any necessary environmental safeguards, health and safety measures, and include maps of adequate detail.	C	This is outlined in the LM manual and is applied in stand-level prescriptions, marking estimate process, burn plans, and precommercial activity plans which detail the specs for all activities. Confirmed also via review of annual work plans.
7.1.r The management plan describes the stakeholder consultation process.	C	FME has provided stakeholders with a "pathways to participation" document that is both on the website and the LM manual.
7.2 The management plan shall be periodically revised to incorporate the results of monitoring or new scientific and technical information, as well as to	NE	

respond to changing environmental, social and economic circumstances.		
7.3 Forest workers shall receive adequate training and supervision to ensure proper implementation of the management plans.	NE	
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.	NE	
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.		
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.	NE	
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 harvesting and other operations, and e) cost, productivity, and efficiency of forest management.	C	
8.2.a.1 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.	C	Per interviews with FME staff, approximately 5% of land area inventoried this year. FME maintains an inventory database, Growth and Yield monitoring, and a GIS program; all of these were reviewed during the office-based portion of the audit.
8.2.a.2 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.	C	The Forest Health program has a monitoring protocol and results are disseminated on an annual basis. Local unanticipated loss or vulnerability (such as ice storm damage, insect mortality, etc.) is documented, reviewed, prescribed, and treated as needed. There have not been any significant removals, losses or increased vulnerability of forest resources over the past several years.
8.2.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.	C	Confirmed via review of annual harvest record (Excel file). 8,654,715 board feet of hardwood sawtimber and 38,421 tons of hardwood and softwood pulpwood since last audit.

<p>8.2.c The forest owner or manager periodically obtains data needed to monitor presence on the FMU of:</p> <ol style="list-style-type: none"> 1) Rare, threatened and endangered species and/or their <i>habitats</i>; 2) Common and rare plant communities and/or habitat; 3) Location, presence and abundance of invasive species; 4) Condition of protected areas, set-asides and buffer zones; 5) High Conservation Value Forests (see Criterion 9.4). 	C	<p>Conducted as a part of activity reports/inspection forms and HCV monitoring. Reviewed for sites visited during remote inspection.</p> <ol style="list-style-type: none"> 1) FME relies on other DNR agency such as the DOW to provide data relating to RTE species through the procedures and mechanism outlined the LMM (e.g. the Biodiversity Database, biologist review, and RTE mgmt. training for staff); 2) FME relies on partnerships with USFS Forest Inventory Analysis on the management and maintenance of oak/hickory ecosystems and their restoration; 3) FME tracks the location, presence and abundance of invasive species in all site inspection plans; 4) Detailed in field assessment forms and Reserves descriptions; 5) Monitoring of HCVF is discussed in chapter 12 of LMM and in the HCVF assessment document. <p>ODOF has historically helped facilitate research “Forest management effects on the population ecology of Timber Rattlesnakes (<i>Crotalus horridus</i>)”</p> <p>On various state forests, monitoring of bats occurred in various forest management treatments. Results showed shelterwood and other opened stands received more bat activity. Result published in Forest Ecology and Management paper titled Bat Activity in Response to Thinning and Burning in the Appalachians (Silvis et. al 2016). Extensive study of white-nose syndrome and its effects on local bat populations has not begun but is expected to take place in the near future.</p>
<p>8.2.d.1 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>Confirmed via review of activity reports/inspection forms associated with sites visited in remote inspection.</p> <p>FME has a logging inspection procedure and pre-commercial activity inspection procedure that responds to this indicator. The procedure is outlined in chapter 12 of LMM. A summary of monitoring results is available publicly.</p> <p>Monitoring noted on each site visit by forester and maintained in the file.</p> <p>Reviewed timber harvest inspection reports for timber sales within sites listed in section 2.1 of this report.</p>

8.2.d.2 A monitoring program is in place to assess the condition and environmental impacts of the forest-road system.	C	FME has a cooperative road maintenance agreement with the Ohio Department of Transportation. FME personnel monitor roads within state forests, as part of the agreement. Timber road construction is infrequent, most forest have plenty of access. As confirmed in interviews with FME staff, recreational trails are monitored closely in cooperation with recreational groups as part of their annual duties. A limited-use road monitoring and inspection form were formulated and included in chapter 12 of LMM.
8.2.d.3 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 Indicator 4.1.b), and local purchasing opportunities (see Indicator 4.1.e).	C	Confirmed via review of management review reports. Socio-economic impact monitoring is detailed in chapter 12 of the LMM, "Monitoring Program." See also FME's recreation program, marketing and utilization program, public participation efforts, and the Forest Action Plan.
8.2.d.4 Stakeholder responses to management activities are monitored and recorded as necessary.	C	FME state forest open houses have been delayed due to Covid. State forest action plan open houses occurred prior to Covid.
8.2.d.5 Where sites of cultural significance exist, the opportunity to jointly monitor sites of cultural significance is offered to tribal representatives (see Principle 3).	C	Outlined in Principle 3 above. FME consults with tribal representatives, Hopewell NHP, and Newark Earthworks.
8.2.e The forest owner or manager monitors the costs and revenues of management in order to assess productivity and efficiency.	C	Confirmed via review of management review reports. Despite minor budget reductions in recent years, careful monitoring of expenditures and finding opportunities for revenue has allowed FME to continue operation without downsizing staff. Management and fiscal section monitor costs and revenue in order to adjust to difficulties in the state budget. Programs monitor their respective activities and report to management and decisions are made in the Integration Committee upon review of reports.
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."	C	
8.3.a 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	Refer to SCS COC indicators for FMEs. See OBS 2020.2
8.3.b The forest owner or manager maintains documentation to enable the tracing of the harvested	C	Refer to SCS COC indicators for FMEs.

material from each harvested product from its origin to the point of sale.		
8.4 The results of monitoring shall be incorporated into the implementation and revision of the management plan.	NE	
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.	NE	
<p>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.</p> <p>High Conservation Value Forests are those that possess one or more of the following attributes:</p> <ul style="list-style-type: none"> 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 b) Forest areas that are in or contain rare, threatened or endangered ecosystems c) Forest areas that provide basic services of nature in critical situations (e.g., watershed protection, erosion control) 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). 		
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.	NE	
9.2 The consultative portion of the certification process must place emphasis on the identified conservation attributes, and options for the maintenance thereof.	NE	
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.	NE	
9.4 Annual monitoring shall be conducted to assess the effectiveness of the measures employed to maintain or enhance the applicable conservation attributes.	C	
9.4.a The forest owner or manager monitors, or participates in a program to annually monitor, the status of 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.	C	<p>Management options in HCVF are very limited and currently include treatment of invasive species and picking up trash.</p> <p>Confirmed that FME continues to implement an HCVF monitoring protocol that is located in chapter 12 of the LMM, and reviewed field inspection worksheet.</p>

		Reviewed HCVF monitoring records for 2019 at Bell Hill Cemetery, Pine Creek, and Shade River-Hawley Cemetery.
9.4.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.	C	FME commits to adjusting management options based on monitoring results. Besides invasive species and dumping, there have been no new threats to HCVs identified during regular monitoring activities. Any increasing risk would be recorded on the HCVF Field Monitoring Worksheets.
<p>Principle #10: Plantations shall be planned and managed in accordance with Principles and Criteria 1-9, and Principle 10 and its Criteria. While plantations can provide an array of social and economic benefits, and can contribute to satisfying the world's needs for forest products, they should complement the management of, reduce pressures on, and promote the restoration and conservation of natural forests.</p> <p>Per remote observation of field sites and review of the management plan, the FMU consists entirely of natural/semi-natural forest management and thus the entirety of P10 is not applicable.</p>		

APPENDICES		
<p>APPENDIX C: REGIONAL LIMITS AND OTHER GUIDELINES ON OPENING SIZES : Indicator 6.3.g.1</p> <p>This Appendix contains regional Indicators and guidance pertinent to maximum opening sizes and other guidelines for determining size openings and retention. These Indicators are requirements based on FSC-US regional delineations</p>		
APPALACHIA REGION		
<p>6.3.g.1.a When even-aged silviculture (e.g., seed tree, regular or irregular shelterwood), or deferment cutting is employed, live trees and native vegetation are retained and opening sizes are created within the harvest unit in a proportion and configuration that is consistent with the characteristic natural disturbance regime in each community type, unless retention at a lower level is necessary for restoration or rehabilitation purposes. Harvest openings with no retention are limited to 10 acres.</p> <p>Guidance: <i>Even-age silviculture is used only where naturally occurring species are maintained or enhanced. Retention within harvest units can include riparian and streamside buffers and other special zones. In addition, desirable overstory and understory species may be retained outside of buffers or special zones while allowing for regeneration of shade-intolerant and intermediate species consistent with overall management principals. Where stands have been degraded, less retention can be used to improve both merchantable and non-merchantable attributes.</i></p>	C	<p>Confirmed via review of pre-harvest planning and inspection forms for sites observed during remote inspection. Refer to field notes for more information. Retention of oak seed trees is fairly common for most harvests in which oak is trying to be regenerated.</p> <p>Evidence is outlined in the timber harvest prep chapter of the LM manual. FME has a retention policy. Silviculture systems conducive to oak management include treatments that meet this indicator such as deferment cuts and shelterwoods.</p> <p>FME and DOW coordinated on revising the retention guidelines in the LM manual to reconcile three different documents and to eliminate confusion with staff.</p> <p>Chapter 4 of the LMM covers retention per FSC-US indicators 6.3.g.1. Chapter 5 on wildlife management is also relevant to these requirements.</p> <p>Chapter 2 of the LMM covers the restoration strategy for converting old pine plantations into native hardwood stands. Some of the 2021 annual work plans reviewed include even-aged harvest openings >10 acres to remove pine and restore native hardwood.</p>

		Retention on these sites is most often included in buffer areas adjacent to the stands if no oak advanced regeneration or overstory trees are present.
6.3.g.1.b When uneven age silvicultural techniques are used (e.g., individual tree selection or group selection), canopy openings are less than 2.5 acres. Applicability note: <i>Uneven age silvicultural techniques are used when they maintain or enhance the overall species richness and biologic diversity, regenerate-shade tolerant or intermediate-tolerant species, and/or provide small canopy openings to regenerate shade-intolerant and intermediate species. Uneven-age techniques are generally used to develop forests with at least three age classes. Uneven age silviculture is employed to prevent high-grading and/or diameter limit cutting.</i>	C	Per review of pre-harvest planning and inspection forms for sites observed during remote inspection, areas where uneven-aged management has been practiced since the last audit were limited. Many were incorporated into timber sales that use both even- and uneven-aged management techniques. Refer to site notes.

Appendix 6 – Chain of Custody Indicators for FMEs Conformance Table

☐ Chain of Custody indicators were not evaluated during this evaluation.

SCS FSC Chain of Custody Indicators for Forest Management Enterprises, V8-0

Note: in case of requests for interpretation, the English version of these indicators shall be preferred.

REQUIREMENT	C/NC/NA
1. Quality Management	
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.	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC
Evidence 1.1: FME has documented COC procedures (<i>Chapter 13: Chain of Custody Program on Ohio's State Forests</i>) which designate the Deputy Chief of Division of Forestry as having this responsibility.	
1.2 A system shall be implemented to track and trace all products that are sold with an FSC Claim from the <i>forest of origin</i> to the <i>forest gate(s)</i> . When legally required, and for group and multiple FMU certificates, this system shall also be documented. <i>The forest of origin should be the smallest reportable manageable unit, such as a tax parcel. It shall never be larger than a Forest Management Unit (FMU).</i> <i>The forest gate is defined as the point where the change in ownership of the certified-forest product occurs.</i>	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA, FME does not sell any products with an FSC claim
Evidence 1.2: Confirmed via review of COC procedures. Procedures are covered in training. Confirmed implementation through review of records and interview with staff. Refer to OBS 2020.2	
1.3 The FME shall maintain complete records of all FSC-related COC activities, including sales and training, for at least 5 years.	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC
Evidence 1.3: Confirmed via review of procedures and records cited elsewhere in this checklist. All training records relating to COC and forest management are maintained in FME's IQS database for at least 5 years.	
1.4 The FME shall define its <i>forest gate(s)</i> (check all that apply):	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC
<input checked="" type="checkbox"/> Stump <i>Stumpage sale or sales of standing timber; transfer of ownership of certified-forest product occurs <u>upon</u> harvest.</i>	
<input checked="" type="checkbox"/> On-site concentration yard <i>Transfer of ownership of certified-product occurs at concentration yard under control of FME.</i>	

<input type="checkbox"/> Off-site Mill/ Log Yard/ Port <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>	
<input type="checkbox"/> Auction house/ Brokerage <i>Transfer of ownership occurs at a government-run or private auction house/ brokerage.</i>	
<input checked="" type="checkbox"/> Lump-sum sale/ Per Unit/ Pre-Paid Agreement <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 type="checkbox"/> Log landing <i>Transfer of ownership of certified-product occurs at landing/yarding areas.</i>	
<input checked="" type="checkbox"/> Other (Please describe): upon the material's exit from a state forest in the certificate scope.	
1.5 The FME shall have sufficient control over its <i>forest gate(s)</i> 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.	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA, FME does not sell any products with an FSC claim
Evidence 1.4/1.5: Item C of procedures contains the definitions of the forest gate. Item D contains the measures implemented to ensure that no mixing occurs prior to transfer of ownership. Since all ownership is obtained before or upon harvest or when the certified material exits the state forest, risk of mixing is nil. Refer to OBS 2020.2	
1.6 The FME and its contractors shall not process FSC-certified material prior to transfer of ownership at the <i>forest gate(s)</i> without conforming to applicable chain of custody requirements. <i>NOTE: This does not apply to log cutting or de-barking units, small portable sawmills, on-site processing of chips/biomass or primary processing of Non-Timber Forest Products (NTFPs) under the FME's control (e.g., latex, rattan, maple syrup, etc.) originating from the FMU under evaluation.</i>	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA
Evidence 1.6: Per review of procedures, there is no processing prior to transfer of ownership. The Zaleski Sawmill, controlled by the FME, may process incidental lumber projects for use by the FME for maintenance projects or other government agencies. There is no change in ownership of this material, thus it never passes the forest gate.	
1.7 The FME has supported transaction verification conducted by SCS and Assurance 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>	<input type="checkbox"/> C <input type="checkbox"/> NC <input checked="" type="checkbox"/> NA, no verification requested
1.8 The FME shall support fiber testing by surrendering samples and specimens of materials and information about species composition and the location where the sample originated for verification, as requested by its certification body, ASI or FSC.	<input type="checkbox"/> C <input type="checkbox"/> NC <input checked="" type="checkbox"/> NA, no verification requested
Evidence 1.7/1.8:	
2. Product Control, Sales and Delivery	
2.1. Products from the certified forest area shall be identifiable as certified at the <i>forest gate(s)</i> .	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA, FME does not sell any products with an FSC claim
Evidence 2.1: Confirmed via review of sales records cited in 2.3/2.4.	

<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"> 1) Common and scientific species name; 2) Product name or description; 3) Volume (or quantity) of product; 4) Information to trace the material to the source of origin harvest block; 5) Harvest date; 6) If basic processing activities take place in the forest, the date and volume/quantity produced; and 7) Whether or not the material was sold with an FSC Claim. 	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC
<p>Evidence 2.2: Confirmed via review of the product groups list, trip tickets, invoices for sold logs, timber sale agreements, and the 2020 harvest record Excel file for each state forest. Refer to OBS 2020.2</p>	
<p>2.3. The FME shall ensure that all sales documents issued for outputs sold with FSC claims include the following information:</p> <ol style="list-style-type: none"> a) name and contact details of the FME; b) information to identify the customer, such as their name and address; c) date when the document was issued; d) product name or description, including common and scientific species name(s); e) quantity of products sold; f) the FME's FSC Forest Management (FM/COC) or FSC Controlled Wood (CW/FM) code; g) clear indication of the FSC claim for each product item or the total products as follows: <ol style="list-style-type: none"> i. the claim "FSC 100%" for products from FSC 100% product groups; or ii. the claim "FSC Controlled Wood" for products from FSC Controlled Wood product groups. 	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA, FME does not sell any products with an FSC claim
<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>Note: 2.3 and 2.4 are based on FSC-STD-40-004 V3-0 Clauses 5.1 and 5.3</p>	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> NA, delivery documentation not required or FME is not responsible for issuing delivery documentation <input type="checkbox"/> NA, FME does not sell any products with an FSC claim
<p>Evidence 2.3/2.4: Confirmed via review of timber sale agreement template, item 7 contains the FSC code and claim. This applies to all timber sales in which the buyer normally takes ownership prior to or upon harvest. For log sales from concentration yards, reviewed the following sales invoices (FSC information in the "Certification Statement"): CoC Receipt Superior 3-23-20, CoC Receipt Superior 4-27-20, and CoC Receipt Superior 6-15-20. For delivered log sales, reviewed trip tickets for Webb Rd. sale for 2/24-25/20 (bottom of ticket contains FSC information), and Forest 25F for 11/21/19.</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"> a. there shall exist clear information linking the supplementary documentation to the sales or delivery documents; b. there is no risk that the customer will misinterpret which products are or are not FSC certified in the supplementary documentation; and c. where the sales documents contain multiple products with different FSC claims, each product shall be cross-referenced to the associated FSC claim provided in the supplementary documentation. 	<input type="checkbox"/> C <input type="checkbox"/> NC <input checked="" type="checkbox"/> NA, all information included per 2.3 and/or 2.4
Evidence 2.5:	
<p>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.</p> <p><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></p>	<input type="checkbox"/> C <input type="checkbox"/> NC <input checked="" type="checkbox"/> NA, not a small or community producer; or does not wish to pass along this claim
Evidence 2.6:	
3. Labeling and Promotion	
<input type="checkbox"/> NA – FME does not use/ intend to use trademarks and no trademark uses were detected during the audit.	
<input type="checkbox"/> NA – CW/FM certificates are not allowed to use FSC trademarks and no trademark uses were detected during the audit (<i>Note: it is a Major nonconformity to 3.1 if CW/FM certificates are found to be using trademarks</i>).	
<p>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>.</p>	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC
<p>Evidence 3.1: Refer to evidence and findings cited in applicable trademark checklist(s) cited below.</p> <p><input type="checkbox"/> <i>FSC trademark use was detected for a CW/FM certificate as described in Major CAR for 3.1, FSC-STD-30-010, Annex 3, 1.2, and FSC-STD-50-001, 2.1e and 11.2:</i></p>	
4. Outsourcing	
<input type="checkbox"/> NA – FME does not outsource any COC-related activities, as confirmed via interviews, sales documentation, and field observation.	
<input checked="" type="checkbox"/> NA – FME outsources low-risk activities such as transport and harvesting, as confirmed via interviews, sales documentation, and field observation.	
<p>4.1 The FME shall provide the names and contact details of all outsourced service providers.</p>	<input type="checkbox"/> C <input type="checkbox"/> NC

4.2 The FME shall have a control system for the outsourced process and agreement which ensures that:	<input type="checkbox"/> C <input type="checkbox"/> NC
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 outsourcing agreement and not for promotional use; e) The outsourcer does not further outsource the material; and f) The outsourcer accepts the right of the certificate body to audit them.	
Evidence 4.1/4.2:	
5. Training and/or Communication Strategies/	
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.	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC
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.).	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC
Evidence 5.1/5.2: Item F of COC procedures addresses training. Complete training records were reviewed for two FME staff and the IQS training tracker was reviewed for other staff (trainings 2017-19). The "forester refresher" course covers COC as it includes a review of Chapter 13 of the LMM.	

Appendix 7 – Trademark Standard Conformance Table

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

<input type="checkbox"/> NA, does not use/intend to use FSC trademarks for any purposes; or <input type="checkbox"/> NA, is fully integrated and all trademark uses are treated under the COC Annex to this report that includes a full review of FSC-STD-40-004 and FSC-STD-50-001. <i>(finished with this section; all TM checklists may be deleted)</i>

1. General Requirements for Use of the FSC Trademarks (FSC "checkmark-and-tree" logo, initials "FSC," and/or name "Forest Stewardship Council")		
Trademark uses reviewed:		
Trademark Application (on-product/promotional)	Case Approval #, or Email (include approver name & date), or other appropriate documentation	Are all elements correct? (e.g., trademark symbol, color scheme, size, etc.) If not, describe in Nonconformities below.
Website	155648	Y <input checked="" type="checkbox"/> N <input type="checkbox"/> (corrected during audit)
		Y <input type="checkbox"/> N <input type="checkbox"/>
<input checked="" type="checkbox"/> All known uses reviewed. <input type="checkbox"/> Sample reviewed. Rationale that sample choice is sufficient to confirm requirements are met: <input type="checkbox"/> Trademark uses detected include those grandfathered in under prior FSC trademark rules (e.g., FSC-TMK-50-201). Place the initials "GF" by the specific Trademark Applications above. <i>Note: This only applies to printed items or physical promotional materials (e.g., hats, load tickets) in stock. New printings, items, and websites must be updated per FSC-STD-50-001 requirements. If the organization only has GF uses and no new uses, the rest of this checklist is NA.</i>		

1.2 Trademark License Agreement and valid certificate 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>	Maintained on file by SCS Main Office
Evidence 1.2: Maintained on file by SCS Main Office.	
1.6 Product Group List The products intended to be labeled or promoted as FSC certified have been included in the organization's certified product group list.	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/ OBS
Evidence 1.6: <input checked="" type="checkbox"/> Refer to Product Groups List in Public Summary Report; <input type="checkbox"/> The following nonconformance(s) were detected in Product Groups: ; or <input type="checkbox"/> Refer to OBS related to Product Groups:	
1.3 Trademark License Code The FSC trademark license code assigned by FSC to the organization accompanies any use of the FSC trademarks. It is sufficient to show the code once per product or promotional material.	<input type="checkbox"/> C <input checked="" type="checkbox"/> NC <input type="checkbox"/> C w/ OBS
1.4 Trademark Symbol 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 trade-mark 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>	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/ OBS <input type="checkbox"/> NA, one or more of noted exceptions applies
2.1 Restrictions on using FSC trademarks The organization has not used the FSC trademarks in the following ways: a) in a way that could cause confusion, misinterpretation, or loss of credibility to the FSC certification scheme; b) in a way that implies that FSC endorses, participates in, or is responsible for activities performed by the organization, outside the scope of certification; c) to promote product quality aspects not covered by FSC certification; d) in product brand or company names, such as 'FSC Golden Timber' or website domain names; 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.	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/ OBS
2.2 Translations 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)	<input type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/ OBS <input checked="" type="checkbox"/> NA, no translations
Evidence 1.3, 1.4, 2.1, and 2.2: <input checked="" type="checkbox"/> Refer to Trademark uses reviewed above; <input checked="" type="checkbox"/> The following nonconformance(s) were detected CAR 2020.3 (closed during audit); or <input type="checkbox"/> Refer to OBS:	

Sections 8 and 9 Graphic Rules The organization has only used FSC logos that conform to the standard requirements governing: <ul style="list-style-type: none"> • color and font (8.1-8.3); • format and size (8.4-8.9); • label placement (8.10); and • 'Forests For All Forever' marks (9.1-9.7). 	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/ OBS
1.5 Trademark Use Approval The organization has submitted all intended uses of the FSC trademarks to SCS for approval. OR The organization has an approved trademark use management system in place. (If the organization has a trademark use management system, complete Annex A.)	<input type="checkbox"/> C <input checked="" type="checkbox"/> NC <input type="checkbox"/> C w/ OBS
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.	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/ OBS <input type="checkbox"/> NA, trademarks no used for segregation marks
Evidence Graphic Rules, 1.5, and 4.6: <input checked="" type="checkbox"/> Refer to Trademark uses reviewed above; <input checked="" type="checkbox"/> The following nonconformance(s) were detected CAR 2020.4 ; or <input type="checkbox"/> Refer to OBS:	

2. On-Product Use of FSC Trademarks

☒ NA, no use of on-product trademarks (*on-product checklist may be deleted*)

3. Promotional Use of FSC Trademarks

☐ NA, no use of promotional trademarks (*promotional checklist may be deleted*)

6.1 Catalogues, Brochures, and Websites When the FSC trademarks have been used in catalogues, brochures, or websites, the following requirements apply: <ul style="list-style-type: none"> • It is sufficient to present the promotional elements only once in catalogues, brochures, websites, etc. • 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. • If some or all of the products are available as FSC certified on request only, this is be clearly stated. 	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/ OBS <input type="checkbox"/> NA, not using trademarks in catalogues/ brochures/websites
6.2 Sales and Delivery Documents 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". <i>NOTE: Use of the FSC claim and certificate code on the invoices does not qualify as FSC trademark use.</i>	<input type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/ OBS <input checked="" type="checkbox"/> NA, not using trademarks on templates for FSC & non-FSC products
6.3 Promotional Items 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.	<input type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/ OBS

	<input checked="" type="checkbox"/> NA, not labeling promotional items <input type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/ OBS <input checked="" type="checkbox"/> NA, not using trademarks at trade fairs
6.5 Trade Fairs When the FSC trademarks are used for promotion at trade fairs, the organization has: a) clearly marked which products are FSC certified, or b) add a visible disclaimer stating "Ask for our FSC®-certified products" or similar if no FSC-certified products are displayed. <i>NOTE: Use of text to describe the FSC certification of the organization does not require a disclaimer.</i>	<input type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/ OBS <input checked="" type="checkbox"/> NA, not using trademarks at trade fairs
Section 6.6 and 6.7 Investment/Financial Claims 6.6 When investment companies or others are making financial claims based on the organization's FSC certified operations, the organization has taken full responsibility for the use of the FSC trademarks. 6.7 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."	<input type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/ OBS <input checked="" type="checkbox"/> NA, not making financial claims about FSC status
7.1 and 7.2 Other Forestry Certification Scheme Logos 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.	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/ OBS <input type="checkbox"/> NA, not using other scheme logos
7.3 Business Cards The FSC trademarks have not used on business cards to promote the organization's certification. The FSC logo or 'Forests For All Forever' marks are not used on business cards for promotion. A text reference to the organization's FSC certification, with license code, is allowed, for example "We are FSC® certified (FSC® C#####)" or "We sell FSC®-certified products (FSC® C#####)".	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/ OBS <input type="checkbox"/> NA, approval granted prior to July 1, 2011
7.4 Promotion with CB Logo FSC certified products have not been promoted using only the SCS Kingfisher and/or SCS Global Services logo.	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/ OBS
Evidence 6.1-6.3, 6.5-6.7, 7.1-7.4: <input checked="" type="checkbox"/> Refer to Trademark uses reviewed above; <input type="checkbox"/> The following nonconformance(s) were detected ; or <input type="checkbox"/> Refer to OBS:	

Annex A: Trademark use management system
☒ NA, not using a trademark management system (*Annex A checklist may be deleted*)

Annex B, Additional trademark rules for group FM certificate holders
☒ NA, not a group FM certificate or group does not use FSC trademarks (*Annex B checklist may be deleted*)