

Sustainable Forestry Initiative®

Summary Report

Ohio Division of Forestry
Certificate # SCS-SFI/FM-00130N

SFI 2015-2019 Standards and Rules®: SFI Section, 2 Forest Management

Surveillance audit

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1. AUDIT REPORT

Program Participant Information	
Program Participant	Ohio Division of Forestry
Certificate Number	SCS-SFI/FM-00130N
Contact Information (Name, Title, Phone, Email)	Chad Sanders, Forest Manager/Certification 419-938-6222 X13 chad.sanders@dnr.state.oh.us
Certificate Type	<input checked="" type="checkbox"/> Single <input type="checkbox"/> Multi-site
	<input type="checkbox"/> Group # Group members in group certificate:
Audit Type	<input checked="" type="checkbox"/> Combined <input type="checkbox"/> Joined <input type="checkbox"/> Integrated
Scope of Certificate	
Scope of Certification	
The scope of the certificate includes all land management operations on 199,901 acres of Ohio State Forests and related sustainable forestry activities and includes the harvest of forest products.	
Objectives Audited	
Objectives 1-15 with the following exclusions: Indicator 2.1.4 involving planting exotic species; Performance Measure 2.5 and Indicator 2.5.1 involving improved planting stock; Objective 8 because there are no federally-recognized tribes in Ohio; Indicator 10.1.2 because there is no research on genetically engineered trees via forest tree biotechnology.	
Forest area (<i>acres</i>)/ Number of Sites in Scope of Certificate (<i>if applicable</i>)	
199,901 acres	
Audit Team	Beth Jacqmain, SFI FM Lead Auditor; Kyle Meister, Auditor
Audit Dates	19-22 October 2020
Significant Changes to Operations or Standard	<input checked="" type="checkbox"/> No changes <input type="checkbox"/> Changes as described below:
Deviations from the Audit Plan and Rationale	No deviations were made during the audit.
Significant Issues Affecting Audit Program	Covid-19 Pandemic - This audit was originally scheduled as a Recertification transfer audit and was changed to a remote, surveillance transfer audit following SFI allowances under Covid-19 Pandemic derogations. The recertification audit will take place on-site in 2021. The Remote Audit Plan was followed with only slight scheduling adjustments within a given day.
Unresolved Issues, if any	Certain aspects of regularly scheduled annual or periodic activities were impacted by the Covid-19 pandemic. The following are noted as unresolved issues:

	<ul style="list-style-type: none"> ▪ Public meeting delays for FMPs. ▪ Harvest operations were not directly observed for PPE use this audit but will be targeted for inspection during the 2021 audit.
Certification Recommendation by Audit Team to SCS	<input checked="" type="checkbox"/> Initial or continued certification is recommended, subject to the Organization meeting deadlines for response any findings issued. <input type="checkbox"/> Initial or continued certification is not recommended (<i>explain</i>):
Audit Results	
New Findings Summary	<input type="checkbox"/> No nonconformities or Opportunities for Improvement identified <input checked="" type="checkbox"/> Identified 2 Minor Non-conformities One non-conformities related to use of SFI logo on the organization website regarding forest certification. The other related to the SFI FM requirement to submit copies of the public summary report to SFI Inc. for posting with this Program Participant on the SFI certification database. The logo/usage issues was resolved by closing meeting. The submission of the audit report to SFI, Inc was done October 27, 2020. Both are closed.
Existing Findings Summary	Issues identified at previous audits that were reviewed for continued conformance: No existing non-conformities.
Logos/labels	<input type="checkbox"/> Logo checked and No nonconformities <input checked="" type="checkbox"/> Logo checked, and Nonconformities issued, see New Findings above. <input type="checkbox"/> Logo checked, Logo is not used, No nonconformities Note: Use of the <i>SFI</i> on-product labels and claims shall follow Section 5 - Rules for Use of <i>SFI</i> On-Product Labels and Off-Product Marks as well as ISO 14020:2000.
Fulfillment of Audit Objectives	<input checked="" type="checkbox"/> Audit Objectives Fulfilled <input type="checkbox"/> Audit Objectives Not Fulfilled
Audit Program	
Statement on the conformity and effectiveness of the management system together with a summary of the evidence (<i>Stage 2 and Recertification only</i>)	
Audit reports and management review records were reviewed for 2015-2019 which demonstrate the organization's performance and conformance to the SFI 2015-2019 standard requirements for the central office and all the State Forests in the scope of the audit. The conclusion determined by SCS auditor is that the SFI system continues to be fully effective.	

2. APPENDICES

[Appendix 1 – Audit Notification Memo and Audit Agenda](#)

[Appendix 2 – SFI Forest Management Public Summary Report](#)

[Appendix 3 – SFI Standard Detailed Observations Conformity Table](#)

[Appendix 4 – Site Notes and Interviewees](#)

[Appendix 5 – Meeting Attendance](#)

[Appendix 6 – Schedule and Focus Areas for Next Audit](#)

Status of Finding:	<input checked="" type="checkbox"/> Closed <input type="checkbox"/> Upgraded to Major <input type="checkbox"/> <i>Other decision (refer to description above)</i>
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Appendix 2 – Audit Notification Memo and Audit Agenda

Disclaimer: Please note that auditing is based on a sampling process of the available information.

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Audit Notice and Plan

Ohio Department of Natural Resources (ODNR)-Division of Forestry

To: Chad Sanders
 From: Beth Jacqmain, SFI FM Lead Auditor
 Date: 9/28/20
 Re: Confirmation of SFI and FSC Audit Dates, Objectives, and Agenda
 Summary: The information below summarizes audit dates, general location, objectives, team members, tasks, focus areas to be evaluated, sampling plan, logistics, site selections, and documents requested for this years' audit.

Dear Mr. Sanders,

As has been discussed SCS will review your SFI® Program to confirm that it continues to be in conformance with the **SFI Standards and Rules® 2015-2019 (Extended to 2021), Section 2 Forest Management** and that continual improvement is being made. This will be a transfer surveillance audit conducted remotely **19-22 October 2020**.

The Objectives of the audit are designed to:

- Determine conformity of ODNR's management system, or parts of it, with audit criteria.
- Determine the ability of the management system to ensure the client meets applicable statutory, regulatory and contractual requirements.
- Determine the effectiveness of the management system to ensure the client can reasonably expect to achieve their specified objectives.
- Identify areas for potential improvement of the management system.
- Evaluate open findings from the prior year audit, if applicable.
- Review changes within ODNR's Forest Management program that are relevant to certification, particularly significant changes to forest areas, key staff, and policy changes.
- Review Forest Management documents, conduct interviews, and visit field sites.

The audit team will consist of Beth Jacqmain, SCS SFI Lead Auditor and Kyle Meister, SCS FSC Lead Auditor. The schedule for the audit is provided on the final page.

FSC Program: Audit plan provided separately.

Both Programs:

- A review of any outstanding findings from the 2019 Surveillance Audits.
- Review of any changes within DNR (e.g., staffing, land acquisitions, planning documents) that are pertinent to the certification.
- Evidence includes documents, interviews, and observations. Note all interviews will be conducted remotely.

Scope of Certification:

- Land management operations on approximately 199,901 acres of Ohio State Forests and related sustainable forestry activities; including objectives 1-15. The SFI Forest Management number is SCS-SFI/FM-00130N.

A key part of the audit is a review of selected evidence related to your program, which may include:

- Supplier documentation of certification
- Approval for logo usage (if used)
- Verification of Controversial Sources
- Internal Audit records
- Management Review records
- Documentation for subcontracting/outsourcing
- Documentation for multisite organization (if applicable)
- Policies regarding certification, health, and safety
- Forest Management Plans
- Contracts for harvesting and silvicultural activities
- Training records, license, certifications
- Documentation for operation of complaint procedure

Please have this information available **during the audit**.

During this audit, we will focus on the following SFI Objectives and Performance Measure (PM)/Indicators: 2, 13, 14, 15.

- Objective 2. Forest Health and Productivity
- Objective 13. Public Land Management Responsibilities
- Objective 14. Communications and Public Reporting
- Objective 15. Management Review and Continual Improvement

The SFI Standard was used without modifying any requirements. Several of the SFI Section 2 requirements were excluded with justification for the SFI Audit as follows:

- Indicator 2.1.4 involving planting exotic species
- Performance Measure 2.5 and Indicator 2.5.1 involving improved planting stock
- Objective 8 because there are no federally-recognized tribes in Ohio
- Indicator 10.1.2 because there is no research on genetically engineered trees via forest tree biotechnology

Findings from the SFI 2019 audit: None

Field Site Selections

We selected 5 State Forests occurring within 2 Districts for site sampling. We selected 8 sites within these Districts to provide additional information and on-site sampling by ODNR foresters. By District: **District 2**, including Fernwood, Yellow Creek, and Willow Grove State Forests; and **District 4**, including Gifford and Zaleski State Forests.

Logistics

- All documents are requested in electronic format.
- Auditor(s) will arrange interviews with staff in coordination with certification point person.

Documentation Requested

Please provide all documentation for the selected sites (maps, forest management plans, project descriptions) in electronic format. The team must review the ***Timber Sale Contract, Field Inspection Timber Administration Reports (Sample) and BMPs***, for any sales visited where harvesting has been done or completed. ***Chemical spray***

records and **applicable applicator licensing or certification** must be supplied for any of the selected sites where herbicides were sprayed. We also need copies of the **stand/compartments plans (prescriptions)** and any other information that would help determine conformance to the certification requirements and closure of the CARs (if applicable). All documents to be placed on the FTP site.

In addition, please provide electronically:

- Documentation for Internal Audit Reports and Management Review
- Procedures/work instructions
- SFI Annual Report, normally provided to SFI in the first quarter
- Any other information that would be helpful to show conformance

The schedule should be reviewed by all participants. This schedule can be adapted either in advance or during the audit to accommodate any special circumstances. If you have any questions regarding this planned audit, please contact me.

Multi-Site Sampling Plan

Ohio DNR qualifies for multi-site sampling as provided within the Requirements for the SFI 2015-2019 Standards and Rules® Section 9 - Auditing Requirements.

The Columbus (central) office has general control and authority over the separate state forests. As such the program is eligible for a sampling approach involving field reviews of a sample of the named state forests that are organized into 10 administrative units. The sampling plan for 2020 requires visits to a minimum of 3 state forests, with the 5 forests selected for site visits indicated by bold type on the list below. The state forests were selected based on the time elapsed since previous audits, the level of activity at each forest, and the level of risk or complexity of the activities. Some of the field sites to be reviewed within each forest were selected randomly. Central office issues will be reviewed during the week of 19 October 2020 as arranged and scheduled with DNR staff.

State Forests Included in the scope of the certificate

Beaver Creek	Pike
Blue Rock	Richland Furnace
Brush Creek	Scioto Trail
Chapin	Shade River
Dean	Shawnee
Fernwood	Sunfish Creek
Gifford	Tar Hollow
Harrison	Vinton Furnace
Hocking	West Blue Rock
Maumee	Willow Grove
Mohican-Memorial	Yellow Creek
Perry	Zaleski (including Waterloo)

Role of SFI Inc. Office of Label Use and Licensing

As a reminder, your organization is responsible for contacting SFI, Inc. and complying with all requirements before using or changing any SFI label or logo. Your contact is:

Courtney P. Guillen
Coordinator, Statistics and Label Use
Sustainable Forestry Initiative
202-719-1391 ext. 338
courtney.guillen@sfiprogram.org

Thank you,
Beth Jacqmain
218-256-2959 (mobile direct)
bjacqmain@scsglobalservices.com

Audit Itinerary: 2020 SFI and FSC Surveillance Audit

Sustainable Forestry Initiative Standard 2015-2019 Standards and Rules® (Extended to 2021), Section 2 Forest Management

Ohio DNR

October 19-22, 2020

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
	<p>Opening Meeting:</p> <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, 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 ▪ Final site selections – mandatory selections, active harvests for recordings ▪ Additional documentation requests <p>▪ Overview of organization, Powerpoint</p>
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	
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	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.

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.
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

Sampling

A	B	C	D	E	F	G	H
2020 Audit (Remote surveillance audit)							
List of activities on selected forests. Completed, In-Progress, Planned							
Selected forests for 2020 = All eastern forests, Gifford, Zaleski							
Selected: 3 of 4 from D2, 5 of 19 D4, Orange highlight - random selection, Yellow highlight - criteria							
Forest	Di ct	Forest	Ce [s]	Other ID	Activity	Status	Comments
0.041	2	Fernwood	A3	Contract 1923	Stumpage Timber Sale	In-progress	Long Run sale
0.187	2	Willow Grove					New acquisition - 350 acre forest. No activities. Staff built a sign and monument.
0.643	2	Yellow Creek	A5		Stumpage Timber Sale	Planned	Oak wilt sale - marked, not sold
0.650	2	Yellow Creek	A5		Precommercial	Completed	Oak Wilt - girdling and herbicide treatment
0.441	4	Gifford					No activities in last several years.
0.048	4	Zaleski	C-27	Contract 1906	Stumpage Timber Sale	Not started	Sold. Not started.
0.078	4	Zaleski	D-11/12	Contract 2003	Stumpage Timber Sale	Completed	Closeout completed.
0.112	4	Zaleski	C-3/11	Contract 2006	Stumpage Timber Sale	Not started	Sold. Not started.
0.147	4	Zaleski	A-17	Contract 1820	Stumpage Timber Sale	Completed	Closeout completed.
0.159	4	Zaleski	D-24	Wolfpen Hollow	Prescribed Burn	Planned	Burn plan for oak regeneration. Not started.
0.196	4	Zaleski	A-30	Contract 1909	Stumpage Timber Sale	Completed	Closeout completed.
0.376	4	Zaleski	E-4	Contract 1922	Stumpage Timber Sale	Completed	Closeout completed.
0.383	4	Zaleski	A-34	Contract 2013	Stumpage Timber Sale	Not started	Sold. Not started.
0.388	4	Zaleski	A2		Precommercial	Completed	Stiltgrass treatment completed Sept 2020
0.492	4	Zaleski	A-17	Contract 2016	Stumpage Timber Sale	Not started	Sold. Not started.
0.703	4	Zaleski	C17, C28, C29	Moonville Tunnel	Abandoned Mine Land mitigation project	Planned	Planned earth work. Not Started.
0.784	4	Zaleski	A2	Tree Planting	Planting disease resistant chestnut	Completed	May 2020.
0.818	4	Zaleski	D-35/37	Contract 2104	Stumpage Timber Sale	Not started	Sold. Not started.
0.131	4		A-38		Stumpage Timber Sale	Planned	Pre-sale document completed
0.425	4		Various	Joint Chiefs	Precommercial - Invasive control	Completed	"Joint Chiefs" project. Invasive species control at various location on Zaleski Forest.
0.481	4		B-11		Stumpage Timber Sale	Planned	Pre-sale document completed
0.674	4		A-2/7	Webb Hollow	Merchandizing Sale	Completed	In-house crew logging.
0.858	4		D-7		Stumpage Timber Sale	Planned	Pre-sale document completed
0.960	4		A-11		Stumpage Timber Sale	Planned	Pre-sale document completed

1. From Excel spreadsheet, "2020 activities_Ohio DO"

Appendix 3 – SCS Summary Report

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SFI® 2015-2019 Public Summary Report for

Ohio Division of Forestry

Executive Summary

The Sustainable Forestry Initiative® (SFI) Program of the Ohio Division of Forestry has achieved continuing conformance with the SFI 2015-2019 Standards and Rules® (Extended through 2021), Section 2 Forest Management according to the SCS audit system. The information that follow provides information about the organization, process and results of the evaluation.

The audit was originally planned as a Recertification transfer audit and was changed to a Surveillance audit in accordance with SFI allowances during the 2020 Covid-19 pandemic in the United States.

Introduction and Organization Profile

Established in 1949, the Ohio Department of Natural Resources, Division of Forestry manages 21 state forests covering more than 200,000 acres varying in size from nearly 64,000 acres to less than 500 acres. These forests are managed for multiple uses including sustainable timber production, wildlife habitat, soil and water protection, and recreation. The Chief of the Division/State Forester of Ohio is given statutory authority for multiple-use management of state forests through Ohio Revised Code (ORC), Section 1503. The Ohio DNR (ODNR), Division of Forestry (DOF) SFI Forest Management program is managed by a team of ODNR staff with primary contact designated as Chad Sanders. The DOF is led by Chief Dan Balsler.

The management objectives for the Ohio DOF forest management are detailed in the 5-year [2015-2020 Forest Management Plan](#). A 5-year planning cycle is used to guide operational forest management activities. These objectives, “are designed to promote biodiversity on state forests and are the result of analysis of the key threats in Ohio as determined by local and regionally appropriate conservation initiatives and organizations (e.g. Forest Inventory and Analysis project, Wildland-Urban Interface data, Division of Wildlife, The Nature Conservancy, NatureServe, LANDFIRE, 2007 State of Birds Report, the Ohio Bird Conservation Initiative, and the Appalachian Mountains Joint Venture).” These objectives are: 1) Maintain and promote the regeneration of oak-hickory forests, 2) Protect rare or threatened species and communities, and 3) Maintain and promote habitat for a diversity of forest-associated wildlife

The state forests are managed under a zoning framework in spatially demarcated areas for which the management and use of those areas is defined. Zoning on state forests uses an area control approach in which each year of the five-year planning cycle, approximately 2,000 to 3,000 acres may receive some type of written prescription that may result in a timber sale.

All state forest acres fall into one of four zones and associated subzones. The descriptions for each zone and subzone are described in detail in the Division’s Land Management Manual. The zoning system

classifies areas by their designated use taking into consideration soil and water resources, recreational facilities, and administrative areas. The zoning requirements and restrictions govern forest management activities.

With the exception of Maumee and Mohican-Memorial state forests, all the state forests are located in the hill country of east-central and southeastern Ohio. There are five major watersheds with associated drainages including the Muskingum River, Hocking River, Muskingum River, Ohio River, and the Scioto River Watersheds. The oak-hickory forest type, or Central Upland Hardwoods type, is the most common across state forests and contains a heterogeneous composition of forest species. Mixed oak species are commonly located on all aspects and slope positions with more Mesic species found in hollows and low areas or on north-facing slopes. Principal tree species include northern red, white and black oak, red and sugar maple, various hickories, beech, yellow-poplar, and ash, with occasional walnut and other species. Plantations of conifers are common throughout some forests. Principal conifer species include white, red, and shortleaf pine.

Evaluation Process, Scope and Objectives

The SCS Audit Plan process guides the evaluation of conformance to the Forest Management Standard. Ohio DNR is considered a Multi-Site organization and qualifies for multi-site sampling as provided within the Requirements for the SFI 2015-2019 Standards and Rules® Section 9 - Auditing Requirements. The Columbus (central) office has general control and authority over the separate state forests. As such the program is eligible for a sampling approach involving field reviews of a sample of the 21 named state forests that are organized into 10 administrative units. The sampling plan for 2020 required a minimum of 3 state forests, with 5 forests selected for sampling and site visits indicated by bold type on the list below. The state forests were selected based on the time elapsed since previous audits, the level of activity at each forest, and the level of risk or complexity of the activities. Some of the field sites to be reviewed within each forest were selected randomly. Central office issues were reviewed primarily during the opening meeting and in scheduled follow up calls.

State Forests Included in the sampling of the certificate

Beaver Creek	Pike
Blue Rock	Richland Furnace
Brush Creek	Scioto Trail
Chapin	Shade River
Dean	Shawnee
Fernwood	Sunfish Creek
Gifford	Tar Hollow
Harrison	Vinton Furnace
Hocking	West Blue Rock
Maumee	Willow Grove
Mohican-Memorial	Yellow Creek
Perry	Zaleski (including Waterloo)

Due to Covid-19 restrictions, and under options available from SFI Covid-19 derogation, this transfer audit was changed to a remote surveillance audit from a planned recertification audit. The Recertification audit will be conducted in 2021 on-site. This audit evaluated the following SFI Objectives and Performance Measure (PM)/Indicators: 2, 13, 14, 15.

- Objective 2. Forest Health and Productivity
- Objective 13. Public Land Management Responsibilities
- Objective 14. Communications and Public Reporting
- Objective 15. Management Review and Continual Improvement

No substitute indicators were used.

This evaluation was conducted by a SCS FM Lead Auditor, Beth Jacqmain with FM Auditor, Kyle Meister. Audit team members fulfill the qualification criteria for conducting audits contained in SFI 2015-2019 Standards and Rules® (Extended to 2021), Section 9 - Procedures and Auditor Qualifications and Accreditation.

Several of the applicable SFI Section requirements were outside of the scope of the Organization's SFI program and were excluded from the scope of the SFI Certification Audit as follows:

- Indicator 2.1.4 involving planting exotic species.
- Performance Measure 2.5 and Indicator 2.5.1 involving improved planting stock.
- Objective 8 because there are no federally-recognized tribes in Ohio; and
- Indicator 10.1.2 because there is no research on genetically engineered trees via forest tree biotechnology.

The evaluation followed the SCS audit process. The audit was conducted and completed between 19-22 October 2020. The scope of the audit included forest management. Forest practices that were the focus of field inspections included those that have been under active management over the planning period of the past 2 years. Practices conducted earlier were also reviewed as appropriate (regeneration and Best Management Practices, for example). SFI obligations to promote sustainable forestry practices, to seek legal compliance, and to incorporate continual improvement systems were also within the scope of the audit. Eight (8) sites were inspected remotely under the direction of the audit team.

The audit was governed by a detailed audit plan designed to enable the audit team to efficiently determine conformance with the applicable SFI requirements. The plan provided for the assembly and review of audit evidence consisting of documents, interviews, and remote on-site inspections of ongoing or completed forest practices.

During the audit SCS reviewed a sample of the written documentation assembled to provide objective evidence of conformance. SCS also selected field sites for inspection based upon the risk of environmental impact, likelihood of occurrence, special features, and other criteria outlined in the SCS Quality Manuals. SCS also selected and interviewed employees within the organization to confirm that the SFI Standard was understood and actively implemented.

The possible findings of the audit included Full Conformance, Major Non-conformance, Minor Non-conformance and Opportunities for Improvement.

Monitoring Program

Ohio DNR has a BMP monitoring program to implement federal, state or provincial water quality best management practices during all phases of management activities. BMPs are mandatory on Ohio state forest timber sales and are addresses several times in Ohio DNR-DOF Land Management Manual. The logging inspection and the pre-commercial activity inspection procedures are outlined in Chapters 8 and 9 respectively. These inspections serve not only as a mechanism to assess contract compliance and treatment efficacy, but also as a monitoring mechanism to assess BMP effectiveness. DOF ensures that considerations are made during the layout phase and monitors compliance during the inspection process. Pre-harvest meetings ensure BMPs are discussed prior to commencement of logging. Contract provisions specify conformance to best management practices. Inspections are done on an as-needed basis at least once per week (usually more frequently) and document BMPs. The DNR-DOF Timber Sale Bid Prospectus, Timber Sales Agreements and Service Contracts all have BMP language. Limited Use Road Inspections and Timber Sale inspections are used to monitoring performance.

Evaluation Summary of Findings

Ohio DNR was found to be in basic conformance with the standard. The number and types of findings are summarized below:

Finding	Number
Major	0
Minor	2
Opportunity for Improvement	0
Exceeds	0

The descriptions of findings are below:

Previous Findings: None

New Findings

Minor: There were 2 Minor non-conformities identified.

Minor 2020.1 related to logo/trademark usage and approval on the Ohio DNR website. The correction was completed by end of the audit and Closed.

Minor 2020.2 related to the SFI requirement to file an annual audit Public Summary report with SFI, Inc. which was not done for the 2019 SFI Public Summary audit report. This was also corrected by the end of the audit and Closed.

General Description of Evidence of Conformity

Objectives, Performance Measures and Indicators for evaluation were selected prior to the audit. Evidence of conformity to was evaluated to the indicator level and a summary of those findings are presented below, organized by Objectives.

Objective 1 Forest Management Planning

To ensure forest management plans include long-term sustainable harvest levels and measures to avoid forest conversion.

Summary of Evidence:

Not evaluated in 2020.

Objective 2 Forest Health and Productivity

To ensure long-term forest productivity, carbon storage and conservation of forest resources through prompt reforestation, afforestation, minimized chemical use, soil conservation, and protecting forests from damaging agents.

Summary of Evidence:

Ohio Division of Forestry has a wet weather policy which is included in timber sale agreements and in the timber sale prospectus for each harvest. Soils maps are used to plan harvests and identify highly erodible sites. Observed proper skid road layout showing that soils are considered and potential impacts are mitigated.

The forest health program conducts an annual aerial pest survey using fixed-wing planes that cover entire state.

Trained foresters conduct informal assessments and formal prescription cruises, during which time they assess forest health and modify management as needed.

“Forest Health Pests and Pathogens in Ohio Forests: A Field Identification Guide” is widely used by foresters. Tom Macy, Forest Health Program & Special Projects Administrator, Ohio Department of Natural Resources

Division of Forestry sends periodic email updates. There is an annual forest pest training meeting.

Objective 3 Protection and Maintenance of Water Resources

To protect the water quality of rivers, streams, lakes, wetlands and other water bodies through meeting or exceeding best management practices.

Summary of Evidence:

Field observations of a range of sites were the key evidence. Auditors visited the portions of field sites that were close to water resources and reviewed documentation associated with ongoing or completed harvests. Programs, procedures, and harvest inspection forms for the 15 harvest sites as well as observations of several road sections, trail sections, or combined road/trail sections contributed to a finding that water quality is protected.

Objective 4 Conservation of Biological Diversity

To manage the quality and distribution of wildlife habitats and contribute to the conservation of biological diversity by developing and implementing stand- and landscape-level measures that promote a diversity of types of habitat and successional stages, and the conservation of forest plants and animals, including aquatic species, as well as threatened and endangered species, Forests with Exceptional Conservation Value, old-growth forests and ecologically important sites.

Summary of Evidence:

Not evaluated in 2020.

Objective 5 Management of Visual Quality and Recreational Benefits

To manage the visual impact of forest operations and provide recreational opportunities for the public.

Summary of Evidence:

Not evaluated in 2020.

Objective 6 Protection of Special Sites

To manage lands that are geologically or culturally important in a manner that takes into account their unique qualities.

Summary of Evidence:

Not evaluated in 2020.

Objective 7 Efficient Use of Fiber Resources

To minimize waste and ensure the efficient use of fiber resources.

Summary of Evidence:

Not evaluated in 2020.

Objective 8 Recognize and Respect Indigenous Peoples' Rights

To recognize and respect Indigenous Peoples' rights and traditional knowledge.

Summary of Evidence:

This objective does not apply because there are no federally-recognized tribes in Ohio.

Objective 9 Legal and Regulatory Compliance

To comply with applicable federal, provincial, state and local laws and regulations.

Summary of Evidence:

Not evaluated in 2020.

Objective 10 Forestry Research, Science and Technology

To invest in forestry research, science and technology, upon which sustainable forest management decisions are based and broaden the awareness of climate change impacts on forests, wildlife and biological diversity.

Summary of Evidence:

Not evaluated in 2020.

Objective 11 Training and Education

To improve the implementation of sustainable forestry practices through appropriate training and education programs.

Summary of Evidence:

Not evaluated in 2020.

Objective 12 Community Involvement and Landowner Outreach

To broaden the practice of sustainable forestry through public outreach, education, and involvement, and to support the efforts of SFI Implementation Committees.

Summary of Evidence:

OHDNR has comprehensive system to promote public outreach and education including the establishment of informative kiosks at trail heads and in parking lots, developing demonstration areas on State Forests that include walking trails and interpretive signs, tours, the website and by forester activities.

Objective 13 Public Land Management Responsibilities

To participate and implement sustainable forest management on public lands.

Summary of Evidence:

Not evaluated in 2020.

Objective 14 Communications and Public Reporting

To increase transparency and to annually report progress on conformance with the SFI Forest Management Standard.

Summary of Evidence:

Generally, interviews, copies of reports filed with SFI Inc. and the SFI Inc. website provided evidence of past conformance, however, note closure of Minor 2020.2.

Objective 15 Management Review and Continual Improvement

To promote continual improvement in the practice of sustainable forestry by conducting a management review and monitoring performance.

Summary of Evidence:

Records of program reviews, agendas and notes from management review meetings, and interviews with personnel from all involved levels in the organization were assessed. Follow-up actions for internal audit findings were also reviewed.

Relevance of Forestry Certification

Third-party certification provides assurance that forests are being managed under the principles of sustainable forestry, which are described in the Sustainable Forestry Initiative Standard as:

1. Sustainable Forestry

To practice sustainable forestry to meet the needs of the present without compromising the ability of future generations to meet their own needs by practicing a land stewardship ethic that integrates reforestation and the managing, growing, nurturing and harvesting of trees for useful products and ecosystem services such as the conservation of soil, air and water quality, carbon, biological diversity, wildlife and aquatic habitats, recreation and aesthetics.

2. Forest Productivity and Health

To provide for regeneration after harvest and maintain the productive capacity of the forest land base, and to protect and maintain long-term forest and soil productivity. In addition, to protect forests from economically or environmentally undesirable levels of wildfire, pests, diseases, invasive exotic plants and animals and other damaging agents and thus maintain and improve long-term forest health and productivity.

3. Protection of Water Resources

To protect water bodies and riparian areas, and to conform with forestry best management practices to protect water quality.

4. Protection of Biological Diversity

To manage forests in ways that protect and promote biological diversity, including animal and plant species, wildlife habitats, and ecological or natural community types.

5. Aesthetics and Recreation

To manage the visual impacts of forest operations, and to provide recreational opportunities for the public.

6. Protection of Special Sites

To manage lands that are ecologically, geologically or culturally important in a manner that takes into account their unique qualities.

7. Responsible Fiber Sourcing Practices in North America

To use and promote among other forest landowners sustainable forestry practices that are both scientifically credible and economically, environmentally and socially responsible.

8. Legal Compliance

To comply with applicable federal, provincial, state, and local forestry and related environmental laws, statutes, and regulations.

9. Research

To support advances in sustainable forest management through forestry research, science and technology.

10. Training and Education

To improve the practice of sustainable forestry through training and education programs.

11. Community Involvement and Social Responsibility

To broaden the practice of sustainable forestry on all lands through community involvement, socially responsible practices, and through recognition and respect of Indigenous Peoples' rights and traditional forest-related knowledge.

12. Transparency

To broaden the understanding of forest certification to the SFI Standard by documenting certification audits and making the findings publicly available.

13. Continual Improvement

To continually improve the practice of forest management, and to monitor, measure and report performance in achieving the commitment to sustainable forestry.

14. Avoidance of Controversial Sources including Illegal Logging in Offshore Fiber Sourcing

(Applies only to the SFI 2015-2019 Fiber Sourcing Standard)

To avoid wood fiber from illegally logged forests when procuring fiber outside of North America, and to avoid sourcing fiber from countries without effective social laws.

Source: Sustainable Forestry Initiative® (SFI) Standard, 2015–2019 Edition

Appendix 4 – Standard Conformity Checklist

Requirements Reviewed in Annual Evaluation

Evaluation Year	Requirements Reviewed (Subject Areas/Indicators)
2020	Objectives 2, 13, 14, 15
2021	Recertification – Full Evaluation
2022	Projected: See SCS Audit Matrix on file
2023	
2024	
2025	

SCS Checklist for Forest Management Sustainable Forestry Initiative® Standard

This checklist includes the general requirements, criteria and associated indicators, guidance notes, interpretations, and directives for *SFI® 2015-2019 (Extended to 2021) Standards and Rules, Section 2 Forest Management*. Group certification requirements are covered in a separate checklist.

Additional Requirements

SFI Program Participants with fiber sourcing programs (acquisition of roundwood and field-manufactured or primary-mill residual chips, pulp and veneer to support a forest products facility), must also conform to the *SFI 2015-2019 Fiber Sourcing Standard*.

Use of the *SFI* on-product labels and claims shall follow Section 5 - Rules for Use of *SFI* On-Product Labels and Off-Product Marks as well as ISO 14020:2000.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: This is a Forest Management program.

Objective 1. Forest Management Planning

To ensure forest management plans include *long-term* sustainable harvest levels and measures to avoid forest conversion.

Performance Measure 1.1. *Program Participants* shall ensure that forest management plans include *long-term* harvest levels that are sustainable and consistent with appropriate *growth-and-yield models*.

NA Conformance Exceeds O.F.I. Major NC Minor NC
 Audit Notes: NE, Not evaluated this audit.

1.1.1. Forest management planning at a level appropriate to the size and scale of the operation, including:

- a. a *long-term* resources analysis.
- b. a periodic or ongoing *forest inventory*.
- c. a land classification system.
- d. biodiversity at *landscape* scales;
- e. soils inventory and maps, where available;
- f. access to *growth-and-yield modeling* capabilities;
- g. up-to-date maps or a geographic information system (GIS);
- h. recommended sustainable harvest levels for areas available for harvest; and
- i. a review of non-timber issues (e.g., recreation, tourism, pilot projects and economic incentive *programs* to promote water *protection*, carbon storage, *bioenergy feedstock* production, or *biological diversity conservation*, or to address climate-induced ecosystem change).

NA Conformance Exceeds O.F.I. Major NC Minor NC
 Audit Notes: NE

1.1.2. Documented current harvest trends fall within long-term sustainable levels identified in the forest management plan.

NA Conformance Exceeds O.F.I. Major NC Minor NC
 Audit Notes: NE

1.1.3. A forest inventory system and a method to calculate growth and yield.

NA Conformance Exceeds O.F.I. Major NC Minor NC
 Audit Notes: NE

1.1.4. Periodic updates of forest inventory and recalculation of planned harvests to account for changes in growth due to productivity increases or decreases, including but not limited to: improved data, long-term drought, fertilization, climate change, changes in forest land ownership and tenure, or forest health.

NA Conformance Exceeds O.F.I. Major NC Minor NC
 Audit Notes: NE

1.1.5. Documentation of forest practices (e.g., planting, fertilization and thinning) consistent with assumptions in harvest plans.

NA Conformance Exceeds O.F.I. Major NC Minor NC
 Audit Notes: NE

Performance Measure 1.2. Program Participants shall not convert one forest cover type to another forest cover type, unless in justified circumstances.

NA Conformance Exceeds O.F.I. Major NC Minor NC
 Audit Notes: NE

1.2.1. Program Participants shall not convert one forest cover type to another forest cover type, unless the conversion:

- a. Is in compliance with relevant national and regional *policy* and legislation related to land use and forest management; and
- b. Would not convert *native* forest types that are rare and ecologically significant at the *landscape* level or put any *native* forest types at risk of becoming rare; and
- c. Does not create significant long-term adverse impacts on Forests with Exceptional Conservation Value, old-growth forests, forests critical to threatened and endangered species, and special sites.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

1.2.2. Where a Program Participant intends to convert another forest cover type, an assessment considers:

- a. Productivity and stand quality conditions and impacts which may include social and economic values;
- b. Specific ecosystem issues related to the site such as invasive species, insect or disease issues, riparian protection needs and others as appropriate to site including regeneration challenges; and
- c. Ecological impacts of the conversion including a review at the site and *landscape* scale as well as consideration for any appropriate mitigation measures.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

Performance Measure 1.3. Program Participants shall not have within the scope of their certification to this SFI Standard, forest lands that have been converted to non-forest land use. Indicator:

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

1.3.1. Forest lands converted to other land uses shall not be certified to this SFI Standard. This does not apply to forest lands used for forest and wildlife management such as wildlife food plots or infrastructure such as forest roads, log processing areas, trails etc.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

Objective 2. Forest Health and Productivity

To ensure *long-term* forest productivity, carbon storage and *conservation* of forest resources through prompt reforestation, afforestation, minimized chemical use, soil conservation, and protecting forests from damaging agents.

Performance Measure 2.1. Program Participants shall promptly reforest after final harvest.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Evidence:

- Land Management Manual (LM Manual or LM) – Chapter 3 and 12
- Post-fire regeneration monitoring.
- SILVAH prescriptions.

Audit Notes:

DOF manages hardwood forests almost exclusively through natural regeneration. DOF has an oak ecology and management focus that seeks to provide advanced oak regeneration and tending prior to final harvest or overstory removal. DOF promotes improvement cuts, shelterwood and deferment harvests coupled with fire

and other practices to promote oak regeneration prior to overstory removal. Regeneration is assessed during the prescription process. The regime will be (in most cases) site prep burn, monitor regen, regeneration harvest, release burn, monitor regen. The protocol will be using SILVAH Oak regen plots. Part G of Chapter 3 and the Updated chapter 12 of LM manual address aspects of planning and monitoring of prompt reforestation following harvests. SFI Indicators and Evidence Matrix, Ohio Division of Forestry 2020.

2.1.1. Documented reforestation plans, including designation of all harvest areas for either natural, planted or direct seeded regeneration and prompt reforestation, unless delayed for site-specific environmental or forest health considerations or legal requirements, through planting within two years or two planting seasons, or by planned natural regeneration methods within five years.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Evidence:

- LM manual, Chapter 3, Chapter 12
- SILVAH-Oak software program used a decision support

Audit Notes: The Silvah Oak system is employed in most cases to assess the amount, condition, and competitiveness of advance regeneration (tree seedlings and sprouting potential) prior to implementing regeneration treatments, assuring successful, desirable regeneration in the vast majority of treatment sites. All harvests are documented as natural regeneration and regeneration is monitored. Chapter 3 specifies minimum adequate stocking is approximately 450 or more stems of acceptable growing stock that are 4.5 feet tall or greater. DOF has policies in place to consider incidental planting for aesthetic or carbon projects and those occur as budgets allow.

2.1.2. Clear criteria to judge adequate regeneration and appropriate actions to correct understocked areas and achieve acceptable species composition and stocking rates for planting, direct seeding and natural regeneration.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Evidence:

- LM manual
- SILVAH-Oak

Audit Notes: *DOF has regeneration criteria outlined in the manual for successful regeneration. Guidelines developed from USFS handbooks. Further, DOF desires to incorporate SILVAH-Oak system for evaluating successful oak regeneration prior to final harvest. See also 2.1.1 above.*

2.1.3. Plantings of exotic tree species should minimize risk to native ecosystems.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Evidence:

- LM manual
- SILVAH Oak prescriptions.

Audit Notes: DOF does not plant exotics.

2.1.4. Protection of desirable or planned advanced natural regeneration during harvest.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Evidence:

- SILVAH Oak prescriptions.

Audit Notes: Oak management systems provide for practices to promote and protect oak regeneration through final harvest. ODNR provides to protect advanced natural regeneration with cooperation of harvest operators.

2.1.5. Afforestation programs that consider potential ecological impacts of the selection and planting of tree species in non-forested landscapes.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: DOFs afforestation projects are very limited and the small number of examples were for carbon projects in formally floodplain forests. There are approximately 4 carbon projects on State Forests. Species planted are native.

Performance Measure 2.2. *Program Participants shall minimize chemical use required to achieve management objectives while protecting employees, neighbors, the public and the environment, including wildlife and aquatic habitats.*

NA Conformance Exceeds O.F.I. Major NC Minor NC

Evidence:

- LMM chapter 9, Pre-commercial Silvicultural Activities
- Tom Macy (Forest Health) coordinates all pesticide use and records.

Audit Notes: DOF policies comply with this performance measure. The nature of DOF chemical use is small scale and in conjunction with TSI treatments. Chemical use for existing invasive or TSI projects is heavily dependent on funding. Chemicals are also used for invasive plants and insect control. ODNR uses a pre-commercial proposal (PPP) project form which is shared and stored in a central file system and all records are retained in central file system. PPP Form # is assigned and used to track across application records. ODNR review process ensures all aspects of this indicator are reviewed and addressed.

2.2.1. *Minimized chemical use required to achieve management objectives.*

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: See evidence above, 2.2.

2.2.2. *Use of least-toxic and narrowest-spectrum pesticides necessary to achieve management objectives.*

NA Conformance Exceeds O.F.I. Major NC Minor NC

Evidence:

- Precommercial project proposal (a prescription document for chemical applications)

Audit Notes: Precommercial projects are planned using the "Precommercial Project Proposal". This includes a prescription, a plan, consideration of non-timber issues and impacts. Proposals are reviewed and approved and receive in-progress and final inspections. Example PPP's were reviewed in 2020 for: Yellow Creek Precommercial Oak Wilt site, and Zaleski

2.2.3. *Use of pesticides registered for the intended use and applied in accordance with label requirements.*

NA Conformance Exceeds O.F.I. Major NC Minor NC

Evidence:

- Precommercial project proposal (a prescription document for chemical applications)

Audit Notes: Precommercial projects are planned using the "Precommercial Project Proposal". This includes a prescription, a plan, consideration of non-timber issues and impacts. Proposals are reviewed and approved and receive in-progress and final inspections. Application of chemicals is required to have a licensed chemical applicator present who is trained in understanding labels and is aware of legal requirements to use herbicides in accordance with label requirements.

2.2.4. *The World Health Organization (WHO) type 1A and 1B pesticides shall be prohibited, except where no other viable alternative is available.*

NA Conformance Exceeds O.F.I. Major NC Minor NC

Evidence:

- LMM chapter 9, Pre-commercial Silvicultural Activities

Audit Notes: Included in DOF policy in the LM manual is a list of apriori approved chemicals. The ODNR system allows use of other chemicals and all chemicals are subject to the review and approval process through the Forest Health

Program Administrator. Interview with this administrator confirms that WHO type 1A and 1B chemicals are part of the review process.

2.2.5. Use of pesticides banned under the Stockholm Convention on Persistent Organic Pollutants (2001) shall be prohibited.

NA Conformance Exceeds O.F.I. Major NC Minor NC

No evidence was found of such use in chemical summary reports and was confirmed in interviews with relevant staff. There is no use of pesticides banned under the Stockholm Convention on Persistent Organic Pollutants.

Audit Notes: "Land Management Manual, Chapter 9, Pre-commercial Activities, B. Pesticide Use" lists the approved chemicals, none of which are on the prohibited list. The ODNR system allows use of other chemicals and all chemicals are subject to the review and approval process through the Forest Health Program Administrator. Interview with this administrator confirms that these chemicals are part of the review process.

2.2.6. Use of integrated pest management where feasible.

NA Conformance Exceeds O.F.I. Major NC Minor NC

ODNR uses an IPM program as described in Chapter 9, Integrated pest management is specified in Chapter 9 of the LM manual. Chemicals are applied based on site-specific prescriptions. Treatments are devised to minimize chemicals used. For example,

- Predator beetles for control of Hemlock Woolly Adelgid have been released on private forests in Ohio by Ohio Division of Forestry program, and plans are in place to release them on state forest lands this fall.

Audit Notes:

- Stocking control is a key aspect of forest health and IPM. Forests observed were generally well-stocked to only slightly over-stocked.

- Foresters and managers are aware of acute (outbreak) forest health issues, with specialists available to provide advice. Outbreaks are tracked.

- Chemicals are applied based on site-specific prescriptions. Treatments are devised to minimize chemicals used.

2.2.7. Supervision of forest chemical applications by state- or provincial-trained or certified applicators.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Evidence:

- Forest Health Program Administrator tracks all licensed applicators

All applicators receive certified pesticide applicator training.

Audit Notes: The Operating Procedure For Pesticide Use On Division Of Forestry Lands November 2009 states: "Persons applying pesticides to state forest land must be licensed by the State of Ohio or supervised during the application of pesticides by someone who holds an Ohio pesticide license. Persons not holding a license, but applying pesticides under the supervision of a license holder, must receive pesticide safety training that includes reading and signing the "Safety Training Guide for Trained Servicepersons" manual. Training and licensing of Division employees engaged in pesticide use shall be evaluated at least every two years to ensure that adequate numbers of personnel are fully licensed and certified by the Ohio Department of Agriculture to properly apply (or supervise the application of) pesticides on state lands. These persons shall be termed "commercial applicators".

Staff training records were provided.

2.2.8. Use of management practices appropriate to the situation, for example:

- a. notification of adjoining landowners or nearby residents concerning applications and chemicals used;
- b. appropriate multilingual signs or oral warnings;
- c. control of public road access during and immediately after applications;
- d. designation of streamside and other needed buffer strips;
- e. use of positive shutoff and minimal-drift spray valves;

- f. aerial application of forest chemicals parallel to buffer zones to *minimize* drift;
- g. monitoring of water quality or safeguards to ensure proper equipment use and *protection* of streams, lakes and other water bodies;
- h. appropriate transportation and storage of chemicals;
- i. filing of required state or provincial reports; and/or
- j. use of methods to ensure *protection of threatened and endangered* species.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Evidence:

- Land Management manual chapter 9
- Precommercial project proposal document

These items are either included in the LM manual or in the project proposals. DOF employees and crew members receive proper training and PPE for chemical use. DOF units have proper pesticide storage with PPE and spill containment. TSI projects are mapped and environmental considerations are noted and delineated and reviewed. OSU extension and other experts provide guidance. Pesticide handling is compliant with ODA guidelines. Reports and records are filed at several levels and are maintained.

Audit Notes:

Land management units each have separate pesticide storage with PPE and spill containment. No issues were found in the pesticide storage areas. A new a written chemical storage area guideline has been developed and recently deployed for review of pesticide storage: "ODNR Division of Forestry - State Forest Pesticide Storage". All units were advised to review chemical storage areas for compliance. The Forest Health Administrator assisted with these reviews. Remote site visits did not identify any issues in review of the Zaleski SF storage facility (video records retained by SCS).

Performance Measure 2.3. *Program Participants* shall implement forest management practices to protect and maintain forest and soil *productivity*.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Evidence:

- Timber Marking Transmittal
 - Wet-Weather Logging procedure
- Audit Notes:
- Timber Sale Agreement language
 - BMP's

DOF staff are graduate foresters who receive continuing education. All timber sales are prescribed, mapped, planned, laid out on the ground, and receive a pre-activity assessment.

2.3.1. *Process to identify soils vulnerable to compaction, and use of appropriate methods, including the use of soil maps where available, to avoid excessive soil disturbance.*

NA Conformance Exceeds O.F.I. Major NC Minor NC

Evidence:

- GIS
- Marking estimate

Audit Notes:

DOF considers soil data in the harvest plan (marking estimate) and further mandates BMPs and has a wet weather logging policy. Soils feature classes in GIS are used to support decision-making by foresters as confirmed using "sharescreen" in MS Teams.

2.3.2. *Use of erosion control measures to minimize the loss of soil and site productivity.*

NA Conformance Exceeds O.F.I. Major NC Minor NC

Evidence:

- BMP's for erosion control for logging practices in Ohio

Audit Notes:

DOF mandates the use of Ohio BMPs and further has a wet weather logging policy. Proper skid road layout ensures soils are considered and impacts are mitigated.

2.3.3. Post-harvest conditions conducive to maintaining site productivity (e.g., limited rutting, retained down woody debris, minimized skid trails).

NA Conformance Exceeds O.F.I. Major NC Minor NC

Evidence:

Audit Notes:

- BMP's for erosion control for logging practices in Ohio

DOF mandates the use of Ohio BMPs and further has a wet weather logging policy. Proper skid road layout ensures soils are considered and impacts are mitigated.

2.3.4. Retention of vigorous trees during partial harvesting, consistent with scientific silvicultural standards for the area.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Evidence:

Audit Notes:

- Land Management Manual.
- Timber Sale Agreement

DOF has tree retention guidelines which are documented in planning documents and confirmed as implemented in 2020 site visits.

2.3.5. Criteria that address harvesting and site preparation to protect soil productivity.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Evidence:

Audit Notes:

- Land Management Manual.
- Timber Sale Agreement.

Stated in DOF policies in the Timber Harvest Prep chapter of the LM manual. DOF has a retention tree policy. The majority of timber harvests are partial harvests designed to either improve the stand or to promote oak regeneration.

2.3.6. Road construction and skidding layout to minimize impacts to soil productivity.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Evidence:

Audit Notes:

- Timber Sale Agreement

Foresters do the skidding layout prior to harvest.

Performance Measure 2.4. Program Participants shall manage so as to protect forests from damaging agents, such as environmentally or economically undesirable wildfire, pests, diseases and *invasive exotic plants and animals*, to maintain and improve *long-term forest health, productivity and economic viability*.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: See evidence below.

2.4.1. Program to protect forests from damaging agents.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Evidence:

Audit Notes:

- LMM chapter 10.
- Forest Health Program Administrator
- Fire protection Program Administrator

DOF's approach to forest protection is outlined in chapter 10 of the LM manual. DOF has a forest health program with one program staff person and fire program with associated staff. DOF undertakes specific

activities to protect the forest from damaging agents including silvicultural treatments, research, monitoring and forest health surveys, and by providing assistance to other forest managers and volunteer fire departments. DOF is involved with a host of programs and partnerships in this area. Asian Longhorn Beetle discovered in Ohio 2011. DOF partnership with APHIS and Ohio Dept of Ag. By promoting Oak silviculture, DOF believes it is promoting forest health. Interview with Forest Health Program and Forest Protection Program staff confirmed changes/ no changes to the program.

2.4.2. Management to promote healthy and productive forest conditions to minimize susceptibility to damaging agents.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Evidence:

- LMM chapter 10.
- Program Administrator for Forest Health Program
- Program Administrator for Fire Protection Program

Audit Notes: DOF's approach to forest protection is outlined in chapter 10 of the LM manual. DOF has a forest health program with one program staff person and fire program with associated staff. DOF undertakes specific activities to protect the forest from damaging agents including silvicultural treatments, research, monitoring and forest health surveys, and by providing assistance to other forest managers and volunteer fire departments. DOF is involved with a host of programs and partnerships in this area. Asian Longhorn Beetle discovered in Ohio 2011. DOF partnership with APHIS and Ohio Dept of Ag. By promoting Oak silviculture, DOF believes it is promoting forest health.

2.4.3. Participation in, and support of, fire and pest prevention and control programs.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Evidence:

- LMM chapter 10.
- Program Administrator for Forest Health Program
- Program Administrator for Fire Protection Program

Audit Notes: DOF's approach to forest protection is outlined in chapter 10 of the LM manual. DOF has a forest health program with one program staff person and fire program with associated staff. DOF undertakes specific activities to protect the forest from damaging agents including silvicultural treatments, research, monitoring and forest health surveys, and by providing assistance to other forest managers and volunteer fire departments. DOF is involved with a host of programs and partnerships in this area. Asian Longhorn Beetle discovered in Ohio 2011. DOF partnership with APHIS and Ohio Dept of Ag. By promoting native oak silviculture based on understanding of natural systems, DOF encourages and promotes forest health.

Performance Measure 2.5. Program Participants that deploy improved planting stock, including varietal seedlings, shall use best scientific methods.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: See evidence below.

2.5.1. Program for appropriate research, testing, evaluation and deployment of improved planting stock, including varietal seedlings.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: DOF does not have any operational planting programs. Planting projects are incidental on a project basis subject to approval through forest activity planning procedures.

Objective 3. Protection and Maintenance of Water Resources

To protect the water quality of rivers, streams, lakes, *wetlands* and other water bodies through meeting or exceeding *best management practices*.

Performance Measure 3.1. *Program Participants* shall meet or exceed all applicable federal, provincial, state and local water quality laws, and meet or exceed *best management practices* developed under Canadian or U.S. Environmental Protection Agency–approved water quality programs.

NA Conformance Exceeds O.F.I. Major NC Minor NC
Audit Notes: NE

3.1.1. *Program to implement federal, state or provincial water quality best management practices during all phases of management activities.*

NA Conformance Exceeds O.F.I. Major NC Minor NC
Audit Notes: NE

3.1.2. *Contract provisions that specify conformance to best management practices.*

NA Conformance Exceeds O.F.I. Major NC Minor NC
Audit Notes: NE

3.1.3. *Monitoring of overall best management practices implementation.*

NA Conformance Exceeds O.F.I. Major NC Minor NC
Audit Notes: NE

Performance Measure 3.2. *Program Participants* shall implement water, *wetland* and *riparian protection* measures based on soil type, terrain, vegetation, ecological function, harvesting system, state *best management practices* (BMPs), provincial guidelines and other applicable factors.

NA Conformance Exceeds O.F.I. Major NC Minor NC
Audit Notes: NE

3.2.1. *Program addressing management and protection of rivers, streams, lakes, wetlands, other water bodies and riparian areas during all phases of management, including the layout and construction of roads and skid trails to maintain water reach, flow and quality.*

NA Conformance Exceeds O.F.I. Major NC Minor NC
Audit Notes: NE

3.2.2. *Mapping of rivers, streams, lakes, wetlands and other water bodies as specified in state or provincial best management practices and, where appropriate, identification on the ground.*

NA Conformance Exceeds O.F.I. Major NC Minor NC
Audit Notes: NE

3.2.3. *Document and implement plans to manage and protect rivers, streams, lakes, wetlands, other water bodies and riparian areas.*

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

3.2.4. Plans that address wet-weather events in order to maintain water quality (e.g., forest inventory systems, wet-weather tracts, definitions of acceptable operating conditions).

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

Objective 4. Conservation of Biological Diversity

To manage the quality and distribution of *wildlife habitats* and contribute to the *conservation of biological diversity* by developing and implementing *stand-* and *landscape-*level measures that promote a diversity of types of *habitat* and successional stages, and the *conservation* of forest plants and animals, including *aquatic species, as well as threatened and endangered species, Forests with Exceptional Conservation Value, old-growth forests* and ecologically important sites.

Performance Measure 4.1. *Program Participants* shall conserve biological diversity.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

4.1.1. Program to incorporate the conservation of native biological diversity, including species, wildlife habitats and ecological community types at stand and landscape levels.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

4.1.2. Development of criteria and implementation of practices, as guided by regionally based best scientific information, to retain stand-level wildlife habitat elements such as snags, stumps, mast trees, down woody debris, den trees and nest trees.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

4.1.3. Document diversity of forest cover types and age or size classes at the individual ownership or forest tenure level, and where credible data are available, at the landscape scale. Working individually or collaboratively to support diversity of native forest cover types and age or size classes that enhance biological diversity at the landscape scale.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

4.1.4. Program Participants shall participate in or incorporate the results of state, provincial, or regional conservation planning and priority-setting efforts to conserve biological diversity and consider these efforts in forest management planning. Examples of credible priority-setting efforts include state wildlife action plans, state forest action plans, relevant habitat conservation plans or provincial wildlife recovery plans.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

4.1.5. Program to address conservation of known sites with viable occurrences of significant species of concern.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

4.1.6. Identification and protection of non-forested wetlands, including bogs, fens and marshes, and vernal pools of ecological significance.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

4.1.7. Participation in programs and demonstration of activities as appropriate to limit the introduction, spread and impact of invasive exotic plants and animals that directly threaten or are likely to threaten native plant and animal communities.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

4.1.8. Consider the role of natural disturbances, including the use of prescribed or natural fire where appropriate, and forest health threats in relation to biological diversity when developing forest management plans.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

Performance Measure 4.2. Program Participants shall protect threatened and endangered species, Forests with Exceptional Conservation Values (FECV) and old-growth forests.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

4.2.1. Program to protect threatened and endangered species.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

4.2.2. Program to locate and protect known sites flora and fauna associated with viable occurrences of critically imperiled and imperiled species and communities also known as Forests with Exceptional Conservation Value. Plans for protection may be developed independently or collaboratively, and may include Program Participant management, cooperation with other stakeholders, or use of easements, conservation land sales, exchanges, or other conservation strategies.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

4.2.3. Support of and participation in plans or programs for the conservation of old-growth forests in the region of ownership or forest tenure.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

Performance Measure 4.3. *Program Participants* shall manage ecologically important sites in a manner that takes into account their unique qualities.

NA Conformance Exceeds O.F.I. Major NC Minor NC
 Audit Notes: NE

4.3.1. *Use of information such as existing natural heritage data or expert advice in identifying or selecting ecologically important sites for protection.*

NA Conformance Exceeds O.F.I. Major NC Minor NC
 Audit Notes: NE

4.3.2. *Appropriate mapping, cataloging and management of identified ecologically important sites.*

NA Conformance Exceeds O.F.I. Major NC Minor NC
 Audit Notes: NE

Performance Measure 4.4. *Program Participants* shall apply knowledge gained through research, science, technology and field experience to manage *wildlife habitat* and contribute to the *conservation of biological diversity*.

NA Conformance Exceeds O.F.I. Major NC Minor NC
 Audit Notes: NE

4.4.1. *Collection of information on Forests with Exceptional Conservation Value and other biodiversity-related data through forest inventory processes, mapping or participation in external programs, such as NatureServe, state or provincial heritage programs, or other credible systems. Such participation may include providing non-proprietary scientific information, time and assistance by staff, or in-kind or direct financial support.*

NA Conformance Exceeds O.F.I. Major NC Minor NC
 Audit Notes: NE

4.4.2. *A methodology to incorporate research results and field applications of biodiversity and ecosystem research into forest management decisions.*

NA Conformance Exceeds O.F.I. Major NC Minor NC
 Audit Notes: NE

Objective 5. Management of Visual Quality and Recreational Benefits

To manage the visual impact of forest operations and provide recreational opportunities for the public.

Performance Measure 5.1. *Program Participants* shall manage the impact of harvesting on *visual quality*.

NA Conformance Exceeds O.F.I. Major NC Minor NC
 Audit Notes: NE

5.1.1. *Program to address visual quality management.*

NA Conformance Exceeds O.F.I. Major NC Minor NC
 Audit Notes: NE

5.1.2. *Incorporation of aesthetic considerations in harvesting, road, landing design and management, and other management activities where visual impacts are a concern.*

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

Performance Measure 5.2. *Program Participants shall manage the size, shape and placement of clearcut harvests.*

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

5.2.1. *Average size of clearcut harvest areas does not exceed 120 acres (50 hectares), except when necessary to meet regulatory requirements, achieve ecological objectives or to respond to forest health emergencies or other natural catastrophes.*

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

5.2.2. *Documentation through internal records of clearcut size and the process for calculating average size.*

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

Performance Measure 5.3. *Program Participants shall adopt a green-up requirement or alternative methods that provide for visual quality.*

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

5.3.1. *Program implementing the green-up requirement or alternative methods.*

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

5.3.2. *Harvest area tracking system to demonstrate conformance with the green-up requirement or alternative methods.*

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

5.3.3. *Trees in clearcut harvest areas are at least 3 years old or 5 feet (1.5 meters) high at the desired level of stocking before adjacent areas are clearcut, or as appropriate to address operational and economic considerations, alternative methods to reach the performance measure are utilized by the Program Participant.*

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

Performance Measure 5.4. *Program Participants shall support and promote recreational opportunities for the public.*

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

5.4.1. Provide recreational opportunities for the public, where consistent with forest management objectives.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

Objective 6. Protection of Special Sites

To manage lands that are geologically or *culturally important* in a manner that takes into account their unique qualities.

Performance Measure 6.1. *Program Participants* shall identify *special sites* and manage them in a manner appropriate for their unique features.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

6.1.1. Use of information such as existing natural heritage data, expert advice or stakeholder consultation in identifying or selecting special sites for protection.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

6.1.2. Appropriate mapping, cataloging and management of identified special sites.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

Objective 7. Efficient Use of Fiber Resources

To *minimize* waste and ensure the efficient use of fiber resources.

Performance Measure 7.1. *Program Participants* shall employ appropriate forest harvesting technology and in-woods manufacturing processes and practices to *minimize* waste and ensure efficient utilization of harvested trees, where consistent with other *SFI Standard objectives*.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

7.1.1. Program or monitoring system to ensure efficient utilization, which may include provisions to ensure:

- a. management of harvest residue (e.g., slash, limbs, tops) considers economic, social and environmental factors (e.g., organic and nutrient value to future forests and the potential of increased fuels build-up) and other utilization needs;
- b. training or incentives to encourage loggers to enhance utilization;
- c. exploration of markets for underutilized species and low-grade wood and alternative markets (e.g., bioenergy markets); or
- d. periodic inspections and reports noting utilization and product separation.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

Objective 8. Recognize and Respect *Indigenous Peoples'* Rights

To recognize and respect *Indigenous Peoples'* rights and traditional knowledge.

Performance Measure 8.1. *Program Participants* shall recognize and respect *Indigenous Peoples'* rights.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

8.1.1. *Program Participants* will provide a written policy acknowledging a commitment to recognize and respect the rights of *Indigenous Peoples*.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes:

Performance Measure 8.2. *Program Participants* with forest *management responsibilities on public lands* shall confer with affected *Indigenous Peoples* with respect to sustainable forest management practices.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

8.2.1. *Program* that includes communicating with affected *Indigenous Peoples* to enable *Program Participants* to:

- a. understand and respect traditional forest-related knowledge;
- b. identify and protect spiritually, historically, or culturally important sites;
- c. address the use of non-timber forest products of value to *Indigenous Peoples* in areas where *Program Participants* have management responsibilities on public lands; and
- d. respond to *Indigenous Peoples'* inquiries and concerns received.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

Performance Measure 8.3. *Program Participants* are encouraged to communicate with and shall respond to local *Indigenous Peoples* with respect to sustainable forest management practices on their private lands.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

8.3.1. *Program Participants* are aware of traditional forest-related knowledge, such as known cultural heritage sites, the use of wood in traditional buildings and crafts, and flora that may be used in cultural practices for food, ceremonies or medicine.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

8.3.2. Respond to *Indigenous Peoples'* inquiries and concerns received.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

Objective 9. Legal and Regulatory Compliance

To comply with applicable federal, provincial, state and local laws and regulations.

Performance Measure 9.1. *Program Participants* shall comply with applicable federal, provincial, state and local forestry and related social and environmental laws and regulations.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

9.1.1. *Access to relevant laws and regulations in appropriate locations.*

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

9.1.2. *System to achieve compliance with applicable federal, provincial, state, or local laws and regulations.*

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

9.1.3. *Demonstration of commitment to legal compliance through available regulatory action information.*

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

Performance Measure 9.2. *Program Participants* shall take appropriate steps to comply with all applicable social laws at the federal, provincial, state and local levels in the country in which the *Program Participant* operates.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

9.2.1. *Written policy demonstrating commitment to comply with social laws, such as those covering civil rights, equal employment opportunities, anti-discrimination and anti-harassment measures, workers' compensation, Indigenous Peoples' rights, workers' and communities' right to know, prevailing wages, workers' right to organize, and occupational health and safety.*

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

9.2.2. *Forestry enterprises will respect the rights of workers and labor representatives in a manner that encompasses the intent of the International Labor Organization (ILO) core conventions.*

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

Objective 10. Forestry Research, Science and Technology

To invest in *forestry* research, science and technology, upon which sustainable forest management decisions are based and broaden the awareness of *climate change* impacts on forests, *wildlife* and *biological diversity*.

Performance Measure 10.1. *Program Participants* shall individually and/or through cooperative efforts involving *SFI Implementation Committees*, associations or other partners provide in-kind support or funding for forest research to improve *forest health, productivity* and sustainable management of forest resources, and the environmental benefits and performance of forest products.

NA Conformance Exceeds O.F.I. Major NC Minor NC
Audit Notes: NE

10.1.1. *Financial or in-kind support of research to address questions of relevance in the region of operations. Examples could include, but are not limited to, areas of forest productivity, water quality, biodiversity, community issues, or similar areas which build broader understanding of the benefits and impacts of forest management.*

NA Conformance Exceeds O.F.I. Major NC Minor NC
Audit Notes: NE

10.1.2. *Research on genetically engineered trees via forest tree biotechnology shall adhere to all applicable federal, state, and provincial regulations and international protocols ratified by the United States and/or Canada depending on jurisdiction of management.*

NA Conformance Exceeds O.F.I. Major NC Minor NC
Audit Notes: NE

Performance Measure 10.2. *Program Participants* shall individually and/or through cooperative efforts involving *SFI Implementation Committees*, associations or other partners develop or use state, provincial or regional analyses in support of their *sustainable forestry programs*.

NA Conformance Exceeds O.F.I. Major NC Minor NC
Audit Notes: NE

10.2.1. *Participation, individually and/or through cooperative efforts involving SFI Implementation Committees and/or associations at the national, state, provincial or regional level, in the development or use of some of the following:*

- a. regeneration assessments;
- b. growth and drain assessments;
- c. *best management practices* implementation and conformance;
- d. *biodiversity conservation* information for family forest owners; and
- e. social, cultural or economic benefit assessments.

NA Conformance Exceeds O.F.I. Major NC Minor NC
Audit Notes: NE

Performance Measure 10.3. *Program Participants* shall individually and/or through cooperative efforts involving *SFI Implementation Committees*, associations or other partners broaden the awareness of *climate change* impacts on forests, *wildlife* and *biological diversity*.

NA Conformance Exceeds O.F.I. Major NC Minor NC
Audit Notes: NE

10.3.1. *Where available, monitor information generated from regional climate models on long-term forest health, productivity and economic viability.*

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

10.3.2. *Program Participants are knowledgeable about climate change impacts on wildlife, wildlife habitats and conservation of biological diversity through international, national, regional or local programs.*

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

Objective 11. Training and Education

To improve the implementation of *sustainable forestry* practices through appropriate training and education programs.

Performance Measure 11.1. *Program Participants shall require appropriate training of personnel and contractors so that they are competent to fulfill their responsibilities under the SFI 2015-2019 Forest Management Standard.*

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

11.1.1. *Written statement of commitment to the SFI 2015-2019 Forest Management Standard communicated throughout the organization, particularly to facility and woodland managers, and field foresters.*

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

11.1.2. *Assignment and understanding of roles and responsibilities for achieving SFI 2015-2019 Forest Management Standard objectives.*

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

11.1.3. *Staff education and training sufficient to their roles and responsibilities.*

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

11.1.4. *Contractor education and training sufficient to their roles and responsibilities.*

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

11.1.5. *Program Participants shall have written agreements for the use of qualified logging professionals and/or certified logging professionals (where available) and/or wood producers that have completed training programs and are recognized as qualified logging professionals.*

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

Performance Measure 11.2. *Program Participants shall work individually and/or with SFI Implementation Committees, logging or forestry associations, or appropriate agencies or others in the forestry community to foster improvement in the professionalism of wood producers.*

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

11.2.1. *Participation in or support of SFI Implementation Committees to establish criteria and identify delivery mechanisms for wood producer training courses and periodic continuing education that address:*

- a. awareness of sustainable forestry principles and the SFI program;
- b. best management practices, including streamside management and road construction, maintenance and retirement;
- c. reforestation, invasive exotic plants and animals, forest resource conservation, aesthetics and special sites;
- d. awareness of responsibilities under the U.S. Endangered Species Act, the Canadian Species at Risk Act, and other measures to protect wildlife habitat (e.g., Forests with Exceptional Conservation Value);
- e. awareness of rare forested natural communities as identified by provincial or state agencies, or by credible organizations such as NatureServe, The Nature Conservancy, etc.
- f. logging safety;
- g. U.S. Occupational Safety and Health Administration (OSHA) and Canadian Centre for Occupational Health and Safety (CCOHS) regulations, wage and hour rules, and other provincial, state and local employment laws;
- h. transportation issues;
- i. business management;
- j. public policy and outreach; and
- k. awareness of emerging technologies.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

11.2.2. *The SIC-approved wood producer training programs shall have a continuing education component with coursework that supports the current training programs, safety and the principles of sustainable forestry.*

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

11.2.3. *Participation in or support of SFI Implementation Committees to establish criteria for recognition of logger certification programs, where they exist, that include:*

- a. completion of *SFI Implementation Committee* recognized logger training programs and meeting continuing education requirements of the training program;
- b. independent in-the-forest verification of conformance with the logger certification program standards;
- c. compliance with all applicable laws and regulations including responsibilities under the U.S. Endangered Species Act, the Canadian Species at Risk Act and other measures to protect *wildlife habitat*;
- d. use of *best management practices* to protect water quality;
- e. logging safety;
- f. compliance with acceptable *silviculture* and utilization standards;
- g. aesthetic management techniques employed where applicable; and
- h. adherence to a management or harvest plan that is site specific and agreed to by the forest landowner.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

Objective 12. Community Involvement and Landowner Outreach

To broaden the practice of *sustainable forestry* through public outreach, education, and involvement, and to support the efforts of *SFI Implementation Committees*.

Performance Measure 12.1. *Program Participants* shall support and promote efforts by consulting foresters, state, provincial and federal agencies, state or local groups, professional societies, *conservation organizations*, *Indigenous Peoples* and governments, community groups, sporting organizations, labor, universities, extension agencies, the *American Tree Farm System*® and/or other landowner cooperative *programs* to apply *principles* of sustainable forest management.

NA Conformance Exceeds O.F.I. Major NC Minor NC
Audit Notes: NE

12.1.1. *Support, including financial, for efforts of SFI Implementation Committees.*

NA Conformance Exceeds O.F.I. Major NC Minor NC
Audit Notes: NE

12.1.2. *Support, individually or collaboratively, education and outreach to forest landowners describing the importance and providing implementation guidance on:*

- a. best management practices;
- b. reforestation and afforestation;
- c. visual quality management;
- d. conservation objectives, such as critical wildlife habitat elements, biodiversity, threatened and endangered species, and Forests with Exceptional Conservation Value;
- e. management of harvest residue (e.g., slash, limbs, tops) considers economic, social, environmental factors (e.g., organic and nutrient value to future forests) and other utilization needs;
- f. control of invasive exotic plants and animals;
- g. characteristics of *special sites*; and
- h. reduction of wildfire risk.

NA Conformance Exceeds O.F.I. Major NC Minor NC
Audit Notes: NE

12.1.3. *Participation in efforts to support or promote conservation of managed forests through voluntary market-based incentive programs such as current-use taxation programs, Forest Legacy Program or conservation easements.*

NA Conformance Exceeds O.F.I. Major NC Minor NC
Audit Notes: NE

Performance Measure 12.2. *Program Participants* shall support and promote, at the state, provincial or other appropriate levels, mechanisms for public outreach, education and involvement related to sustainable forest management.

NA Conformance Exceeds O.F.I. Major NC Minor NC
Audit Notes: NE

12.2.1. *Periodic educational opportunities promoting sustainable forestry, such as*

- a. field tours, seminars, websites, webinars or workshops;
- b. educational trips;
- c. self-guided forest management trails;

- d. publication of articles, educational pamphlets or newsletters; or
- e. support for state, provincial, and local *forestry* organizations and soil and water *conservation* districts.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

Performance Measure 12.3. *Program Participants* shall establish, at the state, provincial, or other appropriate levels, procedures to address concerns raised by loggers, consulting foresters, employees, unions, the public or other *Program Participants* regarding practices that appear inconsistent with the *SFI Standard principles and objectives*.

Indicators:

12.3.1. *Support for SFI Implementation Committees (e.g., toll-free numbers and other efforts) to address concerns about apparent nonconforming practices.*

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

12.3.2. *Process to receive and respond to public inquiries. SFI Implementation Committees shall submit data annually to SFI Inc. regarding concerns received and responses.*

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NE

Objective 13. Public Land Management Responsibilities

To participate and implement sustainable forest management on *public lands*.

Performance Measure 13.1. *Program Participants* with forest *management responsibilities on public lands* shall participate in the development of *public land* planning and management processes.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Evidence:

- LMM Chapter 3, Prescription Flow Chart
- Forest Action Plan
- Wildlife Action Plan

Audit Notes:

DOF planning process is outlined in the LM manual. DOF in recent years has developed, 5-year management plans, and annual work plans. Partners and citizens were involved in the process and invited to participate. DOF has held public meetings and open houses to capture input. Input is reviewed by the integration committee.

13.1.1. *Involvement in public land planning and management activities with appropriate governmental entities and the public.*

NA Conformance Exceeds O.F.I. Major NC Minor NC

Evidence:

- Forest Action Plan and Wildlife Action Plan both had stakeholder meetings.

Audit Notes:

DOF open houses for review of management plans.

DOW regularly consults with sister divisions (DOW and DNAP) on input. DOF partners with USFS research and TNC to solicit input. DOW offers cooperation to tribal contacts. DOF has a "Pathways to Participation"

process. DOF provides opportunities thru public meetings and open houses. DOF has a Forest Advisory Council.

13.1.2. *Appropriate contact with local stakeholders over forest management issues through state, provincial, federal or independent collaboration.*

NA Conformance Exceeds O.F.I. Major NC Minor NC

Evidence:

Audit Notes: Open houses and other consultations with various groups.

On the local level, foresters are required to make additional local contacts as part of the activity plan (timber sale or fire). DOF maintains good relationships with county governments and township trustees.

Objective 14. Communications and Public Reporting

To increase transparency and to annually report progress on conformance with the *SFI Forest Management Standard*.

Performance Measure 14.1. A *Program Participant* shall provide a summary audit report, prepared by the *certification body*, to *SFI Inc.* after the successful completion of a certification, recertification or surveillance audit to the *SFI 2015-2019 Forest Management Standard*.

NA Conformance Exceeds O.F.I. Major NC Minor NC (Closed)

Audit Notes: See evidence below.

14.1.1. *The summary audit report submitted by the Program Participant (one copy must be in English), shall include, at a minimum,*

- a. a description of the audit process, *objectives* and scope;
- b. a description of substitute *indicators*, if any, used in the audit and a rationale for each;
- c. the name of *Program Participant* that was audited, including its *SFI* representative;
- d. a general description of the *Program Participant's* forestland included in the audit;
- e. the name of the *certification body* and *lead auditor* (names of the *audit team* members, including *technical experts* may be included at the discretion of the *audit team* and *Program Participant*);
- f. the dates the audit was conducted and completed;
- g. a summary of the findings, including general descriptions of evidence of conformity and any nonconformities and corrective action plans to address them, opportunities for improvement, and exceptional practices; and
- h. the certification decision.

The summary audit report will be posted on the *SFI Inc.* website (www.sfiprogram.org) for public review.

NA Conformance Exceeds O.F.I. Major NC Minor NC (Closed)

Audit Notes: Was not submitted for the 2019 audit but the report was subsequently filed during the 2020 audit with required elements thus warranting closure of this non-conformity. Minor CAR 2020.2 CLOSED.

Performance Measure 14.2. *Program Participants* shall report annually to *SFI Inc.* on their conformance with the *SFI 2015-2019 Forest Management Standard*.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Evidence: MS Teams confirmation, sighting of annual report.

Audit Notes: DOF commits to these indicators. *SFI* progress report has been completed each year. DOF has completed annual progress report with *SFI* sighted and confirmed 10/20/20.

14.2.1. Prompt response to the SFI annual progress report survey.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Evidence:

- Sighted folders with reports dating back to 2014.

Audit Notes:

DOF commits to these indicators. SFI progress report has been completed each year.
DOF has completed annual progress report with SFI.

14.2.2. Record keeping for all the categories of information needed for SFI annual progress report surveys.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: See above.

14.2.3. Maintenance of copies of past survey reports to document progress and improvements to demonstrate conformance to the SFI 2015-2019 Forest Management Standard.

NA Conformance Exceeds O.F.I. Major NC Minor NC

OHDNR website contains audit reports back to initial certification in 2011,

Audit Notes: <http://forestry.ohiodnr.gov/stateforestcertification>. In addition ODNr maintains copies of full audit reports dating back to 2014 as confirmed using screenshare in MS-Teams during the 2020 audit.

Objective 15. Management Review and Continual Improvement

To promote continual improvement in the practice of *sustainable forestry* by conducting a management review and monitoring performance.

Performance Measure 15.1. *Program Participants* shall establish a management review system to examine findings and progress in implementing the *SFI 2015-2019 Forest Management Standard*, to make appropriate improvements in *programs*, and to inform their employees of changes.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Evidence:

- Forest Manager and Certification Coordinator
- LM manual monitoring chapter.

Audit Notes:

- Integration Committee minutes from January and June meetings in 2020.

DOFs approach is outlined in chapter 1 of the LM manual and relies on the integration committee (management review committee composed of Executive decision-makers). The integration committee continues to serve as our mechanism for management review.

15.1.1. System to review commitments, programs and procedures to evaluate effectiveness.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Evidence:

- Certification Coordinator role
- LM manual Chapter 1 and 12, Monitoring.

Audit Notes:

- Integration Committee

DOFs approach is outlined in chapter 1 of the LM manual and relies on the integration committee (management review committee). The integration committee continues to serve as our mechanism for management review.

15.1.2. System for collecting, reviewing, and reporting information to management regarding progress in achieving SFI 2015-2019 Forest Management Standard objectives and performance measures.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Evidence:

- LMM Chapter 12
- Certification Coordinator

DOF’s host of monitoring activities is comprehensive and outlined in chapter 12 of the LM manual. The “Ohio Division of Forestry Indicators and Evidence Matrix - 2015-2019 Standard” is used each year to assess the program. For each SFI Indicator the table includes “DOF Evidence of Conformance” and notes regarding “Responsibility / Location / Program / Comment”.

Audit Notes:

An internal audit was performed in September 2019 to evaluate overall organizational conformance with FSC and SFI forest sustainability standards, with a focus on statewide issues or state forest management issues that are managed at the central office and not district offices. Chad Sanders and Tom Macy led the internal audit. Findings included a BMP issue on Zaleski State Forest. Although planned and scheduled an 2020 internal audit was not completed due to the Covid-19 pandemic which led to some down-time for the Department, restrictions and other delays. ODNR plans to complete an internal audit in 2021.

15.1.3. Annual review of progress by management and determination of changes and improvements necessary to continually improve conformance to the SFI 2015-2019 Forest Management Standard.

NA Conformance Exceeds O.F.I. Major NC Minor NC

Evidence:

- Integration Committee

DOF accomplishes annual review during the summer meeting of the Integration Committee. Proposed changes are communicated to staff and the certification committee for implementation.

Audit Notes:

OHDNR accomplished its management review via 2 Integration Meetings on 1/15/20 and 6/10/2020. During the 1/15/2020 meeting the Committee discussed Certifications, the 5-year Management Plan, 2010 HCVP assessment plan for revision, 2010 RSA assessment plan for revision, options for re-running Growth and Yield / Harvest levels (based on 2009 data). During the 6/10/2020 meeting the previous topics were revisited and additionally reviewed Public Open Houses and options, and Annual forestry training (Refresher).

END OF CHECKLIST

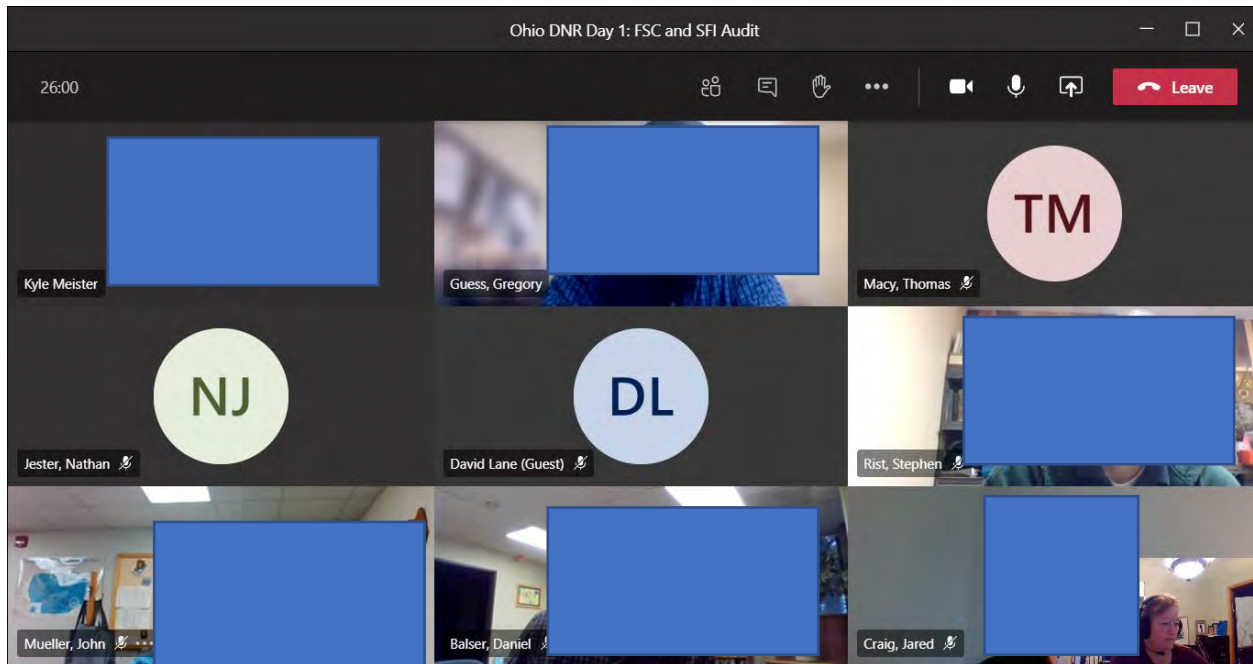
Appendix 5 –Site Notes and Interviewees

District 4
<p>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.</p>
<p>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.</p>
<p>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.</p>
<p>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 several invasive species (e.g., Ailanthus, Pauwlonia, 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>
District 2
<p>5. 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>6. 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</p>

Grove Mine memorial.
<p>7. 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 <i>Quercus</i> 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>
<p>8. 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>

Appendix 6 – Meeting Attendance

Opening meeting attendees, MS Teams. Faces of DNR staff blocked for privacy.



From: Chad.Sanders@dnr.ohio.gov <Chad.Sanders@dnr.ohio.gov>

Sent: Thursday, October 22, 2020 10:47:53 AM

To: Beth Jacqmain <BJacqmain@scsglobalservices.com>

Cc: Kyle Meister <KMeister@scsglobalservices.com>

Subject: RE: Closing meeting attendance

Chad Sanders – Certification Coordinator

Daniel Balser – Chief

David Lane – Assistant Chief

Greg Guess – Assistant Chief

Nate Jester – District 5 Manager

Stephen Rist – District 4 Manager

John Mueller – District 3 Manager

Tom Macy – Forest Health Coordinator

Jared Craig – Land Management

Courtney Cawood – Forest Manager

Will McCormick – Forest Manager

Appendix 7 – Schedule and Focus Areas for Next Audit

Proposed Audit Dates for Next Audit

Proposed Audit Dates	Date not set
Rationale for Dates (if applicable)	Recert, uncertainties around Covid-19 pandemic WRT recert on-site

Special Instructions or Scoping Notes for Next Regularly Scheduled Annual Audit

<input 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 checked="" type="checkbox"/>	Suggested requirements to include during the next audit: Observe harvest or contractor operations to review PPE use and other safety implementation. Evaluate status of public meetings for FMPs.
<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: