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FM-06 - 24 July 2013



Forest Management  
**2014 Annual audit**  
Report for:

**Downeast Lakes Land  
Trust**  
In  
**Grand Lake Stream, Maine USA**

Report Finalized: July 2, 2014  
Audit Dates: June 5-6, 2014  
Audit Team: Charles Levesque

Certificate code: RA-FM/COC-002682  
Certificate issued: October 16, 2012  
Certificate expiration: October 15, 2017

Organization Contact: Laura Hunt, Office  
Manager  
Address: 4 Water Street  
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### Standard Conversions

1 mbf = 4.8 m<sup>3</sup>  
1 mbf = 2 cords  
1 cord = 2.4 m<sup>3</sup>  
1 cord = 0.5 mbf  
1 gallon (US) = 3.78541 liters  
1m<sup>3</sup> = 0.41 cords  
1m<sup>3</sup> = 0.21 mbf

1 inch = 2.54 cm  
1 foot = 0.3048 m  
1 yard = 0.9144 m  
1 mile = 1.60934 km  
1 acre = 0.404687 hectares

1 pound = 0.4536 kg  
1 US ton = 907.185 kg  
1 UK ton = 1016.047 kg

# 1. INTRODUCTION

The purpose of this report is to document annual audit conformance of Downeast Lakes Land Trust, hereafter referred to as Forest Management Enterprise (FME) or DLLT. The report presents the findings of Rainforest Alliance auditors who have evaluated company systems and performance against the Forest Stewardship Council™ (FSC®) forest management standards and policies. Section 2 of this report provides the audit conclusions and any necessary follow-up actions by the company through nonconformity reports.

The Rainforest Alliance founded its previous SmartWood program in 1989 to certify responsible forestry practices and has grown to provide a variety of auditing services. Rainforest Alliance certification and auditing services are managed and implemented within its RA-Cert Division. All related personnel responsible for audit design, evaluation, and certification/verification/validation decisions are under the purview of the RA-Cert Division, hereafter referred to as Rainforest Alliance or RA.

This report includes information which will become public information. Sections 1-3 and Appendix I will be posted on the FSC website according to FSC requirements. All other appendices will remain confidential. A copy of the public summary of this report can be obtained on the FSC website at <http://info.fsc.org/>.

Dispute resolution: If Rainforest Alliance clients encounter organizations or individuals having concerns or comments about Rainforest Alliance and our services, these parties are strongly encouraged to contact Rainforest Alliance regional or Headquarters offices directly (see contact information on report cover). Formal complaints or concerns should be sent in writing.

## 2. AUDIT FINDINGS AND RESULTS

### 2.1. Audit conclusion

<b>Based on Company's conformance with FSC and Rainforest Alliance requirements, the audit team makes the following recommendation:</b>	
<input checked="" type="checkbox"/>	<b>Certification requirements <u>met</u>, certificate maintenance recommended</b> No NCR(s) issued
<input type="checkbox"/>	<b>Certification requirements <u>not met</u>:</b>
Additional comments:	The lead staff person of the FME, the organization CEO, was part of the 2014 audit process but ended his employment on the last day of the audit to go to another job in the state. This individual has been the key day-to-day overseer to assure conformance of FME operations to the FSC Standard. A successor lead for the FSC certificate has been named (another staff person is listed in this report but the direct contact is a volunteer board member until a successor CEO is hired). This change is important to the certificate and worth noting relative to on-going conformance to the Standard.
Issues identified as controversial or hard to evaluate.	There were no issues identified as controversial or hard to evaluate during this audit.

**2.2. Changes in FMEs’ forest management and associated effects on conformance to standard requirements:**

Under the staff CEO change that is taking place as this audit is being conducted, the Office Manager, Laura Hunt, has become the day-to-day lead for the FSC certification administration. The implementation is under the supervision of a Board member and the Forestry Committee of the FME. The individuals involved in taking over the FSC certification responsibility demonstrated commitment and knowledge of the certification. The FME is committed to staying in conformance to the FSC Standard.

The total area of the DLLT FMU had previously been reported as 13,652 hectares. Based on updated GIS information, the FME now reports the total area in the DLLT FMU as 13,641 hectares. This refinement of the FMU area was confirmed to be based on updated GIS information and the change was made to improve the accuracy of the total area of the FMU.

There have been no other changes in the FME’s forest management or associated effects on conformance to the FSC Standard’s requirements since previous audit.

**2.3 Excision of areas from the scope of certificate**

<input checked="" type="checkbox"/> Not applicable. Check this box if the FME has not excised areas from the FMU(s) included in the certificate scope as defined by FSC-POL-20-003. <i>(delete the rows below if not applicable)</i>
<input type="checkbox"/> The FME has excised areas from FMU(s) included in the scope of the certificate since the last assessment/audit? If yes complete sections A, B and C below
<input type="checkbox"/> The FME excised areas from FMU(s) included in the scope of the certificate prior to the last assessment/audit, and conformance with FSC-POL20-003 was evaluated? If yes complete sections B and C below.

**2.4. Stakeholder issues** *(complaints/disputes raised by stakeholders to FME or Rainforest Alliance since previous evaluation):*

A permitted bear-baiting site was accidentally partially harvested since the last audit and the hunting guide that maintains the site was upset with the action. The site was viewed during the field audit and the hunting guide was contacted about the incident. No laws or regulations were broken as a result of the incident and the FME has apologized to the affected hunting guide about the issue as the FME encourages use of its land for this, among many other stakeholder purposes. This incident did not affect conformance to the FSC Standard.

**2.5. Conformance with applicable nonconformity reports**

The section below describes the activities of the certificate holder to address each applicable non-conformity report (NCR) issued during previous evaluations. For each NCR a finding is presented along with a description of its current status using the following categories. Failure to meet NCRs will result in nonconformances being upgraded from minor to major status with conformance required within 3 months with risk of suspension or termination of the Rainforest Alliance certificate if Major NCRs are not met. The following classification is used to indicate the status of the NCR:

Status Categories	Explanation
Closed	Operation has successfully met the NCR.

Open	Operation has either <u>not met</u> or has <u>partially met</u> the NCR.
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Check if N/A (there are no open NCRs to review)

## 2.6. New nonconformity reports issued as a result of this audit

There were no nonconformity reports (NCRs) issued during this audit.

## 2.7. Audit observations

**Observations** can be raised when issues or the early stages of a problem are identified which does not of itself constitute a nonconformance, but which the auditor considers may lead to a future nonconformance if not addressed by the client. An observation may be a warning signal on a particular issue that, if not addressed, could turn into a NCR in the future (or a pre-condition or condition during a 5 year re-assessment).

There were no observations (OBS) issued during this audit.

## 3. AUDIT PROCESS

### 3.1. Auditors and qualifications:

Auditor Name	Charles Levesque	Auditor role	Lead Auditor
Qualifications:	President, Innovative Natural Resource Solutions LLC (founded 1994). Education: B.S.F. in forest management from University of New Hampshire, 1979; ISO 14001 Lead Auditor Training, 2000. Certifications: RABQSA – Lead EMS Auditor – Environmental; Society of American Foresters Certified Forester and Certified Forest Auditor; New Hampshire Licensed Forester #281. Over 30 years of experience in forestry, natural resource consulting, natural resource non-profit management and environmental auditing. Co-author of “Forest Certification Auditing” published by the Society of American Foresters. Has lead or conducted sustainable forest management auditing on over 5 million acres in North American under the Sustainable Forestry Initiative, Forest Stewardship Council and American Tree Farm System since the late 1990s and has lead over 100 chain-of-custody under SFI, FSC and the Programme for the Endorsement of Forest Certification.		

### 3.2. Audit schedule

Date	Location /Main sites	Principal Activities
5/20/14	Offsite at auditor’s office	Audit documents due from DLLT to Lead Auditor
5/20/14-6/4/14	Offsite at auditor’s office	Audit document review, stakeholder calls
6/5/14	DLLT offices, field audit	Opening meeting and forest property sites, Grand Lake Stream, Maine
6/6/14	DLLT field sites audit and DLLT offices	DLLT forest property sites audit, Grand Lake Stream, Maine and closing meeting

6/7-13/14	Offsite	Evidence review, stakeholder contact, report writing
6/13/14		First draft of report due to Rainforest Alliance
Total number of person days used for the audit:3.5 = number of auditors participating 1 X average number of days spent in preparation, on site and post site visit follow-up including stakeholder consultation 3.5		

### 3.3. Sampling methodology:

The DLLT certificate is a single Forest Management Unit (FMU) Certificate containing 13,641 hectares. As a single FMU certificate no specific sampling intensity is required. Field audit sites were chosen to include the following sites to address issues of risk and diversity: current harvesting sites, recent harvested sites, recent past road building, current road building and planned road building, culvert replacements, shoreline and stream buffers, wildlife habitat improvement areas, ecological reserve area and boundary, hiking trails, ATV/snowmobile trails, old harvest sites for regeneration, community firewood harvesting areas, abutting camp sites, wetland areas and boundary lines at various locations.

### 3.4. Stakeholder consultation process

Stakeholders were contacted before, during and after the field audit. Several stakeholders were visited on site during the field audit. No formal stakeholder notification was conducted as part of this audit. Specific stakeholders were contacted to gather evidence on conformance with the FSC standards evaluated during this audit.

Stakeholder type (i.e. NGO, government, local inhabitant etc.)	Stakeholders notified (#)	Stakeholders consulted or providing input (#)
NGO	0	4
Government	0	3
Local inhabitant	0	4
Local tribe	0	1
Forest industry	0	6

### 3.5. Changes to Certification Standards

Forest stewardship standard used in audit:	FSC-US Forest Management Standard (v1.0); FM-35 RA COC Standard for FME
Revisions to the standard since the last audit:	<input checked="" type="checkbox"/> No changes to standard. <input type="checkbox"/> Standard was changed (detail changes below)
Changes in standard:	none
Implications for FME:	Not applicable - no new requirements

### 3.6. Review of FME Documentation and required records

#### a) All certificate types

Required Records	Reviewed
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Complaints received by FME from stakeholders, actions taken, follow up communication	Y <input checked="" type="checkbox"/> N <input type="checkbox"/>
Comments: E-mails were reviewed regarding issues of concern by two stakeholders.	
Accident records	Y <input type="checkbox"/> N <input checked="" type="checkbox"/>
Comments: There were no accidents on the FME since the last audit.	
Training records	Y <input checked="" type="checkbox"/> N <input type="checkbox"/>
Comments: Electronic documents for training records and paper records were reviewed for the FME employees and a contractor.	
Operational plan(s) for next twelve months	Y <input checked="" type="checkbox"/> N <input type="checkbox"/>
Comments: Summer 2014 Forest Operation Plan document reviewed.	
Inventory records	Y <input type="checkbox"/> N <input checked="" type="checkbox"/>
Comments: Records for inventory have not changed in the last year since the previous audit.	
Harvesting records	Y <input checked="" type="checkbox"/> N <input type="checkbox"/>
Comments: Electronic records of harvest volumes and harvest inspections were reviewed.	

## APPENDIX I: FSC Annual Audit Reporting Form:

(NOTE: form to be prepared by the client prior to audit, information verified by audit team)

<b>Forest management enterprise information:</b>			
<b>FME legal name:</b>	Downeast Lakes Land Trust		
<b>FME Certificate Code:</b>	SW-FM/CoC – 002682		
<b>Reporting period</b>	Previous 12 month period	<b>Dates</b>	01/01/2013 – 12/31/2013

### 1. Scope Of Certificate

Type of certificate: single FMU	SLIMF Certificate: not applicable		
<b>New FMUs added since previous evaluation</b>	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>	
<b>Group Certificate:</b> Updated of FMU and group member list provided in <b>Appendix VII-a:</b>			
<b>Multi-FMU Certificate:</b> List of new FMUs added to the certificate scope:			
FMU Name/Description	Area	Forest Type	Location Latitude/Longitude <sup>1</sup>
	ha		
	ha		
	ha		

### 2. FME Information

<input checked="" type="checkbox"/> No changes since previous report (if no changes since previous report leave section blank)	
Forest zone	
Certified Area under Forest Type	
- Natural	hectares
- Plantation	hectares
Stream sides and water bodies	Linear Kilometers

### 3. Forest Area Classification

<input type="checkbox"/> No changes since previous report (if no changes since previous report leave section blank)	
Total certified area (land base)	13,641 ha
1. Total forest area	ha
a. Total production forest area	ha
b. Total non-productive forest area (no harvesting)	ha
- Protected forest area (strict reserves)	ha
- Areas protected from timber harvesting and managed only for NTFPs or services	ha
- Remaining non-productive forest	ha
2. Total non-forest area (e.g., water bodies, wetlands, fields, rocky outcrops, etc.)	ha

### 4. High Conservation Values identified via formal HCV assessment by the FME and respective areas

<input checked="" type="checkbox"/> No changes since previous report (if no changes since previous report leave section blank)			
Code	HCV TYPES <sup>2</sup>	Description:	Area

<sup>1</sup> The center point of a contiguous FMU or group of dispersed properties that together comprise a FMU in latitude and longitude decimal degrees with a maximum of 5 decimals.

<sup>2</sup> The HCV classification and numbering follows the ProForest HCVF toolkit. The toolkit also provides additional explanation regarding the categories. Toolkit is available at <http://hcvnetwork.org/library/global-hcv-toolkits>.

HCV1	Forest areas containing globally, regionally or nationally significant concentrations of biodiversity values (e.g. endemism, endangered species, refugia).		ha
HCV2	Forest areas containing globally, regionally or nationally significant large landscape level forests, contained within, or containing the management unit, where viable populations of most if not all naturally occurring species exist in natural patterns of distribution and abundance.		ha
HCV3	Forest areas that are in or contain rare, threatened or endangered ecosystems.		ha
HCV4	Forest areas that provide basic services of nature in critical situations (e.g. watershed protection, erosion control).		ha
HCV5	Forest areas fundamental to meeting basic needs of local communities (e.g. subsistence, health).		ha
HCV6	Forest areas critical to local communities' traditional cultural identity (areas of cultural, ecological, economic or religious significance identified in cooperation with such local communities).		ha
Number of sites significant to indigenous people and local communities			

### 5. Workers

Number of workers including employees, part-time and seasonal workers:		
Total number of workers	4 workers	
- Of total workers listed above	3 Male	1 Female
Number of serious accidents	0	
Number of fatalities	0	

### 6. Pesticide Use

<input checked="" type="checkbox"/> FME does not use pesticides. (delete rows below)
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## APPENDIX VI: Rainforest Alliance Database Update Form

**Instructions:** For each FSC certificate, Rainforest Alliance is required to upload important summary information about each certificate to the FSC database (FSC-Info). During each annual audit RA auditors should work with the certificate holder to verify that the information posted on FSC-Info is up to date as follows:

1. Print out current Fact Sheet prior to audit from FSC-Info website or direct link to fact sheets (<http://www.fsc-info.org>)
2. Review information with the FME to verify all fields are accurate.
3. If changes are required (corrections, additions or deletions), **note only the changes** to the database information in the section below.
4. The changes identified to this form will be used by the RA office to update the FSC database.

Is the FSC database accurate and up-to-date? YES  NO   
(if yes, leave section below blank)

### Client Information (contact info for FSC website listings)

<b>Organization name</b>			
<b>Primary Contact</b>	Laura Hunt	<b>Title</b>	Office Manager
<b>Primary Address</b>	4 Water Street, Grand Lake Stream, ME 04668	<b>Telephone</b>	
<b>Address</b>	4 Water Street, Grand Lake Stream, ME 04668	<b>Fax</b>	
<b>Email</b>	lhunt@downeastlakes.org	<b>Webpage</b>	

### Forests

<b>Change to Group Certificate</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No	<b>Change in # of parcels in group</b>	<b>total members</b>
<b>Total certified area</b>		13,641 Hectares (or)	33,707.5 Acres

### Species (note if item to be added or deleted)

Scientific name	Common name	Add/Delete

### Products

FSC Product categories added to the FM/CoC scope (FSC-STD-40-004a)		
Level 1	Level 2	Species

