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Forest Management
2013 Annual audit
Report for:

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

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Audit Team: Charles Levesque

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Standard Conversions

1 mbf = 4.8 m³
 1 mbf = 2 cords
 1 cord = 2.4 m³
 1 cord = 0.5 mbf
 1 gallon (US) = 3.78541 liters
 1 m³ = 0.41 cords
 1 m³ = 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 (DLLT), 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 will be posted on the FSC website according to FSC requirements. All 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

Based on Company's conformance with FSC and Rainforest Alliance requirements, the audit team makes the following recommendation:	
<input checked="" type="checkbox"/>	Certification requirements <u>met</u>, certificate maintenance recommended No NCR(s) issued
<input type="checkbox"/>	Certification requirements <u>not met</u>:
Additional comments:	None
Issues identified as controversial or hard to evaluate.	None

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

There have been no changes in the FME's forest management or systems.

2.3 Excision of areas from the scope of certificate

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. (delete the rows below if not applicable)

2.4. Stakeholder issues

There were three stakeholder issues during this audit:

- a. A stakeholder voiced concern to the auditor in a phone interview and subsequent e-mails that a harvest conducted during the late summer of 2012 and winter of 2012-13 was damaging deer habitat (Indicator 6.3.b most applicable). The FME has a "Focus Species Plan" that is part of the forest management plan for the FMU. White-tailed deer are a focus species that the FME is managing to encourage and using as a representative for closed canopy conifer forest. Specific areas on the FMU were designated by the FME for management emphasizing white-tailed deer habitat, and within these areas, all habitat was classified as part of the Focus Species Plan as primary, secondary or non-habitat for white-tailed deer. The area identified by the stakeholder was not primary deer habitat but included some secondary habitat. The harvest prescription was reviewed and approved by the FME Forestry Committee and wildlife biologists who were brought in to review and comment on the prescription to assure that deer habitat was not being damaged. Observations in the field during the audit confirmed that only partial harvests were conducted in these areas and significant crown closure remained in the stands in question. Deer tracks were observed in this area during the audit. The FME is in conformance with 6.3.b both in letter and spirit.
- b. A stakeholder who is granted a free permit to harvest firewood on the FME said that he had to walk too far from where he was cutting the firewood to where his truck could be located based on how the FME set up the firewood gathering area. The FME grants firewood permits too many individuals and hasn't heard this concern from this permit holder or anyone else being granted the free permit. FME will contact the permit holder to discuss the issue and says it is always open to discuss these kinds of issues.
- c. A stakeholder that works for the holder of a conservation easement on the FMU said that there was a minor concern that a gravel boat access ramp to a major lake adjacent to the FMU was eroding and needed best management practices improvements (Indicator 6.5.b). A field investigation revealed a very minor soil erosion issue with the graveled way. No soil material had moved anywhere close to the lake water at the boat ramp. The FME has plans to install a broad-based dip during the current field season to alleviate the issue. The FME is in conformance with 6.5.b and will improve the situation with its planned BMP work.

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.

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 new nonconformity reports issued during this audit.

2.7. Audit observations

There were no new audit observations issued during this audit.

3. AUDIT PROCESS

3.1. Auditors and qualifications:

Auditor Name	Charles A. 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
6/14-24/13	Off-site	Audit preparation, review of written audit evidence, stakeholder calls
6/25/13	FME office and FMU	Opening meeting, document review, field audit
6/26/13	FMU	Field audit and closing meeting

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 13,652 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, shorefront and stream buffers, wildlife habitat improvement areas, ecological reserve area and boundary, 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 consulted(#)	Stakeholders providing input (#)
NGO	3	2
Government	2	2
Local inhabitant	12	8
Contractor	1	1

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
Complaints received by FME from stakeholders, actions taken, follow up communication	Y <input checked="" type="checkbox"/> N <input type="checkbox"/>
Comments: See 2.4 Stakeholder issues above.	
Accident records	Y <input type="checkbox"/> N <input checked="" type="checkbox"/>
Comments: No accidents have occurred since last audit.	
Training records	Y <input checked="" type="checkbox"/> N <input type="checkbox"/>

Comments: Training records reviewed for staff and contractor staff.	
Operational plan(s) for next twelve months	Y <input checked="" type="checkbox"/> N <input type="checkbox"/>
Comments: General plans discussed. Formal approval process by FME pending for plans beyond summer 2013.	
Inventory records	Y <input checked="" type="checkbox"/> N <input type="checkbox"/>
Comments: Records are up to date.	
Harvesting records	Y <input checked="" type="checkbox"/> N <input type="checkbox"/>
Comments: Harvest records were viewed both as site specific harvest documents and summary information from all harvests that have occurred in last year.	

APPENDIX I: FSC Annual Audit Reporting Form:

Forest management enterprise information:			
FME legal name:	Downeast Lakes Land Trust		
FME Certificate Code:	RA-FM/CoC –002682		
Reporting period	Previous Jan-Dec calendar year	Dates	2012

1. Scope Of Certificate			
Type of certificate: single FMU	SLIMF Certificate: not applicable		
New FMUs added since previous evaluation	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>	
Group Certificate: Updated of FMU and group member list provided in Appendix VII-a:			
Multi-FMU Certificate: List of new FMUs added to the certificate scope:			
FMU Name/Description	Area	Forest Type	Location Latitude/Longitude ¹
	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 checked="" type="checkbox"/> No changes since previous report (if no changes since previous report leave section blank)			
Total certified area (land base)			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

¹ 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.

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

No changes since previous report (if no changes since previous report leave section blank)

Code	HCV TYPES ²	Description:	Area
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	3workers	
- Of total workers listed above	2 Male	1 Female
Number of serious accidents	0	
Number of fatalities	0	

6. Pesticide Use

FME does not use pesticides. (delete rows below)

² 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>.