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FM-06 - 24 July 2013



Forest Management
2016 Annual audit
Report for:

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

Report Finalized: 27 June 2016
Audit Dates: 28-29 April, 2016
Audit Team: Charles A. Levesque,
Lead Auditor

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

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Standard Conversions
1 mbf = 4.8 m ³
1 mbf = 2 cords
1 cord = 2.4 m ³
1 cord = 0.5 mbf
1 gallon (US) = 3.78541 liters
1m ³ = 0.41 cords
1m ³ = 0.21 mbf
100 tons hardwood = 97 m ³
100 tons =101 m ³
1 acre = 0.404687 hectares

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

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:	FME forest manager who has done an exemplary job maintaining the operations in conformance of the FSC Standard, is leaving to take another position. A new forest manager will be hired prior to the next audit.
Issues identified as controversial or hard to evaluate.	

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

Since the last audit, the biggest change in the forest management system is that the forest manager, who has been with the FME and has overseen FSC conformance, is leaving shortly after this audit to take a position with another entity. The FME is in the process of interviewing candidates for the forest manager position and will hire someone soon according to the executive director.

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 *(complaints/disputes raised by stakeholders since previous evaluation):*

A local individual and former board member of the DLLT voiced several complaints to DLLT and the State of Maine relative to water quality, culverts, roads and a boat launch. Two of the sites were on a main truck road where, at the time the stakeholder took photographs, a culvert was plugged and the result was a small flooded area on the road and, on the second, a culvert was overflowed due to the low installation of culvert and spring runoff was high. In the third instance, the stakeholder said that a boat launch, which is in the process of being closed and moved to a more suitable location, was inappropriately sited and resulted in some erosion from vehicles unloading boats. All the issues are related to Indicator 6.5.b relative to Best Management Practices for water quality. These issues were investigated by the auditor during the audit in the field and the auditor spoke with DLLT staff, and the state officials contacted by the stakeholder about the complaint. The issues had been resolved prior to the audit and were in conformance with the Standard as observed during the audit.

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 are no new non-conformities identified during this audit.

2.7. Audit observations

There are no new observations identified 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 35 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
4/20-27/16	Off Site	Audit evidence review, stakeholder contact, call with auditee
4/28/16	FME office and field	Opening meeting, finish evidence review, COC, and other documents and procedures as necessary; Field audit – various sites FME property
4/29/16	FME office and field	Field audit – various sites, FME property; Closing meeting
4/30 -5/6/16	Off Site	Report writing, stakeholder consultation
Total number of person days used for the audit:4.5 = number of auditors participating 1 X average number of days spent in preparation, on site and post site visit follow-up including stakeholder consultation 4.5		

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 sampling sites chosen included recently harvested sites, road work, operations near water, HCV locations, regeneration sites, recreation sites, areas that were part of the stakeholder complaint and areas with sensitive resources.

3.4. Stakeholder consultation process

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 (#)
Government	0	3
Abutters	0	2
Local residents	0	2
NGOs	0	1
Contractors	0	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 FMEd
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: A complaint was received by FME and RA from a local resident regarding water quality issues related to roads on the property. State of Maine Forest Ranger and District Forester had previously been contacted by stakeholder about this as well. Auditor contact with State of Maine employees showed that their issues had been addressed by FME actions. Auditor observations confirmed that situations were remedied and sites were in conformance with the Standard.	
Accident records	Y <input type="checkbox"/> N <input checked="" type="checkbox"/>
Comments: There were no accidents since the last audit.	
Training records	Y <input checked="" type="checkbox"/> N <input type="checkbox"/>
Comments: Training records of forest manager were reviewed.	
Operational plan(s) for next twelve months	Y <input checked="" type="checkbox"/> N <input type="checkbox"/>
Comments: Proposed operational plans for summer and winter operations were provided by the FME forest manager.	
Inventory records	Y <input checked="" type="checkbox"/> N <input type="checkbox"/>
Comments: Electronic inventory records were shown to auditor by the forest manager.	
Harvesting records	Y <input checked="" type="checkbox"/> N <input type="checkbox"/>

Comments: Electronic harvesting records were provided by the forest manager.

APPENDIX I: FSC Annual Audit Reporting Form:

Note: 1 acre = 0.404687 hectares

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

Forest management enterprise information:			
FME legal name:	Downeast Lakes Land Trust		
FME Certificate Code:	RA-FM/CoC – 002682		
Reporting period	Previous 12 month period	Dates	1/1/2015-12/31/2015

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

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)	

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.

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)

Note: 1 acre = 0.404687 hectares

Client Information (contact info for FSC website listings)

Organization name			
Primary Contact	Brittany Mauricette	Title	Forest Manager
Primary Address		Telephone	
Address		Fax	
Email	bmauricette@downeastlakes.org	Webpage	

Forests

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