

# The Conservation Fund

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Chapel Hill, NC 27514

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Caspar, California 95420

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

Surveillance Audit





## NSF Forestry Program Audit Report

### A. Certificate Holder Information

<b>Certificate Holder</b>	The Conservation Fund		
<b>Customer Number</b>	C0144679		
<b>Contact Information (Name, title, phone &amp; email)</b>	Brian Schneider, Forest Operations Manager, Working Forest Fund® Office number: 828-785-2555 <a href="mailto:bschneider@conservationfund.org">bschneider@conservationfund.org</a>  Holly Newberger, Program Coordinator, North Coast Forest Conservation Program Office number: 707-962-0712 <a href="mailto:hnewberger@conservationfund.org">hnewberger@conservationfund.org</a>		
<b>Scope of Certification</b>	Management of lands in The Conservation Fund's Working Forest Fund and related properties including SFI objectives 1-12, 14 and 15. SFI Forest Management code: NSF-SFI-FM-C0144679.		
<b>Scope is accurate and appropriate, and matches on certificate, FRS and audit plan.</b>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
<b>Locations Included in the Certification</b> Note: may be listed as plain text or included in an appendix or a separate file.	<b>Dual-Certified Properties</b>		
		<b>State</b>	<b>Acres</b>
	Garcia	CA	24,000
	Big River/Salmon Creek	CA	16,050
	Gualala	CA	13,913
	Buckeye	CA	19,650
	Success Pond*	NH	8,910
	Penfield	PA	2,041
	Cranberry Lake*	NY	8,162
	McConnell Pond	VT	4,638
	Reed*	ME	32,431
	East Grand Lake	ME	4,544
	Clarion Junction	PA	32,598
	<b>SFI-Only Properties (Existing)</b>		
		<b>State</b>	<b>Acres</b>
	Little River Canyon Preserve	AL	58
	Mendocino National Forest	CA	280
	Cleveland National Forest	CA	306
	Okefenokee NWR	GA	9,376
	Chattahoochie	GA	215
	Pinhoti Trail	GA	1,511
	Maritime Marine WMA	MD	100
	Galestown Creek	MD	28
	Lower Devil's Swamp Little Biloxi Wolf River	MS	1,928
Reeves Jackson	NC	1,276	
Bald Cap	NH	1,227	
Francis Marion	SC	10	
Redtown	TX	908	
Big Thicket	TX	594	
Petersburg	VA	212	
Biddle/Bray	VT	290	
AT Bridgewater Barnard	VT	217	
Spruce Peak	VT	14	
Canaan Valley Refuge	WV	1	



	CFI*	GA	14,225
	Brunswick*	NC	3,670
	Yankee	NH	9767
		VT	14294
	Twin Lakes	WI	13,732
	Logan*	WV	16,229
	Skinner MT	TN	11,722
	Cowee	NY	14,064
		VT	6,278
	Pleasant River Headwaters	ME	26,740
	Haynes	ME	15,868
	Chesapeake	VA	8,710
	<b>New SFI 2020</b>		
<b>Property</b>	<b>State</b>	<b>Acres</b>	
Bunker Hill Covered Bridge	NC	3	
Stateline	GA	10,369	
Three Rivers	NY	32,919	
Roanoke River (Stanley)	VA	7,878	
<b>Significant Changes to Operations or to the Standard(s)</b>	Ongoing acquisition and sale of properties.		

**B. Audit Team**

<b>Lead Auditor</b>	Tucker Watts
<b>Audit Team Member(s)</b>	Michelle Mateo

**C. Site Visits**

<b>Date and Location of Each Visit</b>	September 14 – Pleasant River Headwaters September 15 – Reed Plantation; East Grand Lake October 6 – Garcia October 7 – Big River November 13 – Roanoke River November 16 – Three Rivers
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**D. Audit Results**

<b>Auditor Recommendation</b>	<input checked="" type="checkbox"/> Grant, maintain or renew certification <input type="checkbox"/> Grant, maintain or renew certification pending closure of CARs <input type="checkbox"/> Grant, maintain or renew certification pending follow-up assessment <input type="checkbox"/> Do not grant, maintain or renew certification (notify NSF office immediately)
<b>Number and Summary of Findings of "Exceeds the Requirements"</b>	0
<b>Number and Summary of Findings of "Opportunity for Improvement"</b>	0
<b>Number and Summary of Findings of "Minor Nonconformity"</b>	0
<b>Number and Summary of Findings of "Major Nonconformity"</b>	0
<b>Summary of review of nonconformities from previous audit(s)</b>	0
<b>Notes from Opening and Closing Meetings</b>	All agenda items covered; nothing new to note.



All logos and/or labels, including ANSI, ANAB, SFI, PEFC, ATFS, etc. are utilized correctly in accordance with NSF policies.

- Yes
- No (a finding of nonconformity should be issued)
- N/A (not using any labels or logos on any marketing materials, website, finished products, etc.)

**E. Surveillance Review**

**Explain how the management system is capable of meeting the applicable requirements and expected outcomes of the audit**

Answer

Capability of the management system is demonstrated by the very low number of nonconformities identified during annual audits and the continued high performance during a time on changing markets and uncertainty caused by the Covid-19 Virus and forest fires. The company continues to emphasis a strong commitment for the implementation of their SFI Program.

**F. Recertification Review**

**Consider the performance of the program over the cycle through a review of all audits in the previous certification cycle, internal audits, management reviews, corrective actions and continual improvement. Describe the evidence supporting:**

- effective interaction between all parts of the program and its overall effectiveness,
- overall effectiveness of the system in its entirety considering internal and external changes,
- demonstrated commitment by top management to maintain the system and maintain continuous improvement,
- program contribution to the achievement of the client’s policy and objectives, and the intended results.

**If there were any repeat findings during the audit cycle that indicate systemic issues, explain how they were addressed.**

Answer

N/A

**G. Appendices**

Appendix 1	Audit Notification Letter and Audit Agenda
Appendix 2	SFI Forest Management Public Summary Report
Appendix 3	Audit Standard Checklist - SFI Forest Management Standard
Appendix 4	Visits to Field Sites
Appendix 5	Meeting Attendance
Appendix 6	Forestry Program COVID-19 Report Appendix



Appendix 1

Audit Notification Letter

September 18, 2020

Brian Schneider, Forest Operations Manager, Working Forest Fund®
The Conservation Fund
P O Box 684
Bangor, ME 04402

RE: 2020 SFI 2015-2019 Forest Management Surveillance Audit

Dear Brian,

As we discussed, I will be conducting the audit of your program's continued conformance to the SFI 2015-2019 Forest Management Standard as described in the attached itinerary. We have recently confirmed that these dates are still appropriate for the audits. We will need to audit 2 new properties. Michelle will audit the Three Rivers property, and I will be auditing the Roanoke River property. The California portion of the audits will be conducted by Michelle Mateo and myself.

Audit Scope

The audit will be a surveillance audit to the SFI 2015-2019 Forest Management Standard and a scope expansion. As such, selected requirements of the SFI 2015-2019 Forest Management Standard will be reviewed.

Locations Included in the Certification

Table with 3 columns: Dual-Certified Properties, State, Acres. Rows include Garcia, Big River/Salmon Creek, Gualala, Buckeye, Success Pond\*, Penfield, Cranberry Lake\*, McConnell Pond, Reed\*, East Grand Lake, Clarion Junction, Chesapeake.

Table with 3 columns: SFI-Only Properties (Existing), State, Acres. Rows include Little River Canyon Preserve, Mendocino National Forest, Cleveland National Forest, Okefenokee NWR, Chattahoochie, Pinhoti Trail, Maritime Marine WMA, Galestown Creek.



Lower Devil's Swamp Little Biloxi Wolf River	MS	1,928
Reeves Jackson	NC	1,276
Bald Cap	NH	1,227
Francis Marion	SC	10
Redtown	TX	908
Big Thicket	TX	594
Petersburg	VA	212
Biddle/Bray	VT	290
AT Bridgewater Barnard	VT	217
Spruce Peak	VT	14
Canaan Valley Refuge	WV	1
CFI*	GA	14,225
Brunswick*	NC	3,670
Yankee	NH	9767
	VT	14294
Twin Lakes	WI	13,732
Logan*	WV	16,229
Skinner MT	TN	14,770
Cowee	NY	16,530
	VT	6,278
Pleasant River Headwaters	ME	26,740
Haynes	ME	15,868

<b>New SFI 2020</b>		
<b>Property</b>	<b>State</b>	<b>Acres</b>
Bunker Hill Covered Bridge	NC	3
Stateline	GA	10,369
Three Rivers	NY	32,919
Roanoke River (Stanley)	VA	7,878

During the 2020 audit the following properties will be visited:

Properties within existing scope (5 of 40)

- North Coast, California (Big River FMU, Garcia FMU), Pleasant River Headwaters (ME), Reed Plantation (ME), East Grand Lake (ME);

Associated with scope expansion (2 of 4):

- Three Rivers (NY)
- Roanoke River (VA)



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## SFI Requirements Selected for 2020 Surveillance Audit

### SFI 2015-2019 Forest Management Standard Review

Objectives 1 to 15: Requirements for Forest Management Standard

- 1 Forest Management Planning
- 3 Protection & Maintenance of Water Resources
- 4 Conservation of Biological Diversity
- 6 Protection of Special Sites
- 8 Recognize & Respect Indigenous Peoples' Rights
- 9 Legal & Regulatory Compliance
- 14 Communication & Public Reporting
- 15 Management Review & Continual Improvement

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

Scope of Certification: Management of lands in The Conservation Fund's Working Forest Fund and related properties. This certificate covers SFI 2015-2019 Forest Management Standard Objectives 1 through 12, 14, and 15 (Section 2). SFI Forest Management code: NSF-SFI-FM-C0144679.

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### **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  
Phone: 202.719.1391 ext. 338  
Email: [Courtney.Guillen@sfiprogram.org](mailto:Courtney.Guillen@sfiprogram.org)

### **Agenda for Review**

Attached for your review is the tentative agenda that will guide the conduct of the audit. Please contact me via email or phone if you would like to recommend changes or have any questions regarding what is needed for the audit.

Thank you for selecting NSF to provide your audit services.

Sincerely,

*Tucker Watts*

Lead Auditor, NSF

601-622-6487

[Jtwatts1@gmail.com](mailto:Jtwatts1@gmail.com)



## Audit Agenda

### Type of Audit

- Readiness Review (Stage 1)       Registration (Stage 2)       Surveillance  
 Reassessment       Transfer       Verification  
 Other \_\_\_\_\_

### Audit Objectives

Determine if certification should be maintained.

### Schedule

Day/Date	Time	Activity/Process and Location to be Audited <i>Note: Include NSF facility numbers and/or addresses</i>	Auditor(s)
Monday, September 14, 2020			
	7:30 AM EST	Leave Hilton Garden Inn, Bangor, ME for Pleasant River Headwaters	Tucker Watts
	8:30 AM EST	Opening Meeting	TW
	8:45 AM EST	Begin site visit of Pleasant River Headwaters	TW
	4:00 PM EST	Summary of Day	TW
Tuesday, September 15, 2020			
	7:00 AM EST	Leave Hilton Garden Inn, Bangor, ME for East Grand Lake, and Reed Plantation	Tucker Watts, Michelle Matteo
	8:30 AM EST	Begin site visit of East Grand Lake	TW & MM
	12:00 PM EST	Begin site visit of Reed Plantation	TW & MM
	4:00 PM EST	Summary of the Day	TW & MM
Tuesday, October 6, 2020			
	8:00 AM PST	Travel to Big River	TW & MM
	9:30 AM PST	Opening	TW & MM
	9:45 AM PST	Begin site visit of Garcia	TW & MM
	3:30 PM PST	Summary of the Day	TW & MM
Wednesday, October 7, 2020			
	8:00 AM PST	Travel to Garcia	TW & MM
	9:00 PM PST	Begin site visit of Big River	TW & MM
	3:30 PM PST	Summary of the Day	TW & MM
Week of November 9, 2020			
	9:00 AM PST	Site visit of Roanoke River	TW
Week of November 16, 2020			
	9:00 AM EST	Site visit of Three Rivers	MM
Wednesday December 23, 2020			
	11:00 AM EST	Closing Meeting for Audit	TW & MM





## Appendix 2

# The Conservation Fund 2020 SFI® Forest Management Public Summary Audit Report

### Introduction

The SFI Program of The Conservation Fund of Chapel Hill, North Carolina has demonstrated conformance with the SFI 2015-2019 Standard and Rules, Section 2 – Forest Management Standard, according to the NSF Certification Process.

NSF International initially certified The Conservation Fund on July 1, 2007 and recertified the program in 2012 and in 2015, when organization was re-certified to the new SFI 2015-2019 Forest Management Standard requirements. In 2017 Audit the audit was designed to review all of the requirements in order to recertify the program and align it with another certification. This report describes the 2020 Surveillance Audit designed to review the operation of their program against a sample of SFI 2015-2019 Standard and Rules, Section 2 – Forest Management Standard requirements. The audit team also reviewed changes in the standard, changes in operations, the management review system, and efforts at continuous improvement, all of which were subject to detailed review. The audit included a review of lands in Maine, Virginia, New York, and North Coast California properties, comprising 7 of the 44 named properties making up the program.

### Program Background

The Conservation Fund's certified land base includes most portions of its Working Forest Fund, excluding lands slated for sale over the short term. All of the forestland will have working forest conservation easements to ensure long-term forest management and conservation. The Forest Management General Strategy is described in the Working Forest Fund Policy Digest:

the following strategic goals will be consistent across every Working Forest Fund project:

- 1) To create a sustainable forestry project that is economically self-supporting and contributes to the state and local economy; while respecting all workers, members of the community, and indigenous people;
- 2) To implement land management strategies that support abundant and diverse plant and animal life, improve water quality and provide recreation opportunities;
- 3) To implement land management strategies that will result in the Property being eligible for forest certification by the Forest Stewardship Council (FSC) and/or the Sustainable Forestry Initiative (SFI).

The program's largest tracts are managed collectively as The North Coast Forest Conservation Program in California. 74,199 acres of working forestland in six major tracts located in the coastal portion of Mendocino and Sonoma Counties, California are included. These forests support second and third growth stands of coastal redwood, Douglas-fir, pine, and related species, with some areas of oak prairie and pygmy cypress trees. The forests are generally well-roaded, blocked in, and provide an opportunity for demonstrating the conservation of aquatic and upland resources in a working-forest context.

The management objectives are summarized in this paragraph from one representative Timber Harvest Plan:

**Objectives:** *The long-term objective is to maintain the ownership as a working forest while harvesting less than growth in order to increase timber stocks and average tree size across the landscape. TCF strives to use uneven aged regeneration methods that promote and maintain structural and compositional forest diversity and provide habitat for a variety of terrestrial and aquatic species while still allowing for sustainable timber harvest. Individual tree and group selection harvests as well as tanoak reduction treatments will be used to restore conifer site occupancy by providing growing space for new conifer age classes and vigorous established conifers. TCF will continue long-term investments in the road infrastructure in order to reduce the potential for sediment delivery.*

Source: Timber Harvest Plan summary, Wet Hazel THP, Salmon Creek Forest

Beyond California, the certified portions of the Working Forest Fund and other certified parcels consist of properties totaling 320,222 acres in Alabama, Georgia, Maine, Maryland, Mississippi, New Hampshire, New York, North Carolina, South Carolina, Texas, Virginia, Pennsylvania, Vermont, West Virginia, Tennessee, and Wisconsin.

The Conservation Fund's SFI Program is managed by Brian Schneider, Forest Operations Manager.

The audit was performed by NSF in September, October, November, and December 2020 by an audit team headed by Tucker Watts, NSF Lead Auditor, and Michelle Matteo, Auditor. Audit team members fulfill the qualification criteria for conducting audits contained in SFI 2015-2019 Standards and Rules, Section 9 - Procedures and Auditor Qualifications and Accreditation.

The objective of the audit was to assess conformance of the firm's SFI Program to the requirements of the SFI 2015-2019 Standard and Rules, Section 2 – Forest Management.



The scope of the audit included forest management operations. Forest practices that were the focus of field inspections included those that have been under active management over the planning period of the past 3 years. In addition, practices conducted earlier were also reviewed as appropriate (regeneration and BMP issues, 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.

The SFI Standard was used without modifying any requirements. The following indicators are not applicable:

Number	Requirement	Reason
2.1.3	Plantings of exotic tree species should minimize risk to native ecosystems.	No exotic tree species are planted.
2.1.5	Afforestation programs that consider potential ecological impacts of the selection and planting of tree species in non-forested landscapes.	There is no tree planting in non-forested landscapes.
8.2	Program Participants with forest management responsibilities on public lands shall confer with affected Indigenous Peoples with respect to sustainable forest management practices.	The Conservation Fund does not have forest management responsibilities on public lands.
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.	The Conservation Fund is not engaged in research addressing genetic engineering of trees.
11.2.3	Participation in or support of SFI Implementation Committees to establish criteria for recognition of logger certification programs, where they exist	The Conservation Fund does not participate in an SFI Implementation Committees in states where there is a logger certification program.
Objective 13	To participate and implement sustainable forest management on public lands.	The Conservation Fund does not have management responsibilities for public lands.

### Audit Process

NSF initiated the audit process with a series of planning phone calls to confirm the scope of the audit, review the SFI Indicators and evidence to be used to assess conformance, verify that the Company was prepared to proceed to the Surveillance Audit, and to prepare a detailed audit plan. NSF then conducted the Surveillance Audit of conformance to the SFI 2015-2019 Standards and Rules®, Section 2. A report was prepared, and final approval was done by an independent Certification Board member assigned by NSF. Follow-up or Surveillance Audits are required by SFI, Section 9. The next Surveillance Audit is scheduled for the fall of 2021.

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

During the audit NSF reviewed a sample of the written documentation assembled to provide objective evidence of Conformance. NSF also selected field sites for inspection based upon the risk of environmental impact, likelihood of occurrence, special features, and other criteria outlined in the NSF protocols. NSF also selected and interviewed stakeholders such as contract loggers, landowners and other interested parties, 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, Opportunities for Improvement, and Practices that exceeded the Basic Requirements of the standard.

### Overview of Audit Findings

NSF found conformance with each indicator reviewed on the Maine, Virginia, New York, and North Coast California properties and determined that there were no non-conformances. As such, the Conservation Fund was found to be in overall conformance and the program was recommended for continued conformance to the SFI 2015-2019 Forest Management Standard.

The next Surveillance Audit will be scheduled for September – October 2021.



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## General Description of Evidence of Conformity

NSF's audit team used a variety of evidence to determine conformance. A general description of this evidence is provided below, organized by SFI Objective.

### 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:** The forest management plans for each property audited and supporting documentation and the associated inventory data and growth models were the key evidence of conformance.

### 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:** *Not audited in 2020.*

### 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.

### 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:** *Field observations, written plans and policies, records showing programs and practices that support conservation of biological diversity, the use of college-trained field biologists, availability of specialists, and regular staff involvement in conferences and workshops that cover scientific advances were the evidence used to assess the requirements involved biodiversity conservation.*

### 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:** *No audited 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:** *Field observations of completed operations, records of special sites, training records, and written protection plans were all assessed during the evaluation.*

### Objective 7 Efficient Use of Fiber Resources

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

**Summary of Evidence:** *No audited in 2020.*

### Objective 8 Recognize and Respect Indigenous Peoples' Rights

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

**Summary of Evidence:** *A review of policies as well as programs to communicate with tribes were used to find conformance.*

### Objective 9 Legal and Regulatory Compliance

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

**Summary of Evidence:** Field reviews of ongoing and completed operations were the most critical evidence. Professional foresters with training in laws and regulations plan and oversee all projects. No evidence of non-compliance with laws was found.



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## **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 audited 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 audited 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: Not audited in 2020.*

## **Objective 13 Public Land Management Responsibilities**

To participate and implement sustainable forest management on public lands.

*Summary of Evidence: N.A. The Conservation Fund does not have management responsibilities for public lands.*

## **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: Reports filed with SFI Inc. and the SFI Inc. website provided the key evidence.*

## **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 involved in management review were assessed.*

## **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 *Fiber Sourcing* 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*

**For Additional Information Contact**

Daniel Freeman	Michelle Matteo	Brian Schneider, Forest Operations Manager
NSF Project Manager	NSF Forestry Program Manager	Working Forest Fund®, The Conservation Fund
789 N. Dixboro Road Ann Arbor, MI 48105	789 N. Dixboro Road Ann Arbor, MI 48105	P.O. Box 64 Orono, ME 04401
734-214-6228	413-265-3714	828-785-2555
<a href="mailto:dfreeman@nsf.org">dfreeman@nsf.org</a>	<a href="mailto:mmatteo@nsf.org">mmatteo@nsf.org</a>	<a href="mailto:bschneider@conservationfund.org">bschneider@conservationfund.org</a>



Appendix 3

SFI® 2015-2019, Section 2: Forest Management Standard Audit Checklist

C0144679 – The Conservation Fund

Date of audit(s): September 14 – Pleasant River Headwaters; September 15 – Reed Plantation; East Grand Lake; October 6 – Garcia; October 7 – Big River; November 13 – Roanoke River; November 16 – Three Rivers

1.2 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.

☒ N/A      ☐ Conforms      ☐ Exceeds      ☐ O.F.I.      ☐ Minor NC      ☐ Major NC

Notes: No Fiber Sourcing 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.

☐ N/A      ☒ Conforms      ☐ Exceeds      ☐ O.F.I.      ☐ Minor NC      ☐ Major NC

Notes: See Indicators below.

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).

☐ N/A      ☒ Conforms      ☐ Exceeds      ☐ O.F.I.      ☐ Minor NC      ☐ Major NC

Notes: The Conservation Fund employs three forest growth and yield specialists and has forest modeling and decision-support capabilities. This requirement was reviewed during the 2020 audits for properties visited.

North Coast: Integrated Resource Management Plans for individual properties are available at https://www.conservationfund.org/projects/north-coast-forest-conservation-initiative/north-coast-reference-documents.

A 100-year harvest plan is run for long-term resource analysis. Continuous inventory is conducted with carbon monitoring. Annual Allowable Cut is documented in the Sustainable Yield Plan – Option A. Other requirements are included in the Inventory and GIS.

Pleasant River Headwaters, East Grand Lake, Reed Plantation, Roanoke River, Three Rivers: 100-year and 50-year long-term resource analysis are conducted using Remsoft. Forest Management Plans are developed for all properties. Witnessed for properties visited. 10-year Management Plans are developed, and 1-year operating plans are used for on-going operations. On-going inventory and GIS information is collected and used to keep data current. Inventory and GIS contain requirements for on-going management. Growth models are used with inventory for the establishment of AAC.



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

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: For properties visited, reviewed harvest history, FMP, and interviewed foresters and consultants. Long-term harvest levels are below ACC.

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

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: North Coast: All properties have robust forest inventory systems in place, associated with carbon accounting goals and/or ongoing carbon trading programs.

Pleasant River Headwaters, East Grand Lake, Reed Plantation, Roanoke River, Three Rivers: Inventory established at acquisition. Annual updates are made based on activities.

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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*.

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: "SFI Forest Management Program - The Conservation Fund (TCF) and Subsidiaries":

TCF retains a current inventory at the time of acquisition. That property-wide inventory is updated as necessary for management plan updates. Project specific inventory is initiated where necessary to facilitate timber harvesting and associated activities. The forests would be inventoried for standing volumes, as well as key conservation features that TCF wants to identify and protect. The internal database allows TCF to understand how much timber inventory and volume, as well as other resources, exist on its land base that is subject to the SFI Standard.

The Forest Analyst compares its general inventory information against available Forest Service Forest Inventory and Analysis (FIA) data for the counties in which TCF owns and manages its land. The stand specific inventory information is generally consistent with the Forest Service data for the State or region. The growth of the forest across the land base consistently exceeds harvests and mortality, resulting in a significant positive growth to drain ratio.

North Coast: Witnessed Forest inventory summary for each forest group (Garcia River, Gualala, Big River/Salmon Creek, Buckeye) including:

- Inventory Year
- Conifer MBF/acre
- Conifer BF/acre
- SE (Conifer BF)
- Accuracy % (90% CI)

The data show steady increases in standing volumes, consistent with overall strategy, goals, and plans.

Pleasant River Headwaters, East Grand Lake, Reed Plantation, Roanoke River, Three Rivers: Continual update of inventory following activities.

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

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: North Coast: Records are kept using GIS and various computer software programs (Excel, Word). All records requested during the audit were readily available. There is an emphasis on the collection and use of data to support strong commitments to transparency, monitoring, and continuous improvement. The North Coast Forest Conservation Initiative - 2019 Annual Review and annual versions of the same from 2009 through 2018 available online are an excellent example of one product of the attention to accumulating, assessing, and reporting relevant data.

Pleasant River Headwaters, East Grand Lake, Reed Plantation, Roanoke River, Three Rivers: Confirmed in field visits, documentation by maps and monitoring, and interviews. Records of forest practices are maintained in GIS and inventory.

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## Performance Measure 1.2

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

- 1.2.1 Program Participants shall not convert one *forest cover type* to another *forest cover type*, unless the conversion:
- Is in compliance with relevant national and regional *policy* and legislation related to land use and forest management;
  - 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
  - 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.

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: The Conservation Fund purchases properties of high conservation value and find an appropriate long-term owner that will manage the properties to meet conservation objectives or manage the Working Forest Fund properties for conservation and income until a conservation easement can be placed.

If forest or habitat types are managed and changed, it would be to accomplish ecological restoration objectives. No native or natural forest cover types would be altered.

Review of management plans, interviews with staff and consultants confirm conformance.

North Coast: A long-term program is in place to control and treat tanoak, which is present in greater density than is desirable. The unnaturally high density of tanoak was caused in part by different management practices and in part by long-term fire exclusion. There are also some efforts to adjust composition and location of Douglas-fir and Redwood. In all such cases significant amounts of field analyses support written prescriptions which then must past multi-disciplinary regulatory review in most cases. Rare types are being increased, not diminished.

Pleasant River Headwaters, East Grand Lake, Reed Plantation, Roanoke River, Three Rivers: No conversion witnessed. Forest cover types follow successional changes. Conversion is to a rare and ecologically significant landscape that is identified as rare.

- 1.2.2 Where a *Program Participant* intends to convert another *forest cover type*, an assessment considers:
- Productivity* and *stand* quality condition and impacts which may include social and economic values;
  - 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
  - Ecological impacts of the conversion including a review at the site and *landscape* scale as well as consideration for any appropriate mitigation measures.

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: If forest or habitat types are managed and changed, it would be to accomplish ecological restoration objectives. No native or natural forest cover types would be altered.

Where artificial regeneration is appropriate, TCF would consider the following guidelines:

- Is in compliance with relevant national and regional policy and legislation related to land use and forest management;
- 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
- 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.

North Coast: Prior to each harvest or vegetation management treatment (silviculture) foresters assess field conditions and develop a detailed prescription which covers the required issues. A long-term program is in place to control and treat tanoak, which is present in greater density than is desirable. The unnaturally high density of tanoak was caused in part by different management practices and in part by long-term fire exclusion. There are also some efforts to adjust composition and location of Douglas-fir and Redwood. In all such cases significant amounts of field analyses support written prescriptions which then must past multi-disciplinary regulatory review in most cases. Rare types are being increased, not diminished.

Pleasant River Headwaters, East Grand Lake, Reed Plantation, Roanoke River, Three Rivers: Forest cover types follow successional changes. Input for plans and prescriptions are received from various agencies involved with the property. Conversion is to a rare and ecologically significant landscape that is identified as rare.





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### 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:

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.

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: A policy consistent with this SFI Indicator is stated in the "SFI Forest Management Program - The Conservation Fund (TCF) and Subsidiaries".

The Conservation Fund does not intend to convert forest properties to other land uses. If any such conversions were to take place in the future, those lands would be removed from the scope of the SFI Program.

No forest land is being converted to other land uses. Confirmed in field, documentation, and interview.

It is a practice of The Conservation Fund to establish a conservation easement on the property designated for forest management prior to sale.

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## 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. Indicators:

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.

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not audited during 2020.

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*.

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not audited during 2020.

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

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not audited during 2020.

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

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not audited during 2020.

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

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not audited during 2020.

### 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*. Indicators:

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

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not audited during 2020.

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

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not audited during 2020.

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

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not audited during 2020.



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

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not audited during 2020.

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

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not audited during 2020.

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2.2.6 Use of *integrated pest management* where feasible.

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not audited during 2020.

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

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not audited during 2020.

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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*.

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not audited during 2020.

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### Performance Measure 2.3

*Program Participants* shall implement forest management practices to protect and maintain forest and soil *productivity*. Indicators:

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.

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not audited during 2020.

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

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not audited during 2020.

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

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not audited during 2020.

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

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not audited during 2020.

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

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not audited during 2020.

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

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not audited during 2020.

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#### 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*. Indicators:

2.4.1 *Program* to protect forests from damaging agents.

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not audited during 2020.

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

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not audited during 2020.

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

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not audited during 2020.

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#### Performance Measure 2.5

Program Participants that deploy improved planting stock, including varietal seedlings, shall use best scientific methods. Indicator:

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

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not audited during 2020.

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### 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*.

Indicators:

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

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: The use of professional foresters to plan and oversee harvests, timber sale contracts with provisions to follow BMPs, pre-harvest meetings between foresters and logging contractors, sale supervision and weekly checklists (reviewed by loggers in cases where there are contract violations), post-harvest inspections of all sites, and review of all harvest sites by TCF’s Operations Forester and consultants comprise the program. Quarterly Reports on activities are also developed by the consultants and reviewed with the Forest Operations Manager. Monitoring reports witnessed for all sites visited. Monitoring is also conducted by state agencies as required by state laws and regulations. Monitoring of conservation easements is conducted by the 3<sup>rd</sup> party managing the easement. Interviewed Forest Society of Maine on the management of Reed Plantation.

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

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Witnessed requirements for conformance to BMPs in contracts for harvesting and other operations for sites visited. Contracts for North Coast operations included requirements for meeting the CA Forest Practices Act.

3.1.3 Monitoring of overall *best management practices* implementation.

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Confirmed monitoring by reviewing the inspection sheet for timber sales and other operations on sites visited. Monitoring forms include BMPs. Quarterly Reports on activities are also developed by the consultants and reviewed with the Forest Operations Manager. Monitoring is also conducted by state agencies as required by state laws and regulations. Monitoring of conservation easements is conducted by the 3<sup>rd</sup> party managing the easement. Interviewed Forest Society of Maine on the management of Reed Plantation.

#### 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.

Indicators:

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.

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: The use of BMPs, the design of all harvest projects by trained foresters, and the review of all projects by supervisory personnel, as well as the commitment of strict adherence to the regulatory programs of the respective states (where applicable) comprise the program. Strong conformance was observed in the field at all sites. Grants are received for improvements to roads for the management and protection of water bodies and riparian areas.

North Coast: California Forest Practices Act rules require on each side of Class 1 stream a 35-foot no cut buffer and maintenance of 80% canopy cover the next 70 feet. Interviews, maps, and sale documentation confirm buffers are maintained along all significant streams. Field observations support finding of conformance.



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Pleasant River Headwaters, East Grand Lake, Reed Plantation: Forest Operations Notifications are required for all harvesting operations. Detailed information is required for operations around shorelines, streams, and water bodies. Witnessed Forest Operations Notifications # 526540, 526553, 520031, 0468, 0470, & 0510. No issues identified.

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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.

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: GIS-based maps accurately depict the wetland and water features, and buffer areas. Buffers for water features are clearly marked on the ground prior to treatment. Witnessed during site visits. Confirmed by review of GIS maps.

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

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: North Coast: Field observations confirmed protection of these features, including use of buffers, care taken to design proper stream crossings and to stabilize them following completion of work. Roads are well-designed and maintained. Pleasant River Headwaters, East Grand Lake, Reed Plantation, Roanoke River, Three Rivers: Riparian buffers viewed during site visits confirmed protection of riparian and water bodies. Appropriate painted/flagged riparian buffers were observed on harvested tracts and planned tracts inspected. These included flagging out of small, low wet areas within general sale area. Stream crossings were viewed and discussed. All were properly designed and stabilized/closed out following use. Water bars, rolling dips, hay, seed, and pillows were used to protect water features. Monitoring of conservation easements is conducted by the 3<sup>rd</sup> party managing the easement. Interview of Forest Society of Maine on the management of Reed Plantation confirmed no management issues in meeting requirements of conservation easement.

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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).

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: North Coast: Site impacts are closely monitored. Timber Harvesting Plans specify season of harvest. California's Forest Practice rules specify the criteria. In addition, all Timber Harvest Plans written for The Conservation Fund include provision for extended wet weather periods.

Pleasant River Headwaters, East Grand Lake, Reed Plantation, Roanoke River, Three Rivers: Soil and water table information is available in the GIS. During harvest planning, season of harvest are identified. Frequent inspections by foresters and notes showing awareness of weather and the need to work around wet seasons, supplemented by comments during interviews showed that foresters maintain control over loggers. Rutting criteria are part of the system. Consultants were aware of rutting guidelines. Some rutting was present in Three Rivers 0468 that was discussed while on-site and was smoothed out prior to site closeout.

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## 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. Indicators:

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.

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: The Conservation Fund's management at the stand and landscape-level is exemplary in the degree to which the conservation of native biological diversity is factored into all forest management decisions.

The Conservation Fund has been a leader in efforts to permanently protect key properties identified through a sophisticated analysis. All management activities on key tracts are planned with biodiversity conservation as the highest priority. Other tracts do not receive as much biodiversity planning or analysis. The program relies on its Working Forest Fund Guidelines Digest and SFI Forest Management Program for most aspects of biodiversity protection during management of its Working Forest Fund properties.

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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.

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Pleasant River Headwaters, East Grand Lake, Reed Plantation, Garcia, Big River, Roanoke River, Three Rivers: Foresters are aware of the importance of wildlife trees, with particular emphasis on retaining standing snags where possible. Hollow/potential den trees are retained in the significant "no cut" buffers and excluded areas, and some of these trees are also left within areas subject to harvesting as well. During site visits witnessed the retention of stand-level wildlife habitat. On most occasions the trees are marked with a "W" for retention. Prescriptions include protection of deer yards and wintering areas.

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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.

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Properties have been assessed for their ability to contribute to the protection of representative sample areas (RSAs) for protection or conservation of unique and under-represented native community types. In many cases there are no opportunities to protect communities thought to be under-represented.

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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.

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: North Coast: During planning, including development of Timber Harvesting Plans and special habitat projects, planners/managers/biologists/foresters consult the California Natural Diversity Database to ensure protection of rare, threatened, and endangered species and their habitats.

Pleasant River Headwaters, East Grand Lake, Reed Plantation: Harvest plans consider and note both Lynx and Marten habitat.

Roanoke River: Strategic plan for the property will prevent fragmentation and conversion of the property by partial sale in fee ownership to the Virginia Department of Forestry and the development of a conservation easement on the remaining portion of the property. Silviculture plans require the implementation of BMPs, and buffers recommended by DNH for the Carolina Darter.

Three Rivers: FMUs are located in and around Adirondack Park and subject to or follow wildlife and forest management guidelines protection of critical habitat. Adirondack Park Agency has regulatory oversight for FMUs in the park. FMU adjacent to the park follows same guidelines.

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

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: The Conservation Fund's efforts to manage special sites and significant species of concern are exemplary.

North Coast: During planning, including development of Timber Harvesting Plans and special habitat projects, planners/managers/biologists/foresters consult the California Natural Diversity Database to ensure protection of rare, threatened, and endangered species and their habitats.

The Conservation Fund has implemented several major in-stream habitat restoration/protection projects and other habitat enhancement and restoration projects.

Working Forest Fund Guidelines Digest, Updated July 2020, "Habitat Conservation":

The Conservation Fund directs all forest consultants to ensure that the habitat for any known Threatened and Endangered Species (TES) or plant community of Special Concern (SC) on Working Forest Fund properties is not significantly altered by forest management activities. All forest management plans shall define habitat areas for these species and define steps to protect them. In the creation of these plans, the consultant will check with the state Natural Heritage Program and if TES or SC species are found, they will develop a habitat management plan. In addition, consideration will be given to other non-threatened wildlife in the development of management and harvest plans.

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

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Non-forested wetlands are identified and mapped in the GIS. Site maps for operation visited include buffers for protection during activities.

North Coast: Few such areas exist in this ecosystem.

Pleasant River Headwaters, East Grand Lake, Reed Plantation, Roanoke River, Three Rivers: Foresters are aware of the need to protect such features. Interviews confirm non-forested wetlands are buffed by flagging the area in the operation. No impacts were observed.

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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.

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Site visits and interviews confirm foresters are aware of invasive species and implement control measures when warranted and feasible. Invasive exotic plants are documented in a GIS layer for identification and monitoring.  
 North Coast: Observed Pampas grass along roadsides in many locations. Discussed efforts to control, including use of herbicide (glyphosate) and hand-pulling. Either method requires repeated treatment; hand-pulling is particularly challenging. Due to concerns of neighbors, The Conservation Fund has agreed not to use herbicides in the Salmon Creek Forest. As an alternative, an annual project is conducted to pull Pampas grass, with some success beginning to become apparent.  
 Pleasant River Headwaters, East Grand Lake, Reed Plantation: Consultants are participants in the Maine Invasive Program.

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.

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: North Coast: Natural disturbance ecology is a key factor in the development of management strategies and individual treatment plans. For example, the selection system (single-tree and group) is used in nearly all harvests, consistent with the scientific understanding of the ecology of redwood forests.  
 Pleasant River Headwaters, East Grand Lake, Reed Plantation, Roanoke River, Three Rivers: The silvicultural approach described in the management plan and implemented in the harvests is based on disturbance ecology, with a combination of single-tree and group-selection harvests used to emulate single-tree death/blowdown and more substantial wind-damage.

**Performance Measure 4.2**

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

4.2.1 Program to protect threatened and endangered species.

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: North Coast: Identification and protection of T&E species is part of the planning approval process for forest operations. Other projects have been implemented for the restoration or enhancement of habitat.  
 Pleasant River Headwaters, East Grand Lake, Reed Plantation, Roanoke River, Three Rivers: Reviews of sources of information on T&E species are documented in management plans. Old-growth forests are not present. The program relies on its "Guideline Digest" and SFI Forest Management Program for most aspects of biodiversity protection during management of its Working Forest Fund properties. Interview confirms updates to the GIS are made periodically by checking databases.

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.

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: North Coast: During planning, including development of Timber Harvesting Plans and special habitat projects, planners/managers/biologists/foresters consult the California Natural Diversity Database to ensure protection of rare, threatened, and endangered species and their habitats.  
 Pleasant River Headwaters, East Grand Lake, Reed Plantation, Garcia, Big River, Roanoke River, Three Rivers: During acquisition, the NatureServe database and other sources are used to verify the occurrence of FECV on the property. The development of conservation easement for the property provided for additional review.



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.

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: North Coast: Interviews and documents reviewed, including the North Coast Policy Digest, indicated that all old-growth forests and legacy tress are protected. Major portions of the forests are being managed to mimic late successional stage forests or are being left uncut to allow stands to develop into older growth stages on their own.

Pleasant River Headwaters, East Grand Lake, Reed Plantation, Roanoke River, Three Rivers: Property historically has been in forest management. No old-growth forests exist on the property. Witnessed during site visits.

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### Performance Measure 4.3

*Program Participants* shall manage ecologically important sites in a manner that takes into account their unique qualities. Indicators:

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

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: The Conservation Fund conducts comprehensive on-site surveys to select ecologically important sites for protection prior to acquisition.

North Coast: The Conservation Fund contracts with botanists to conduct botanical surveys, and conducts other surveys using contractors and/or trained employees. The Conservation Fund also works with partner organizations to obtain data and scientific information that supports efforts to conserve biodiversity.

Reed Plantation: Maine Natural Areas Program surveyed property during 2005-2007. Although prior to The Conservation Fund ownership, this information is used for identifying and protecting ecologically important sites.

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

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Witnessed mapping in GIS database for properties visited. During acquisition, the NatureServe database and other sources are used to determine the occurrence of ecologically important site on the property, viewed in GIS and on maps. After acquisition, The Conservation Fund's partners, contractors, and employees use information from heritage databases or from specialists. This information is incorporated into GIS as layers which are routinely used during planning, operations, and monitoring activities. Locations of important sites, including Legacy Trees and rare, threatened, or endangered animals, plants, and natural communities, are determined using field GPS units and their locations and general attributes are recorded in the GIS.

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### 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*. Indicators:

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.

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: North Coast: During planning, including development of Timber Harvesting Plans and special habitat projects, planners/managers/biologists/foresters consult the California Natural Diversity Database to ensure protection of rare, threatened, and endangered species and their habitats.

Pleasant River Headwaters, East Grand Lake, Reed Plantation, Roanoke River, Three Rivers: TCF staff and consulting foresters use data from the respective State's Natural Heritage Programs to determine presence of FECVs and RTE species and communities.



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

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: North Coast: Feedback from outside experts, agency personnel and consultants contribute to active and adaptive management of properties included in the North Coast Program. In partnership with The Nature Conservancy and others, The Conservation Fund has implemented an array of monitoring and formal research efforts designed to learn, over time, the best ways to restore and/ or manage for biodiversity concurrent with other social and economic objectives on these lands.

Pleasant River Headwaters, East Grand Lake, Reed Plantation, Roanoke River, Three Rivers: In partnership with state agencies, conservation groups, and others, The Conservation Fund has implemented an array of monitoring and formal research efforts designed to learn, over time, the best ways to restore and/ or manage for biodiversity concurrent with other social and economic objectives on these lands.

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## 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*. Indicators:

5.1.1 Program to address visual quality management.

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not audited during 2020.

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

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not audited during 2020.

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### Performance Measure 5.2

*Program Participants* shall manage the size, shape and placement of clearcut harvests. Indicators:

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.

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not audited during 2020.

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

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not audited during 2020.

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### Performance Measure 5.3

*Program Participants* shall adopt a *green-up requirement* or alternative methods that provide for *visual quality*. Indicators:

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

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not audited during 2020.

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

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not audited during 2020.

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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*.

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not audited during 2020.

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### Performance Measure 5.4

*Program Participants* shall support and promote recreational opportunities for the public. Indicator:

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

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not audited during 2020.

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**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. Indicators:

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*.

N/A             Conforms             Exceeds             O.F.I.             Minor NC             Major NC

Notes:    North Coast: Timber Harvest Plans include archeological reviews.

Pleasant River Headwaters, East Grand Lake, Reed Plantation, Roanoke River, Three Rivers: Annual Activity Record is completed annually by managing consultant. Included is documentation of condition, changes, new sites, RTE species/communities and habitats, protected areas, set-asides, buffer zones - summarize adequacy of protection/enhancement measures, of High Conservation Value Forest & Special Sites. Witnessed Annual Activity Record for Pleasant River Headwaters, East Grand Lake, Reed Plantation, Roanoke River, Three Rivers.

Cultural features maps are on file for Reed Plantation and Pleasant River Headwaters.

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

N/A             Conforms             Exceeds             O.F.I.             Minor NC             Major NC

Notes:    North Coast: Property-wide botanical surveys have been completed for all parcels.

Pleasant River Headwaters, East Grand Lake, Reed Plantation, Garcia, Big River, Roanoke River, Three Rivers  
Conformance was demonstrated for all sites audited. Maps and plans depict all special sites. Interviews confirm specialists are hired to augment information normally available in exiting state-managed databases of ecological, cultural/historic sites.

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## 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*. Indicator:

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.

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not audited during 2020.

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**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. Indicator:

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

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Sustainable Forestry Commitment contains a provision to recognize and respect Indigenous Peoples' rights. Witnessed Sustainable Forestry Commitment.

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**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. Indicator:

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.

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: No public lands.

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**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. Indicators:

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.

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: The forest manager has sent letters to communicate with communities of indigenous people in their area to identify sites of current or traditional cultural, archeological, ecological, economic or religious significance. Witnessed letters to Penobscot Tribal Chief Kirk Francis, and Passamaquoddy Tribe Chief William J Nicholas, Jr., and Aroostook Band of Micmacs Tribal Chief Edward Peter-Paul. No response was received. Interview with foresters confirmed there are no tribes near any of the WFF properties. A Brown Ash Permit has been issued to the Wabanaki Tribe for basket making.

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

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Public Inquiries & Official Complaint Procedure (TCF-SFI-12) has been established for receiving and responding to complaints. No feedback or response has been received from indigenous peoples on TCF properties. A Brown Ash Permit has been issued to the Wabanaki Tribe for basket making.

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## 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. Indicators:

9.1.1 Access to relevant laws and regulations in appropriate locations.

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Audit Notes: TCF staff have internet access to regulatory agency web sites where they can access the most current versions of relevant laws and regulations. The SFI Forest Management Program (TCF-SFI-04) contains a list of the most relevant web sites and links. The list is divided into the following 3 categories:

- Forestry Association Home Pages
  - Federal Agency Home Pages
  - SFI & State Foresters' Home Pages
- 

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

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Audit Notes: TCF's Sustainable Forestry Commitment specifies a commitment to achieving compliance with applicable environmental, forestry and socials laws and regulations. TCF has a system in place to ensure that such laws and regulations are implemented and achieved.

The system to achieve regulatory compliance includes:

1. a commitment to achieve continuing regulatory compliance;
2. contract provisions with landowners and contractors;
3. training of appropriate staff and contractors in applicable regulations;
4. BMP compliance monitoring by TCF and State Agencies;
5. taking corrective and preventive action; and
6. management review and continual improvement.

If a regulatory non-compliance issue were to be uncovered by TCF staff, contractor or regulatory agency personnel, TCF is committed to taking prompt corrective action to mitigate any environmental impacts.

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

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Audit Notes: North Coast: Interviews confirm no regulatory action. No complaints received. Witnessed Complaint Log for 2018,2019, and 2020.

Pleasant River Headwaters, East Grand Lake, Reed Plantation, Roanoke River, Three Rivers: Interviews confirm no regulatory issues or complaints received.

Management Review Agenda: TCF & State BMP Compliance Monitoring Information and Data - a. No major issues of note.

Interview of Forest Society of Maine confirm no issues with management and operations of Reed Plantation.

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## 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. Indicators:

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.

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Audit Notes: Sustainable Forestry Commitment (TCF-SFI-05) contains commitment.

Working Forest Fund Guidelines Digest includes compliance with social laws.

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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.

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Audit Notes: Interviewed workers to verify respect for their rights; no concerns were raised, and workers interviewed stated high job satisfaction.

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## 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. Indicators:

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.

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not audited during 2020.

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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.

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not audited during 2020.

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### 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*. Indicator:

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.

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not audited during 2020.

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### 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*. Indicators:

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

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not audited during 2020.

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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*.

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not audited during 2020.

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## 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*. Indicators:

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.

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not audited during 2020.

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

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not audited during 2020.

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

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not audited during 2020.

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

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not audited during 2020.

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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*.

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not audited during 2020.

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## 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*.

Indicators:

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.

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not audited during 2020.

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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.

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not audited during 2020.

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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.

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not audited during 2020.

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## 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. Indicators:

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

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not audited during 2020.

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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.

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not audited during 2020.

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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.

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not audited during 2020.

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### 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. Indicator:

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.

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not audited during 2020.

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**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.

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not audited during 2020.

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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.

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Not audited during 2020.

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**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. Indicators:

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

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: No public lands management.

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

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: No public lands management.

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## 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*. Indicator:

- 14.1.1 The summary audit report submitted by the *Program Participant* (one copy must be in English), shall include, at a minimum,
- a description of the audit process, *objectives* and scope;
  - a description of substitute *indicators*, if any, used in the audit and a rationale for each;
  - the name of *Program Participant* that was audited, including its *SFI* representative;
  - a general description of the *Program Participant's* forestland included in the audit;
  - 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*);
  - the dates the audit was conducted and completed;
  - 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
  - the certification decision.

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

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Witnessed Surveillance Audit Report of 12/16, Re-certification Audit Report of 11/17, and Surveillance Audit Report of 12/18 and 10/19 on SFI website.

### Performance Measure 14.2

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

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

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: SFI Annual Progress Report Survey submitted on 4/2/20. Witnessed email to SFI, Inc. requesting access to the SFI Annual Progress Report Survey. Brian became responsible for the SFI Program in February, 2020. An email was sent to SFI, Inc. stating a change in leadership. The SFI Annual Progress Report Survey was not received for Brian to submit the report prior to the deadline. Brian submitted the report when received.

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

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Witnessed reports and documents for the completion of report. No issues identified.

- 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*.

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: The Forest Operations Manager maintains past reports electronically. Witnessed reports.





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## 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.

Indicators:

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

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: TCF has a formal system for annually collecting information about its SFI implementation, evaluating the effectiveness of its SFI Programs, reporting information to management, determining whether any changes or improvements are necessary to continually improve SFIS conformance, and communicating those changes to responsible personnel.

TCF references its management review process in its Sustainable Forestry Commitment and in the internal memo to appropriate managers regarding its commitment to the SFI Standard.

The SFI Implementation Team shall annually conduct a review of the SFI Program. During the first quarter of each calendar year, or as appropriate, the Forest Operations Manager shall serve as the Chairman of the Implementation Team and shall develop a formal Management Review Agenda (TCF-SFI-16). The management review will evaluate SFI performance during the preceding calendar year or 12 months. At a minimum, the SFI Management Review shall address:

- The Monitoring Checklist and State BMP Inspection Reports;
- Any Environmental Incidents and corrective action results;
- External audit and corrective action results (i.e. third party SFI audits);
- Staff and contracting training accomplishments documented in the Training Matrices; and
- Suggested changes to policies or procedures.

The Chair of the SFI Implementation Team shall ensure that all necessary information to address these issues is collected and available for the management review. The SFI Implementation Team shall also review the Sustainable Forestry Commitment, the SFI Program and assess TCF's performance against its own programs, plans, and procedures, as well as the SFI Standard.

At the conclusion of the annual management review, any significant findings or action items shall be presented by the Forest Operations Manager at the next scheduled Certification Team meeting. The Certification Team shall review and decide on any overall actions. The Forest Operations Manager shall make any appropriate changes to the overall SFI Program and communicate those changes to responsible staff via a Summary Memo. The Forest Operations Manager shall coordinate any appropriate follow-up implementation training to effect the changes.

By implementing the above Programs, Plans, Systems and Processes, TCF will continually improve its performance and achieve its objective of broadening the practice of sustainable forest management, consistent with the SFI Standard and requirements.

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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.*

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: The Forest Operations Manager oversees activities on the parcels outside of California. Consulting foresters provide regular written reports, and the Forest Operations Manager visits each property regularly. The reporting framework includes:

- Quarterly Reports
- Annual Report
- Annual Budget
- Annual Management Plan

Elements of the system are listed in TCF-SFI-03 SFI Evidence Manual & Internal Audit Checklist:

- Monitoring Checklists (Harvest Operations Site Review Reports) (2.3,3,a)
- State BMP Monitoring Reports (10.2,1,b)
- Staff Training Matrix (11.1,3,a)
- Contractor Training Matrix (11.1,4,a)

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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.*

N/A       Conforms       Exceeds       O.F.I.       Minor NC       Major NC

Notes: Reviewed the agenda and minutes for the Annual SFI Management Review that was held on September 9, 2020. Annual SFI Management Review Agenda is included in the SFI Document Directory (TCF-SFI-16). Included are Attendance and Action Items.

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(End SFI Forest Management Checklist)



## Appendix 4

# Field Site Notes – Maine

## Pleasant River Headwaters

### Middle Branch Watershed

Bridge installation and chop & drop project for Eastern Brook Trout and Atlantic Salmon habitat. Stream and area identified with state agencies and working through Trout Unlimited for funding. Project identified coordinated through partnership with Appalachian Mountain Club. Areas of stream (22 miles) identified based on slope and flow of stream. Trees are felled and tops driven into bank for stabilization. GPS location is taken to monitor movement over time. Tree height and size of top is matched to the stream size. RMZ is 75' and flagged for no entrance. RMZ may be expanded to 100' for additional shading. There may be opportunities to coordinate chop & drop with logging activities. Habitat areas are established during the Summer. Eggs are planted in logs during Winter. Goal is for 2-3 miles of construction per year.

### Block 20-2 Harvesting Service Contract 9606

50 Acre Shelterwood – Prescription for removal of Yellow Birch, young Aspen, and Ash (for EAB). Protect Spruce regeneration. Debris used for stabilization of skid trails. No issues identified.

### Block 20-3 Harvesting Service Contract 9639

300 Acre Shelterwood - Thin below for Beech and poor quality. Favor White Pine. Spruce Bud Worm traps on property. No issues identified.

### Block 20-1 Harvesting Service Contract 9603

Overstory Removal with Reserves – Project to supply furniture for schools. Minimal damage to residual stand. Orange flagging of stream and wetlands for no entrance. Well established and identified SMZ. Culvert installation on road. Well stabilized. No issues. Debris used for stabilization of skid trails. Deck clean. Good tree selection. No issues.

Interview: Molly London, Foreman; W. W. London Woodlot Management Company. CLP training for 4 employees. Crew is Master Logger certified. Toolbox safety meetings conducted. Key issue to watch is stream crossing. Flagged by Huber Resources. If identify wetlands not on map will photograph and send to Huber Resources.

## East Grand Lake

Management for view sheds. No cutting along trails. Working within BTL for guidelines of harvesting along roads and around town of Weston. Area around Weston is not included in Conservation Easement due to economic development. Area is on water. Conservation Easement is managed by the Forest Society of Maine.

### Harvest Notification 544434

Selective Harvest. Debris used to stabilize skid trails. Bumper trees witnessed to protect regeneration. Good tree selection. Minimal skinning. Regeneration well protected. Discussed visual impacts and retention for wildlife and silviculture. Wildlife trees identified for retention. No patch cuts. Thinning and road location improve aesthetics. Roads well maintained. Established trail is buffered with minimal visual impact.

### Visual Impact Study

Area has a history of established aesthetic implementation. Buffers are retained along road for recreational users. Road on south end has been maintained with ditching and crowning. Culverts are well established. Yards along road are clean. No fuel spots. Wood is being actively hauled. No issues identified.

## Reed Plantation

Most harvesting on Reed Plantation is conducted during Winter due to soil type, drainage, stand type, and topography.

### Weston TCF

332-acre harvest. Contractor – Davis Forest Products. Goal is to improve stand quality by retaining quality logs and potential log trees. Wildlife trees marked with “W”. Retain cull trees and downed woody debris. No HCV identified. RMZ identified and flagged with blue ribbon. No entrance.



## Fraser Tract

397-acre harvest. Contractor – Hannington Brothers, Inc. Goal is overstory removal and selection. Wildlife trees marked with “W”. Retain cull trees. No HCV identified. RMZ identified and flagged with pink ribbon. No entrance.

## Bridge

Four fish passage bridge install with funding from NRCS through conservation program for trout and salmon passage. Area was identified by Nature Conservancy and reached-out to The Conservation Fund. Abutment in place and stable. Rip rap and hay to stabilize banks and disturbed soil. Water is clear and flowing. No issues identified. On one bridge the road was elevated for the bridge. No issues identified. Culverts that were removed are on site to be removed at another time.

# Field Site Notes – California

## Big River

### Docker Hill THP

Witnessed Docker Hill THP, THP approval, and Letter of Conformance from CalFire. Job has finished area. Logs remain to be hauled. Skid trails are being waterbarred. Observed waterbars on hill side. No issues. Zone of 100' on each side of road requires the tops to be lopped to ground. Requirement is for fire safety and aesthetics. No issues identified.

Interview: Charlie Haitt, Robert Piper Logging

Job consists of conventional skidder. Ability to long line. Cutting and trucking are contracted. Meetings conducted 2 times per week to discuss wood order, specs, and destinations. Trip Tickets are used for transporting each load. Witness and discussed Trip Ticket system. Trip Ticket is a 4-part form. Logs are painted on each end to indicate supplier to mill. Color is designated by the receiving mill. Tickets are submitted weekly to The Conservation Fund.

Witnessed posting of harvest permit. Fire box on job. Spill kit and first aid kit observed. Discussed PPE for job. Weekly safety meetings to discuss job. Fire watch is conducted for 30 minutes each day after shutting down job. Ledger is maintained of safety training and fire activity. There have been breaks in operating due to fire conditions. Road is watered for dust control. Safety measures are taken for dust in loads. Monitor slash in skid trails for fire danger. Communication is key to safe operation of job. Wayne Haitt has completed ProLogger Training. Annual training is required.



## Elf THP

Witnessed and discussed Elf THP. Archeological survey, Spotted Owl survey, and botanical survey witnessed. Pre-harvest inspection in conformance. Witnessed Letter of conformance. Two inspections have been conducted. No violations observed during inspections. Witnessed Letter of Conformance for each visit. Coarse woody debris in stream for fish habitat pictured:



## Stewart Creek Sediment Reduction Project (Garcia River Forest)

California Department of Fisheries & Game grant program for habitat restoration of Salmon and Steelhead Trout. Project is in Garcia River Forest, Garcia River Watershed.

*Project has been completed. Witnessed final report (attached). When crossings /roads/landings are decommissioned with this project, the roads will be hydrologically invisible from a watershed perspective. Observations of slash pack in the road and permanent carbon plot.*

Witnessed final report for Phase 1. Restored crossing pictured:



## Garcia River

### Fish Rock THP

Completed part along Inman Creek. Trees marked in blue are leave and cut are marked in yellow. Yard has been cleaned and water bars on skid trails. Skidding completed yesterday. Logs are marked with green for delivery by The Conservation Fund. Waterbars on slopes and skid trail are well placed and maintained. Debris on slopes for stabilization. Area will be artificially regenerated with Redwood. Witnessed rock ford. Well rocked and developed. Culvert will have downspout for Class 3 stream. Downspout will be added.

Active job with long line. Residual stand protected. No leaks around machines. No issues identified.

Interview: Wayne Heitt, Richard Piper Logging. Wayne has completed logger training. Fire box on job. Spill kit and first aid kit observed. Discussed PPE for job. Weekly safety meetings to discuss job. Ledger is maintained of safety training.



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## Field Site Notes –Virginia

### Roanoke River

#### T Tharpe Stand 3880

64-Acre 1st Thinning. Lawrence P Digger Logging LLC. Plan to reduce BA to 65-85. Priority is to reduce density to improve forest health. Wide main skid trail. Herring bone pattern. Skinning of residual stand. Utilization good. No water features. Rock on road to stabilize. Wet areas stabilized with debris. Buffer for old house. Wildlife trees marked. Poplar along road left for aesthetics. Buffer of 30' left along road. Debris scattered for stabilization. Timberwolf Hunting Club has assisted with projects on tract -gate installation. Deck clean. Debris spread.

#### Jackson 3878

60-acre Chemical Site Preparation. Witnessed Independent Forestry Contract to Red River Specialties. Verified BMP requirement. Witnessed Silviculture Activity Plan. Includes prescription, and water quality assessment. Wildlife trees identified on map and protected. No T&E identified in area. Witnessed Prescription Report and spray map. Interview confirms Service Provider is on site during mixing and spraying. Hunting club notified of spraying. They notified others in area. Buffer observed for adjacent landowner.

Will be planted in Winter. Seedlings from ArborGen will be bare root Elite.

#### Adams/Ailsworth 3877

25-acre regeneration. Target of 545 TPA (8 X 10). Actual of 547 TPA. Witnessed Planting Audit Field Form. Random 1/50acre plots taken during planting. Discussed monitoring for quality and survival. Quality monitoring involves confirming correct trees are planted. Seedlings in box are counted. Minimal is 350 - 400. Witnessed Independent Forestry Contract - Tree Planting with Superior Forestry Services, Inc. BMP requirements are stated.

Chemical Site prep copy from above no issues.

## Field Site Notes – New York

### Three Rivers

#### East Pond tract

85 ac, thinning targeting maple decline, ash & maple.

FB grapple skidder

2 SMZ crossings, poles pulled to the side when done, water flowing well.

2 landings roadside - clean and clear

Water bars well installed and working well with water being moved off the road.

East Pond shelterwood, 70 acres:

One SMZ crossing could have more pulled out, stand looks good, sun will hit the ground and hopefully the yellow birch will regen in and out compete the birch. Trails leading to the SMZ well slashed.

## Church Pond tract

+/-218 acres added 85 acres = 303 total  
Combination of winter and summer roads  
Shelterwood mowed the beech.



Site looks park like:

Wildlife trees retained.

Forester will be interested to see how the site responds to the deer browse with the lack of slash.

Nearby is a “control” by default where the slash was retained on-site. This can be compared in the future.

Must cut the beech in the spring to summer after its fully leafed out and has depleted its energy on foliage, then the full sunlight will shock the seedlings, leaving greater mortality of beech stems.

Logger - Seaway logging



## Newton Falls - Owl Mountain (Western area of tract)

Harvest Area (Ac.): +/- 123 acres.

Shelterwood seed cut with some patch retention.

Feller buncher/grapple skidder/loader-slasher used.

Machinery on-site, interviews conducted with forest workers.

Removal of beech, ash, and maple that is showing decline to leave a residual basal area of about 30-40 sq ft/ac depending on the specific area of the stand.

Beech regen to be 'mowed' wherever possible.

There may be some patches or openings where decline and or beech is most prolific. Mark to cut with Blue, good retention of Acceptable Growing Stock (AGS).



1 main SMZ present and several intermittent. SMZ crossing inspected and substantial rutting on the furthest skid trail, but sale is not closed out. Post-harvest photos provided to the auditor shortly after the audit and the road has been cleaned and rutting resolved. Use of existing log landing near main road.

**SMZ crossing looks good, more slash on the East side of the trail would be beneficial. Appendix 5**





Printed: September 14, 2020

### NSF Audit Attendance Sheet

Company Name The Conservation Fund

Location Pleasant River Headwaters, East Grand Lake, Reed Plantation

Type of Audit SFI Forest Management Surveillance Audit - All properties  
PSC Forest Management Surveillance Audit - East Grand Lake, Reed Plantation

Opening Meeting Date September 14, 2020 Closing Meeting Date September 15, 2020

Name	Position	Attended Opening Meeting?	Attended Closing Meeting?
Brian Schubert	TCF - Forest Ops. Manager	✓	
Joel P. Bracke	Forester - Operations Manager	✓	
David Randall	Operations Forester	✓	
Steven Tatro	AMU - PM. of ME Camp	✓	
Kenny FERGUSON	MAINE WOODLANDS FORESTER	✓	
Karen London	OPERATION DIRECTOR	✓	
Molly London	Forester - Owner WWL London		
Tucker Watts	NSF Lead Auditor	✓	



Printed: September 15, 2020

### NSF Audit Attendance Sheet

Company Name The Conservation Fund  
 Location Pleasant River Headwaters, East Grand Lake, Reed Plantation  
 SFI Forest Management Surveillance Audit – All properties  
 Type of Audit FSC Forest Management Surveillance Audit – East Grand Lake, Reed Plantation  
 Opening Meeting Date September 14, 2020 Closing Meeting Date September 15, 2020

Name	Position	Approval to use name in FSC Report	Attended Opening Meeting?	Attended Closing Meeting?
Brent Swanson	Forest Ops Mgr	Yes	✓	
Michelle Matteo	NSF-SFI Witness Auditor	Y	✗	
David Dow	P&C Chief Forester	Yes	✓	
Zachary Cox	Forest Tech	Yes	✓	
ROBERT CHANDLER	V.P. FOREST MANAGEMENT PR	YES	✓	
Tucker Watts	NSF Lead Auditor		✓	
Michelle Matteo	NSF Forestry Program Mgr		✓	



# NSF Audit Attendance Sheet

Company Name The Conservation Fund

Location North Coast – Big River, Garcia

Type of Audit SFI Forest Management Surveillance Audit, FSC Surveillance Audit

Opening Meeting Date October 6, 2020 Closing Meeting Date October 7, 2020

Name	Position	Approval to use name in FSC Report	Attended Opening Meeting?	Attended Closing Meeting?
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Tucker Watts	NSF Lead Auditor	✓	✓
Holly Newberger	Program Manager	✓/LN	✓
Scott Kelly	Timberland Manager	✓/SK	✓
Michelle Matteo	NSF Team Auditor	✓/MLM	✓

Vc



## NSF Audit Attendance Sheet

Company Name The Conservation Fund  
Location Roanoke River  
Type of Audit SFI Forest Management Surveillance Audit  
Opening Meeting Date November 13, 2020 Closing Meeting Date November 13, 2020

Name	Position	Approval to use name in FSC Report	Attended Opening Meeting?	Attended Closing Meeting?
Tucker Watts	NSF Lead Auditor	✓		
Buck Vaughan	TCF Director Forestry	✓		
Jeremy Isom	GFR-Director	✓		
Mason Patterson	Project's Forester	✓		



## NSF Audit Attendance Sheet

Company Name The Conservation Fund (TCF)

Location Site visit of Three Rivers, NY

Type of Audit SFI 2015-2019 Forest Management Surveillance Audit

Opening Meeting Date 16 Nov 2020 Site Closing Meeting Date 16 Nov 2020

Name	Position	Attended Opening Meeting?	Attended Site Level Closing Meeting?
Michelle Matteo	Senior Lead Auditor, NSF	Y	Y
Brian Schneider	Forest Operations Manager, TCF	Y	Y
Tom Gilman	Forester, F&W Forestry Services	Y	Y
P.J. Kavanagh	Forestry Technician, F&W Forestry Services	Y	Y



## NSF Audit Attendance Sheet

Company Name The Conservation Fund

Location Remote Closing Meeting

Type of Audit SFI Forest Management Surveillance Audit, FSC Forest Management Surveillance Audit

Opening Meeting Date December 18, 2020 Closing Meeting Date December 18, 2020

Name	Position	Approval to use name in FSC Report	Attended Opening Meeting?	Attended Closing Meeting?
Brian Schneider	Forest Operations Manager			X
Holly Newberger	North Coast Program Manager			X
Michelle Matteo	NSF Team Auditor/SA Witness Auditor			X
Tucker Watts	NSF Lead Auditor			X



Appendix 6

Forestry Program COVID-19 Report Appendix

Client Name: The Conservation Fund

FRS: C0144679

Is this a fully remote special audit? YES NO Justification: Field site visits will be on-site.

Is a remote special audit for certificate extension needed? YES NO Justification:

Approximate date of the future on-site special surveillance or re-evaluation audit to be completed within the allowed extension period.

Was this remote audit able to be effectively completed using remote audit methods? YES NO If no, why? State reason if "no" is selected:

Are there specific portions of the audit that could not be effectively evaluated? YES NO Portion of the audit that could not be audited:

Does additional time need be added to the next audit based on these follow-up items? YES NO

Are there follow-up items needed from the remote event? YES NO State reason for and amount of additional time:

Table with 3 columns: Remote audit methods used, Remote method/tool, Used for. Rows include Microsoft Teams and MOVEit.



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**Additional questions**

When is it expected that the organization will be able to function normally?

At the present time this is not known. Co. is currently operating with some staff working from home. No travel is allowed.

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Is the organization able to ship products or perform the service defined within the current scope of certification? If not, when is it expected to be able to do so?

Forests operations have been conducted with social distancing.

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Does the organization need to use alternative manufacturing and/or distribution sites? If so, are these currently covered under the current certification or will they need to be evaluated?

N/A

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Will some of the processes and/or services performed or products shipped be subcontracted to other organizations? If so, how will the other organizations' activities be controlled by the certified organization?

Operations are continuing with no change. No outsourcing is planned.

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To what extent has operation of the management system been affected?

Operations of the management system have not been affected.

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Has the certified organization conducted an impact assessment regarding COVID-19?

Impact assessment has been conducted. Staff employees are working from home. No travel is allowed. Currently, operations are continuing.

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