



**FSC Certification Report for the
2005 Annual Audit of:**

Swanton Pacific Ranch Forest-California State University Foundation

Certificate Number: SCS-FM/COC-00071N

**Under the
SCS Forest Conservation Program
(An FSC-Accredited Certification Program)**

**Date of Field Audit: December 15, 2005
Date of Report: October 15, 2006**

**Scientific Certification Systems
2000 Powell Street
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Emeryville, CA 94608**

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Client Contact:

Steve Auten, Swanton Pacific Forest Manager

Section 2.0 (Surveillance Decision and Public Record) will be made publicly available on the SCS website (www.scscertified.com) no later than 60 days after the report is finalized.

1.0 GENERAL INFORMATION

1.1 CONTACT INFORMATION

- Certified entity: Swanton Pacific Ranch, California State University Foundation
- Contact persons: Brian Dietterick, Steve Auten
- Address: 125 Swanton Road, Davenport, CA 95017
- Telephone: (831) 427-1718
- E-mail: bdietterick@calpoly.edu, sauten@calpoly.edu
- Certified products: Redwood and Douglas-fir logs
- Number of Acres/hectares certified: 2997 acres
- Nearest Town: Davenport, CA
- Biome: Temperate Conifer
- Tenure: Private
- Forest Composition: coast redwood, Douglas-fir, Monterrey pine, and oak
- Managed as: Natural Forest

1.2 General Background

This report covers the first annual audit of Swanton Pacific Ranch pursuant to the FSC guidelines for annual audits as well as the terms of the forest management certificate awarded by Scientific Certification Systems in May 2004 (SCS-FM –00071N). All certificates issued by SCS under the aegis of the Forest Stewardship Council (FSC) require annual audits to ascertain ongoing compliance with the requirements and standards of certification. A public summary of the initial evaluation is available on the SCS website www.scscertified.com.

Pursuant to FSC and SCS guidelines, annual/surveillance audits are not intended to comprehensively examine the full scope of the certified forest operations, as the cost of a full-scope audit would be prohibitive and it is not mandated by FSC audit protocols. Rather, annual audits are comprised of three main components:

- A focused assessment of the status of any outstanding conditions or corrective action requests
- Follow-up inquiry into any issues that may have arisen since the award of certification or prior audit
- As necessary given the breadth of coverage associated with the first two components, an additional focus on selected topics or issues, the selection of which is not known to the certificate holder prior to the audit.

At the time of the December 2005 annual audit, there were 3 open Corrective Action Requests (all issued at the time of the initial certification audit), the status of Swanton Pacific's response to which was a key focus of the annual audit (see discussion, below for a listing of those CARs and their disposition as a result of this annual surveillance audit.

1.3 Guidelines/Standards Employed

For this annual audit, the SCS auditor evaluated the extent of conformance of the Swanton Pacific forest management program with the FSC Pacific Coast Regional Standard. As this was an annual audit, the auditor did not endeavor to assess conformance with the entirety of the Regional Standard. Rather, the intent is that over the span of 4 annual surveillance audits the full scope of the Regional Standard will be covered.

2.0 SURVEILLANCE DECISION AND PUBLIC RECORD

2.1 Assessment Dates

The December 15th 2005 audit was the first annual surveillance audit of Swanton Pacific since the award of certification. The original audit was conducted in September 2003; the certificate was issued on May 3, 2004.

This annual audit required 3.0 auditor days:

- 0.5 day for audit preparation
- 1.0 day for the field component of the audit
- 1.5 days for document review and report preparation

2.2 Assessment Personnel

This annual audit was conducted by Dr. Robert J. Hrubes.

Dr. Robert J. Hrubes, Lead Auditor: Dr. Hrubes is Senior Vice-President of Scientific Certification Systems. He is a registered professional forester and forest economist with 30 years of professional experience in both public and private forest management issues. He served as team leader for the initial MRC Forest certification evaluation. Dr. Hrubes worked in collaboration with SCS to develop the programmatic protocol that guide all SCS Forest Conservation Program evaluations. Dr. Hrubes has led numerous SCS Forest Conservation Program evaluations of North American (U.S. and Canada) industrial and public sector forest ownerships, as well as operations in Scandinavia, Chile, and Japan. He also has professional work experience in Brazil, Germany, Guam (U.S.), Hawaii (U.S.), and Malaysia. Dr. Hrubes is the principal author of this audit report.

2.3 Assessment Process

The scope of the 2005 annual audit, as with all annual audits, included: document review, the auditor spending time in the field and office, interviewing management personnel and, as

appropriate, interacting with outside stakeholders.¹ Upon completion of the fact finding phase of the audit, the lead auditor made findings as to the adequacy of Swanton Pacific's response to the 3 open CARs as well as the adequacy of conformance to selected components of the Regional Standard (see presentation, below).

Participants in the Audit

Robert Hrubes, SCS
Steve Auten, Cal Poly
Doug Piirto, Cal Poly
Brian Dietterick, Cal Poly
Achim Droste, FSC
Bill Wilkinson, FSC
David Haupt, Cal Poly student observer
Briand Morris, Cal Poly student observer
Brian Bishop, SPR intern

December 15, 2006:

- Opening Meeting at Al Smith's House; topics covered:
 - Introductions
 - Review of audit itinerary
 - Briefing by Hrubes on recent FSC developments
 - Overview presentations by Piirto, Dietterick and Auten
 - Discussion of SPR's response to the CARs and RECs
 - Collaboration activities with outside entities such as Scott's Creek Watershed Council
 - Status of NTMP presently under development
 - Monitoring activities
 - Inventory activities
 - Road management planning
 - HCVF analysis and planning
 - Review of chemical use (none in the past year)
 - Reserve areas (Criterion 6.4)
- Field Reconnaissance—Lower Little Creek Timber Harvest Plan (THP)
 - Review of silvicultural prescription
 - Post harvest stand conditions
 - Road maintenance
 - Social benefits of the ranch (e.g., conclave site)
 - Flagging of property lines
 - Onsite milling (not intended for sale)

¹ This audit of Swanton Pacific Ranch also served as an FSC accreditation audit of SCS. That is, the SCS Lead Auditor was shadowed by two FSC accreditation auditors: Lead Auditor Achim Droste and Local Expert Bill Wilkinson. The FSC auditors functioned strictly as observers and did not influence the nature or outcome of the SCS audit of Swanton Pacific.

- SPR foresters' working knowledge of the Forest Practice Regulations
- Worker/student safety in the woods
- Exit Briefing back at Al Smith's house
 - Disposition of open CARs
 - New CARs and RECs
 - Closure of the field component of this surveillance audit.

2.4 Status of Corrective Action Requests

Background/Justification: Swanton Pacific Ranch has not made publicly available a summary of the management plan- as required in P&C 7.4.	
CAR.2003.1	By the time of the first annual audit after award of certification, Swanton Pacific Ranch must <i>make publicly available</i> a summary of the main elements of the management plan including those listed in P&C 7.1. Information deemed proprietary or confidential from a business standpoint does not need to be included in the public summary.
Reference	FSC P&C 7.4 – Pacific Coast Standard V. 7.9
Deadline	1 st annual audit (approx. 12 months from award of certification)
Action Taken By Swanton Pacific/Auditor Comments: As is detailed in a CD as well as three-ring binder presented to the SCS Lead Auditor on December 14 th , SPR managers have completed a comprehensive management plan for the Ranch and have made the entirety of the plan publicly available on the Cal Poly/Swanton Pacific Ranch web site: http://www.spranch.org/new/forManPhil.html . The response to this CAR also includes a detailed, point-by-point cross walk on how and where within the SPR Plan each subject area enumerated in FSC Criterion 7.1 is covered. Our review of this cross walk leads to the conclusion that, indeed, the full array of mandated subject areas is addressed within the Plan which, again, is publicly available in its entirety. We also take positive note of the fact that PHI documents are now posted on the Ranch web site.	
Status at the Conclusion of this Annual Audit: On the basis of the actions taken by Swanton Pacific Ranch managers, the SCS Lead Auditor concludes that closure of this CAR is warranted.	

Background/Justification: Swanton Pacific Ranch has not met the intent of Criterion 8.5, which requires making available an up-to-date summary of monitoring.	
CAR.2003.2	By the time of the first annual audit after award of certification, Swanton Pacific Ranch must <i>make publicly available</i> a summary of the results of periodic monitoring, including: <ul style="list-style-type: none"> ● Yield of forest products harvested ● Growth rates, regeneration and conditions of the forest

	<ul style="list-style-type: none"> • Composition and observed changes in flora and fauna • Environmental and social impacts of harvesting and other operations • Costs, productivity, and efficiency of forest management. <p>Information deemed proprietary or confidential from a business standpoint does not need to be included in the public summary.</p>
Reference	FSC P&C 8.5 – Pacific Coast Standard V. 7.9
Deadline	1 st annual audit (approx. 12 months from award of certification)
<p>Action Taken By Swanton Pacific/Auditor Comments:</p> <p>As was presented in a CD as well as three-ring binder presented to the SCS Lead Auditor on December 14th, SPR managers have completed a detailed cross walk of the various types and subject areas of monitoring undertaken on SPR and where the results of this monitoring are presented in several key planning documents such as the Management Plan, the Valencia Creek Non-industrial Management Plan (NTMP), the Swanton NTMP (under development), and the Natural Resources program document. The cross walk adequately demonstrates that all of the key monitoring subject areas enumerated in Criterion 8.1. are being addressed in one of those documents, all of which are publicly available.</p>	
<p>Status at the Conclusion of this Annual Audit:</p> <p>On the basis of the actions taken by Swanton Pacific Ranch managers, the SCS Lead Auditor concludes that closure of this CAR is warranted. However, we are also issuing a new Recommendation as a follow-up to encourage SPR managers to: a) post the Monitoring Activities Cross Walk on the SPR web site so as to provide the public with an easily digestible summary of where the results of various monitoring activities are available within other planning documents and, b) develop a standard operating procedure for generating an annual monitoring report.</p>	

<p>Background/Justification: Management of Swanton Pacific Ranch is not in compliance with Principle 9, High Conservation Value Forest (HCVF)</p>	
CAR.2003.3	<p>Within one year of award of certification, Swanton Pacific Ranch must <i>complete the assessment for/identification of HCVFs</i>, building upon the work initiated in response to Major CAR 2003.1 including</p> <ul style="list-style-type: none"> ▪ mapping of all HCVF areas identified within its forest estate. ▪ augmenting the management plan <i>with the specific measures</i> (policies, prescriptions, practices) that are being or will be employed to maintain the salient conservation values for all areas of the ownership identified or to be identified as HCVF. These management measures must be included in the public summary of the management plan. ▪ developing and formally adopting procedures for periodic monitoring of the effectiveness of measures taken to maintain

	the salient conservation values within areas identified as HCVF.
Reference	FSC P&C 9.1-9.4 – Pacific Coast Standard V. 7.9
Deadline	1 st annual audit (approx. 12 months from award of certification)
Action Taken By Swanton Pacific/Auditor Comments: In response to this CAR, an analysis of high conservation values on the SPR Forest was conducted in the lead of Professor Wally Mark. The results of this analysis, conducted in conformance with the content and structure of FSC Principle 9, are presented in a new document that is now posted on the SPR web site, entitled <i>High Conservation Values of the Swanton Pacific Ranch Forest (August 2005)</i> . This report details the analysis that was conducted, the involvement of key participants such as students and other faculty members, and the results, presented in both tabular and mapped form. Overall, the SCS Lead Auditor considers the effort undertaken under Dr. Mark's leadership to be highly exemplary for a Forest Management Unit (FMU) of only 2,500 acres and that qualifies as a Small or Low Intensity Managed Forest (SLIMF) per FSC definition. We also take positive note of the fact that the scope of the HCVF analysis included social values, an inclusion that is not commonly undertaken by certified forest managers, though it should be. An important companion document, <i>Botanical Survey and Scientific Review of the Swanton Pacific Ranch High Conservation Forests</i> , was authored by Dr. Grey Hayes of Watsonville, CA. This document was prepared with the intent of meeting the HCVF monitoring requirements of FSC Criterion 9.4. We note that Dr. Hayes as made, in the report, some key suggested improvements in SPR's approach to HCVF management and we trust that, in due course, these recommendations will be acted upon.	
Status at the Conclusion of this Annual Audit: On the basis of the actions taken by Swanton Pacific Ranch managers, the SCS Lead Auditor concludes that closure of this CAR is warranted.	

2.5 General Observations

On the basis of the discussions held with key SPR staff, a careful review of the documents presented at the time of the audit, and on the basis of field observations made, it is the SCS Lead Auditor's overall sense that Cal Poly faculty and staff have materially enhanced the level of conformance of the Forest's management programs to the FSC Pacific Coast Regional Standard. We are very impressed with the preparation that was undertaken by lead staff at SPR in advance of the audit, as evidenced by the compiled documentation that was conveyed to the Lead Auditor. We also take positive note of the addition of Steve Auten to the Ranch/Forest staff as Mr. Auten's previous experience on another FSC-certified forest operation stands him and his new employer in very good stead for enhancing the collective working knowledge of the obligations that attend to the status as a FSC-certified operation. In that same vein, and although Professor Mark is not as actively involved in management of SPR as he was previously, we take positive note of the ongoing strength and depth of understanding of the FSC standards and obligations that Dr. Mark brings to the management mix at SPR. And finally, we much appreciated the fact that Department Head Dr. Piirto and Faculty Ranch Director Dr. Dietterick were able to participate, first hand, in this surveillance audit. Their presence both enhanced the

robustness of the audit and, we believe, enhanced their working knowledge of the certification process. It is hoped that they will be able to participate in future audits, as well.

Overall, this surveillance audit strongly confirmed the propriety of continuing the FSC-endorsed certification of the Swanton Pacific Ranch Forest.

2.6 New Corrective Action Requests and Recommendations

One new Minor Corrective Action Requests has been stipulated as a result of this surveillance audit.

Background/Justification: The use of the FSC Logo on the SPR web site is not in conformance with the FSC logo use guidelines, as the obligatory text is not inserted immediately below the logo.	
CAR 2005.1	Staff responsible for the content of the Swanton Pacific Ranch web site must consult with the SCS logo administrator for the purpose of modifying the use of the FSC logo on the web site to bring it into conformance with the FSC logo use guidelines. For instance, the SPR CoC certificate number must be included immediately below the FSC logo.
Deadline	Within 60 days of receipt of this audit report.
Reference	FSC Logo Use Guidelines as incorporated into the FSC Logo Pack that was conveyed to SPR at the time of award of certification.

Recommendations:

We offer three new Recommendations that, if acted upon, will further enhance the level of conformance to the FSC Pacific Coast Regional Standard:

Background/Justification: To further enhance the level of transparency and public access to key documents associated with the management of the SPR Forest, it would be helpful if a hotlink was created on the Ranch web site to the CCRWQCB web site. The reason is that the annual report submitted to the CCRWQCB by Ranch managers that details the results of road monitoring is posted on the CCRWQCB web site. So a link from the SPR web site to the CCRWQCB web site will enhance overall transparency.	
REC 2005.1	Swanton Pacific Ranch/Cal Poly personnel should consider creating, on the Ranch web site, a link to the Central Coast Regional Water Quality Control Board web site, specifically to the place on the CCRWQCB web site that contains annual road monitoring reports submitted to SPR.
Reference	FSC Criteria 4.4, 6.1., 7.4 and 8.5

Background/Justification: SCS prefers that our certificate-holding clients use our

corporate logo in conjunction with the FSC logo, particularly in off-product logo use circumstances.	
REC 2005.2	Swanton Pacific Ranch/Cal Poly personnel should consider employing the SCS logo in conjunction with their use of the FSC logo on the Ranch web site
Reference	FSC and SCS Logo Use Guidelines

Background/Justification: While SPR managers have now demonstrated, through a Cross Walk document conveyed to the SCS Lead Auditor, that all of the monitoring requirements enumerated in FSC Criterion 8.1. are being addressed in the collective body of SPR planning documents, there is not a concise publicly available summary.	
REC 2005.3	SPR managers should consider: a) posting the Monitoring Activities Cross Walk on the SPR web site so as to provide the public with an easily digestible summary of where the results of various monitoring activities are available within other planning documents and, b) developing a standard operating procedure for generating an annual monitoring report.
Reference	FSC Criterion 8.5

2.7 General Conclusions of the Annual Surveillance Audit

Based upon information gathered through the site visit, interviews, and document reviews, the SCS lead auditor concludes that Swanton Pacific's management of the Cal-Poly forest estate in Santa Cruz County, California continues to be in strong overall compliance with the FSC Principles and Criteria, as further elaborated by the Pacific Coast Regional Guidelines. That is, and while there remains aspects of the management program for which there are opportunities for further improvement relative to the standard of certification, the SCS lead auditor has concluded from this annual audit that Swanton Pacific's forest management program is in general conformance with FSC Principles 1 through 9 (Principle 10 is not applicable as Swanton Pacific's operations are classified as "natural forest management" under the FSC definitions). As such, continuation of the certification is warranted subject to ongoing annual surveillance audits.

3.0 DETAILED OBSERVATIONS

This section is divided into two parts: Section 3.1 details the determining of conformance and non-conformance with the elements of the standard examined during this audit. Section 3.2 discusses stakeholder comments.

3.1 Evaluation of Conformance

For this surveillance audit, the portions of the overall standard (the Pacific Coast Regional Standard) that were selected for consideration are highlighted in yellow, below. The Lead Auditor found no non-conformities to any of the selected portions of the Standard.

REQUIREMENT	NC	COMMENT/CAR
P1 Forest management shall respect all applicable laws of the country in which they occur, and international treaties and agreements to which the country is a signatory, and comply with all FSC Principles and Criteria.		
C1.1 Forest management shall respect all national and local laws and administrative requirements.		
C1.2. All applicable and legally prescribed fees, royalties, taxes and other charges shall be paid.		
C1.3. In signatory countries, the provisions of all binding international agreements such as CITES, ILO Conventions, ITTA, and Convention on Biological Diversity, shall be respected.		
C1.4. Conflicts between laws, regulations and the FSC Principles and Criteria shall be evaluated for the purposes of certification, on a case by case basis, by the certifiers and by the involved or affected parties.		
C1.5. Forest management areas should be protected from illegal harvesting, settlement and other unauthorized activities.		
C1.6. Forest managers shall demonstrate a long-term commitment to adhere to the FSC Principles and Criteria.		
P2 Long-term tenure and use rights to the land and forest resources shall be clearly defined, documented and legally established.		
C2.1. Clear evidence of long-term forest use rights to the land (e.g., land title, customary rights, or lease agreements) shall be demonstrated.		
C2.2. Local communities with legal or customary tenure or use rights shall maintain control, to the extent necessary to protect their rights or resources, over forest operations unless they delegate control with free and informed consent to other agencies.		
C2.3. Appropriate mechanisms shall be employed to resolve disputes over tenure claims and use rights. The circumstances and status of any outstanding disputes will be explicitly considered in the certification evaluation. Disputes of substantial magnitude involving a significant number of interests will normally disqualify an operation from being certified.		
P3 The legal and customary rights of indigenous peoples to own, use and manage their lands, territories, and resources shall be recognized and respected.		
C3.1. Indigenous peoples shall control forest management on their lands and territories unless they delegate control with free and informed consent to other agencies.		
C3.2. Forest management shall not threaten or diminish, either directly or indirectly, the resources or tenure rights of indigenous peoples.		
C3.3. Sites of special cultural, ecological, economic or religious significance to indigenous peoples shall be clearly identified in cooperation with such peoples, and		

recognized and protected by forest managers.		
C3.4. Indigenous peoples shall be compensated for the application of their traditional knowledge regarding the use of forest species or management systems in forest operations. This compensation shall be formally agreed upon with their free and informed consent before forest operations commence.		
P4 Forest management operations shall maintain or enhance the long-term social and economic well-being of forest workers and local communities.		
C4.1. The communities within, or adjacent to, the forest management area should be given opportunities for employment, training, and other services.		
C4.2. Forest management should meet or exceed all applicable laws and/or regulations covering health and safety of employees and their families.		
C4.3 The rights of workers to organize and voluntarily negotiate with their employers shall be guaranteed as outlined in Conventions 87 and 98 of the International Labor Organization (ILO).		
C4.4. Management planning and operations shall incorporate the results of evaluations of social impact. Consultations shall be maintained with people and groups directly affected by management operations.		
C4.5. Appropriate mechanisms shall be employed for resolving grievances and for providing fair compensation in the case of loss or damage affecting the legal or customary rights, property, resources, or livelihoods of local peoples. Measures shall be taken to avoid such loss or damage.		
P5 Forest management operations shall encourage the efficient use of the forest's multiple products and services to ensure economic viability and a wide range of environmental and social benefits.		
C5.1. Forest management should strive toward economic viability, while taking into account the full environmental, social, and operational costs of production, and ensuring the investments necessary to maintain the ecological productivity of the forest.		
C5.2. Forest management and marketing operations should encourage the optimal use and local processing of the forest's diversity of products.		
C5.3. Forest management should minimize waste associated with harvesting and on-site processing operations and avoid damage to other forest resources.		
C5.4. Forest management should strive to strengthen and diversify the local economy, avoiding dependence on a single forest product.		
C5.5. Forest management operations shall recognize, maintain, and, where appropriate, enhance the value of forest services and resources such as watersheds and fisheries.		
C5.6. The rate of harvest of forest products shall not exceed levels that can be permanently sustained.		
P6 Forest management shall conserve biological diversity and its associated values, water resources, soils, and unique and fragile ecosystems and landscapes, and, by so doing, maintain the ecological functions and the integrity of the forest.		
C6.1. Assessments of environmental impacts shall be completed -- appropriate to the scale, intensity of forest management and the uniqueness of the affected resources -- and adequately integrated into management systems. Assessments shall include landscape level considerations as well as the impacts of on-site processing facilities.		

Environmental impacts shall be assessed prior to commencement of site-disturbing operations.		
C 6.2. Safeguards shall exist which protect rare, threatened and endangered species and their habitats (e.g., nesting and feeding areas). Conservation zones and protection areas shall be established, appropriate to the scale and intensity of forest management and the uniqueness of the affected resources. Inappropriate hunting, fishing, trapping, and collecting shall be controlled.		
C6.3. Ecological functions and values shall be maintained intact, enhanced, or restored, including: a) Forest regeneration and succession. b) Genetic, species, and ecosystem diversity. c) Natural cycles that affect the productivity of the forest ecosystem.		
C6.3.a. Forest regeneration and succession		
C6.3.b. Genetic, species, and ecosystem diversity		
C6.3.c. Natural cycles that affect the productivity of the forest ecosystem		
C6.4. Representative samples of existing ecosystems within the landscape shall be protected in their natural state and recorded on maps, appropriate to the scale and intensity of operations and the uniqueness of the affected resources.		
C6.5. Written guidelines shall be prepared and implemented to control erosion; minimize forest damage during harvesting, road construction, and all other mechanical disturbances; and to protect water resources.		The Management Plan, the 2 NTMPs (one in development) and the Lower Little Creek THP all contain detailed guidance on procedures for minimizing road and logging-induced soil erosion as well as procedures for protecting aquatic and riparian resources. No non-conformities observed.
C6.6. Management systems shall promote the development and adoption of environmentally friendly non-chemical methods of pest management and strive to avoid the use of chemical pesticides. World Health Organization Type 1A and 1B and chlorinated hydrocarbon pesticides; pesticides that are persistent, toxic or whose derivatives remain biologically active and accumulate in the food chain beyond their intended use; as well as any pesticides banned by international agreement, shall be prohibited. If chemicals are used, proper equipment and training shall be provided to minimize health and environmental risks.		No chemicals have been used on the Ranch Forest since 2003.
C6.7. Chemicals, containers, liquid and solid non-organic wastes including fuel and oil shall be disposed of in an environmentally appropriate manner at off-site locations.		No evidence of in-forest or other inappropriate disposal of chemicals, containers, or liquid or solid wastes was observed during this surveillance audit.
C6.8. Use of biological control agents shall be documented, minimized, monitored, and strictly controlled in accordance with national laws and internationally accepted scientific protocols. Use of genetically modified organisms shall be prohibited.		No biological control agents are used within the SPR Forest
C6.9. The use of exotic species shall be carefully controlled and actively monitored to avoid adverse ecological impacts.		No exotic species are employed on the SPR Forest
C6.10. Forest conversion to plantations or non-forest land uses shall not occur, except in circumstances where conversion: a) Entails a very limited portion of the forest management unit; and b) Does not occur on High Conservation Value Forest areas; and c) Will enable clear, substantial, additional, secure, long-term conservation benefits across		There is no conversion of forested areas to non-forest cover/land uses on the SPR Forest

the forest management unit.		
P7 A management plan -- appropriate to the scale and intensity of the operations -- shall be written, implemented, and kept up to date. The long-term objectives of management, and the means of achieving them, shall be clearly stated.		
C7.1. The management plan and supporting documents shall provide: a) Management objectives. b) description of the forest resources to be managed, environmental limitations, land use and ownership status, socio-economic conditions, and a profile of adjacent lands. c) Description of silvicultural and/or other management system, based on the ecology of the forest in question and information gathered through resource inventories. d) Rationale for rate of annual harvest and species selection. e) Provisions for monitoring of forest growth and dynamics. f) Environmental safeguards based on environmental assessments. g) Plans for the identification and protection of rare, threatened and endangered species. h) Maps describing the forest resource base including protected areas, planned management activities and land ownership. i) Description and justification of harvesting techniques and equipment to be used.		All subject matter components, (a) through (i) are addressed in the 2004 SPR Forest Management Plan
7.1.a. Management objectives		
7.1.b. Description of forest resources to be managed, environmental limitations, land use and ownership status, socioeconomic conditions, and profile of adjacent lands		
7.1.c. Description of silvicultural and/or other management system		
7.1.d. Rationale for the rate of annual harvest and species selection		
7.1.e. Provisions for monitoring forest growth and dynamics.		
7.1.f. Environmental safeguards based on environmental assessments (see also Criterion 6.1).		
7.1.g. Plans for the identification and protection of rare, threatened, and endangered species. (see also Criterion 6.3)		
7.1.h. Maps describing the forest resource base including protected areas, planned management activities, and land ownership.		
7.1.i. Description and justification of harvesting techniques and equipment to be used. (see also Criterion 6.5)		
C7.2. The management plan shall be periodically revised to incorporate the results of monitoring or new scientific and technical information, as well as to respond to changing environmental, social and economic circumstances.		The Plan has just recently been completed and, as such, the entirety of the Plan is current. Plan revisions will be undertaken periodically.
C7.3. Forest workers shall receive adequate training and supervision to ensure proper implementation of the management plans.		Key Cal Poly staff demonstrate a solid working knowledge of the content of the Plan.
C7.4. While respecting the confidentiality of information, forest managers shall make publicly available a summary of the primary elements of the management plan, including those listed in Criterion 7.1.		The entire Plan is posted on the SPR web site and, as such, readily available to the public.
P8 Monitoring shall be conducted -- appropriate to the scale and intensity of forest management -- to assess the condition of the forest, yields of forest products, chain of custody, management activities and their social and environmental impacts.		
C8.1. The frequency and intensity of monitoring should		In the context of the small size of the FMU and the relatively low

be determined by the scale and intensity of forest management operations, as well as, the relative complexity and fragility of the affected environment. Monitoring procedures should be consistent and replicable over time to allow comparison of results and assessment of change.		intensity of active timber management on the Forest, it is our conclusion that the array of monitoring activities conducted on the Forest is quite exemplary and in full conformity with this Criterion.
8.2. Forest management should include the research and data collection needed to monitor, at a minimum, the following indicators: a) yield of all forest products harvested, b) growth rates, regeneration, and condition of the forest, c) composition and observed changes in the flora and fauna, d) environmental and social impacts of harvesting and other operations, and e) cost, productivity, and efficiency of forest management.		As a School Forest, SPR Forest is subject to ongoing and active research projects.
8.2.a. Yield of all forest products harvested.		
8.2.b. Growth rates, regeneration, and condition of the forest		
8.2.c. Composition and observed changes in the flora and fauna		
8.2.d. Environmental and social impacts of harvesting and other operations		
8.2.e. Cost, productivity, and efficiency of forest management		
C8.3. Documentation shall be provided by the forest manager to enable monitoring and certifying organizations to trace each forest product from its origin, a process known as the "chain of custody."		
C8.4. The results of monitoring shall be incorporated into the implementation and revision of the management plan.		As confirmed by the cross walk document supplied to the Lead Auditor during the 2005 surveillance audit, monitoring activities on the SPR Forest are fully integrated into the planning documents such as the Management Plan, NTMPs and THPs
C8.5. While respecting the confidentiality of information, forest managers shall make publicly available a summary of the results of monitoring indicators, including those listed in Criterion 8.2.		All monitoring reports and planning documents are publicly available
P9 Management activities in high conservation value forests shall maintain or enhance the attributes which define such forests. Decisions regarding high conservation value forests shall always be considered in the context of a precautionary approach.		
C9.1. Assessment to determine the presence of the attributes consistent with High Conservation Value Forests will be completed, appropriate to scale and intensity of forest management.		An. HCVF assessment was conducted during 2005 and the results are presented in a report authored by Prof. Mark
C9.2. The consultative portion of the certification process must place emphasis on the identified conservation attributes, and options for the maintenance thereof.		Dr. Hayes was retained to conduct an outside review of conservation values and management approaches
C9.3. The management plan shall include and implement specific measures that ensure the maintenance and/or enhancement of the applicable conservation attributes consistent with the precautionary approach. These measures shall be specifically included in the publicly available management plan summary.		The management plan and appurtenant planning documents contain detailed guidance on how each identified and mapped HCVF area is to be managed so as to maintain the salient high conservation values.
C9.4. Annual monitoring shall be conducted to assess the effectiveness of the measures employed to maintain or enhance the applicable conservation attributes.		To be checked at the 2006 annual surveillance audit.

3.2 Stakeholder Comments

No stakeholders were interviewed as part of this first annual surveillance audit. It is anticipated that the 2006 annual audit will include roughly 2 hours of budgeted time for completion of phone-based interviews of a small sample of pertinent stakeholders including neighbors and regulatory agency personnel.

Since award of certification in May 2004, SCS has not received any stakeholder complaints or expressions of concern regarding the management of the FSC-certified Swanton Pacific Ranch Forest.

3.3 Controversial Issues

No exceptionally controversial or difficult issues presented themselves during this surveillance audit.

3.4 Changes in Certificate Scope

There were no changes in the scope of this certificate during the previous year nor was any change of scope requested at the time of this annual surveillance audit.