



**FSC Certification Report for the
2008 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 18, 2008
Date of Report: December 31, 2009**

**Scientific Certification Systems
2200 Powell Street, Suite 725
Emeryville, CA 94608**

SCS Contact: Dave Wager, Program Director
dwager@scscertified.com

Client Contact: Steve Auten, Swanton Pacific Forest Manager
sauten@calpoly.edu

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

Swanton Pacific Ranch, California State University Foundation
c/o Steve R. Auten, Resource Manager
125 Swanton Road
Davenport, CA 95017
(831) 458-5413
Email: sauten@calpoly.edu
Website: <http://www.spranch.org/>

1.2 General Background

This report covers the fourth annual audit of Swanton Pacific Ranch (SPR) 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.scs-certified.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 2008 annual audit, there were no open Corrective Action Requests.

1.3 Guidelines/Standards Employed

For this annual audit, the SCS auditor team evaluated the extent of conformance with the FSC Pacific Coast Regional Standard version 9.0. Due to their small size and to keep the costs of auditing down for small landowners, FSC allows SLIMFs to undergo two desk audits during the 5 year certification period. Accordingly, the audit occurred over the phone.

2.0 SURVEILLANCE DECISION AND PUBLIC RECORD

2.1 Assessment Dates

The audit took place on December 18, 2008. Approximately one person day was spent on the annual audit.

2.2 Assessment Personnel

Mr. Kyle Meister, Lead auditor: Mr. Meister is a Certification Forester with Scientific Certification Systems. Recent audits include the Mendocino Redwood Company's Resource Manager Program, Michigan DNR, Trout Mountain Forestry, and Collins-Lakeview. He holds a B.S. in Natural Resource Ecology and Management and a B.A. in Spanish from the University of Michigan. He recently completed a Master of Forestry degree at the Yale School of Forestry and Environmental Studies. He has experience as an environmental educator and natural resource consultant in the U.S., Mexico, Ecuador, Costa Rica, and Colombia.

2.3 Assessment Process

The 2008 desk audit included document review and interviews with management. The auditor provided SPR management with a questionnaire prior to the audit to facilitate the assessment process.

2.4 Status of Corrective Action Requests (CARs) and Recommendations

There were no open CARs or recommendations from the 2007 audit.

2.5 General Observations

The Swanton Pacific Ranch was donated to CalPoly by Al Smith in 1993, whose vision for students was for them to "learn by doing." It has areas for cattle ranching, agriculture and forestry. CalPoly students and faculty use the lands for a variety of class field trips, projects, internships, and research. SPR staff is dedicated to improving students' understanding and relationship to the natural world, which fits with FSC Principles and Criteria.

2.6 New Corrective Action Requests and Recommendations

There were no new CARs or recommendations as a result of this annual audit.

2.7 General Conclusions of the Annual Audit

Based upon information gathered through interviews and document reviews, the SCS audit team concludes that SPR's management of its forested lands in Davenport, CA continues to be in strong overall compliance with the FSC Principles and Criteria detailed in the Pacific Coast

Regional Guidelines. While there remain aspects of the management program that are deficient relative to the standard of certification, the SCS audit team has concluded from this annual audit that SPR's forest management program is in general conformance with FSC Principles 1 through 9 (Principle 10 is not applicable as SPR's operations are classified as "natural forest management" under the FSC definitions). As such, continuation of the certification is warranted subject to subsequent annual 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 any stakeholder comments.

3.1 Evaluation of Conformance

The auditor chose to focus on Principles 1 and 8 during this surveillance audit:

REQUIREMENT	SCS	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.	C	SPR turns in its THPs and NTMPs on time to the Cal Department of Forestry.
C1.2. All applicable and legally prescribed fees, royalties, taxes and other charges shall be paid.	C	SPR has paid all of its timber harvest taxes.
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.	C	SPR is working with CalPoly faculty and the State of California on endangered species and biodiversity monitoring and management. It respects all pertinent laws related to labor and endangered species.
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.	NA	
C1.5. Forest management areas should be protected from illegal harvesting, settlement and other unauthorized activities.	C	SPR has had occasional problems with motorcycles, some squatting on its rangelands, but nothing that is under FSC certification. SPR has taken action to restrict unauthorized access.
C1.6. Forest managers shall demonstrate a long-term commitment to adhere to the FSC Principles and Criteria.	C	SPR has been FSC certified since 2004. Its commitment to learning and research in forestry and aquatics makes its management practices in strong commitment to FSC.
P2 Long-term tenure and use rights to the land and forest resources shall be clearly defined, documented and legally established.		
P3 The legal and customary rights of indigenous peoples to own, use and manage their lands, territories, and resources shall be recognized and respected.		
P4 Forest management operations shall maintain or enhance the long-term social and economic well-being of forest workers and local communities.		
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.		
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.		
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.		
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 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.	C	SPR has done extensive monitoring on its Little Creek Paired and Nested Watershed study. They have looked at changes in tributary streams due to changes in silviculture. Roads have been repaired for waterbars and stream crossings. There is a continuous forest inventory system and permanent plots measure every ten years.
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.	C	SPR is in conformance with this criterion.
8.2.a. Yield of all forest products harvested.	C	SPR maintains timber receipts, which track yield.
8.2.b. Growth rates, regeneration, and condition of the forest	C	SPR has a continuous forest inventory system.
8.2.c. Composition and observed changes in the flora and fauna	C	SPR has an invasive exotic plant study and hosts a NOAA fishery study in Scotts Creek. SPR managers would like to use this data to improve forest management.
8.2.d. Environmental and social impacts of harvesting and other operations	C	There was a cumulative impacts analysis in the most recent THP: visual and recreational impact. SPR received some letters on THP. The wood remained local and the operator was local. All specialists local.
8.2.e. Cost, productivity, and efficiency of forest management	C	SPR maintains records on costs and productivity and conducts post-harvest reviews.
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."	C	SPR does not possess a chain-of-custody permit and has not sold any wood as FSC certified.
C8.4. The results of monitoring shall be incorporated into the implementation and revision of the management plan.	C	A CalPoly botanist spent much time reviewing the management plan's HCVFs and production areas. He found some areas in production that should be protected due to their rarity in the overall landscape context. The management plan was changed accordingly.
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.	C	Some NTHPs are in SPR's management plan and web site. These, and old plans, are on SPR's website, which allows the public to compare changes.
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.		

3.2 Stakeholder Comment

SPR has not received any stakeholder complaints or disputes since the previous evaluation, and stakeholder consultation by the audit team has not revealed any further stakeholder complaints or disputes.

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.