

FOREST MANAGEMENT AND STUMP-TO-FOREST GATE CHAIN-OF-CUSTODY ANNUAL SURVEILLANCE REPORT

California Polytechnic Corporation Swanton Pacific Ranch

125 Swanton Rd, Davenport, CA 95017

SCS-FM/COC-00071N

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www.spranch.org

CERTIFIED	EXPIRATION
05.03.2009	05.03.2014

DATE OF FIELD AUDIT
11 December 2013
DATE OF LAST UPDATE
05 April 2014

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Foreword

Cycle in annual surveillance audits			
<input type="checkbox"/> 1 st annual audit	<input type="checkbox"/> 2 nd annual audit	<input type="checkbox"/> 3 rd annual audit	<input checked="" type="checkbox"/> 4 th annual audit
Name of Forest Management Enterprise (FME) and abbreviation used in this report:			
Swanton Pacific Ranch, SPR, inclusive of the Valencia Tract			

All certificates issued by SCS under the aegis of the Forest Stewardship Council (FSC) require annual audits to ascertain ongoing conformance with the requirements and standards of certification. A public summary of the initial evaluation is available on the FSC Certificate Database <http://info.fsc.org/>.

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 (CARs; see discussion in section 4.0 for those CARs and their disposition as a result of this annual audit);
- Follow-up inquiry into any issues that may have arisen since the award of certification or prior to this audit; and
- 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.

Organization of the Report

This report of the results of the 4th annual surveillance audit is divided into two sections. Section A provides the public summary and background information that is required by the Forest Stewardship Council. This section is made available to the general public and is intended to provide an overview of the evaluation process, the management programs and policies applied to the forest, and the results of the evaluation. Section A will be posted on the FSC Certificate Database (<http://info.fsc.org/>) no less than 90 days after completion of the on-site audit. Section B contains more detailed results and information for the use by the FME.

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SECTION A – PUBLIC SUMMARY

1. General Information

1.1 Annual Audit Team

Auditor Name:	Dr. Robert Hrubes	Auditor role:	Lead Auditor
Qualifications:	Dr. Hrubes is a California registered professional forester (#2228) and forest economist with over 35 years of professional experience in both private and public forest management issues. He is presently Executive Vice-President of SCS Global Services. In addition to serving as team leader for the Michigan state forestlands evaluation, Dr. Hrubes worked in collaboration with other SCS personnel to develop the programmatic protocol that guides all SCS Forest Conservation Program evaluations. Dr. Hrubes has previously led numerous audits under the SCS Forest Conservation Program of North American public forest, industrial forest ownerships and non-industrial forests, as well as operations in Scandinavia, Chile, Japan, Malaysia, Indonesia, Papua New Guinea, Brazil, Canada, Australia and New Zealand. Dr. Hrubes holds graduate degrees in forest economics (Ph.D.), economics (M.A.) and resource systems management (M.S.) from the University of California-Berkeley and the University of Michigan. His professional forestry degree (B.S.F. with double major in Outdoor Recreation) was awarded from Iowa State University. He was employed for 14 years, in a variety of positions ranging from research forester to operations research analyst to planning team leader, by the USDA Forest Service. Upon leaving federal service, he entered private consulting from 1988 to 2000. He has been Senior V.P. at SCS since February, 2000.		

1.2 Total Time Spent on Evaluation

A. Number of days spent on-site assessing the applicant:	1
B. Number of auditors participating in on-site evaluation:	1
C. Additional days spent on preparation, stakeholder consultation, and post-site follow-up:	2
D. Total number of person days used in evaluation:	3

1.3 Standards Employed

1.3.1. Applicable FSC-Accredited Standards

Title	Version	Date of Finalization
FSC-US Forest Management Standard	1.0	8 July 2010
All standards employed are available on the websites of FSC International (www.fsc.org), the FSC-US (www.fscus.org) or the SCS Standards page (www.scsglobalservices.com/certification-standards-and-program-documents). Standards are also available, upon request, from SCS Global Services (www.SCSglobalServices.com).		

2 Annual Audit Dates and Activities

2.1 Annual Audit Itinerary and Activities

Date: Wednesday, December 11 th , 2013	
FMU / Location / sites visited	Activities / notes
Swanton Pacific Ranch, Davenport, CA – SPR Conference Center -	<i>Opening Meeting</i> <i>8:30 AM—Opening Meeting</i> <ul style="list-style-type: none"> – <i>Introductions and Statement of Scope of Audit</i> – <i>Update by Lead Auditor of FSC developments since the prior audit</i> – <i>Overview by SPR personnel on activities on and any pertinent changes associated with the certified FMU</i> <i>9:00 AM—Presentation by SPR staff on management activities since the 2012 surveillance audit</i> <i>9:30 AM—Auditor questions and discussion related to in-scope FSC criteria</i> <i>10:00 AM—Finalization of field itinerary</i>
Field Reconnaissance	<i>10:30—Head to the field—This year, the focus is on the Valencia Tract, roughly a 45 minute drive from the SPR Conference Center</i> <i>4:00—Closing meeting—held at park bench across from Corralitos Market</i> <ul style="list-style-type: none"> – <i>Presentation of audit findings</i> <i>4:45—Adjourn the audit</i>

2.2 Evaluation of Management Systems

SCS deploys interdisciplinary teams (except for SLIMF properties where a single auditor may be employed, particularly for annual surveillance audits) with expertise in forestry, social sciences, natural resource economics, and other relevant fields to assess an FME's conformance to FSC standards and policies. Evaluation methods include document and record review, implementing sampling strategies to visit a broad number of forest cover and harvest prescription types, observation of implementation of management plans and policies in the field, and stakeholder analysis. When there is more than one team member, team members may review parts of the standards based on their background and expertise. On the final day of an evaluation, team members convene to deliberate the findings of the assessment jointly. This involves an analysis of all relevant field observations, stakeholder comments, and reviewed documents and records. Where consensus between team members cannot be achieved due to lack of evidence, conflicting evidence or differences of interpretation of the standards, the team is instructed to report these in the certification decision section and/or in observations.

3. Changes in Management Practices

The Swanton Forest Manager reported, and the Lead Auditor confirmed, that there have been no changes in management policies and practices employed on the certified forestlands (Swanton Pacific Ranch and Valencia Tract) since the prior annual surveillance audit.

4. Results of the Surveillance Audit

4.1 Existing Corrective Action Requests and Observations

No Corrective Action Requests or Observations were raised by the SCS Lead Auditor during the 2012 annual surveillance audit of Swanton Pacific Ranch.

4.2 New Corrective Action Requests and Observations

Finding Number: 2013.1	
Select one: <input type="checkbox"/> Major CAR <input type="checkbox"/> Minor CAR <input checked="" type="checkbox"/> Observation	
FMU CAR/OBS issued to (when more than one FMU):	
Deadline	<input type="checkbox"/> Pre-condition to certification <input type="checkbox"/> 3 months from Issuance of Final Report <input checked="" type="checkbox"/> Next audit (surveillance or re-evaluation) <input type="checkbox"/> Other deadline (specify):
FSC Indicator:	FSC US National Standard, Indicators 4.1.f and 4.1.g
Issue: Managers of FSC certified forests must provide evidence that the FME provides and/or supports learning opportunities to improve public understanding of forests and forest management. Managers of FSC certified forests are also expected to provide evidence that the FME participates in local economic development and/or civic activities.	
Observation: SPR has an exemplary track record in supporting educational opportunities on SPR and participating in activities in the local economic and development and civic arena. But it has not done a good job of telling this story, such as on its website.	

FME response <i>(including any evidence submitted)</i>	<p>On Feb. 18, 2014, SCS received the following from Steve Auten, partially identifying items that have not yet but that will be added to the SPR website under a new section about community involvement:</p> <p>“Update our activities on the SPR web-site:</p> <ul style="list-style-type: none"> a. List of learning opportunities that SPR has provided <ul style="list-style-type: none"> i. Northern and southern SAF meeting ii. Forestry Challenge iii. Cal Conclave iv. Others??? b. Civic opportunities that SPR has provided <ul style="list-style-type: none"> i. Pacific School Fundraiser ii. Should we provide a general document that discusses inputs to the community from SPR operations? iii. Others???
SCS review	On the assurance that the SPR website will soon be augmented with a brief section on community involvement activities such as those listed in the 2/18/2014 email from Steve Auten, SCS concludes that closure of this Observation is warranted.
Status of OBS:	<input checked="" type="checkbox"/> Closed <input type="checkbox"/> Upgraded to Major <input type="checkbox"/> Other decision (refer to description above)

Finding Number: 2013.2	
Select one: <input type="checkbox"/> Major CAR <input type="checkbox"/> Minor CAR <input checked="" type="checkbox"/> Observation	
FMU CAR/OBS issued to (when more than one FMU):	
Deadline	<input type="checkbox"/> Pre-condition to certification <input type="checkbox"/> 3 months from Issuance of Final Report <input checked="" type="checkbox"/> Next audit (surveillance or re-evaluation) <input type="checkbox"/> Other deadline (specify):
FSC Indicator:	FSC US National Standard, Indicator 6.3.f
Issue: Trees within a certified forest that meet the FSC definition of “Legacy Tree” must be identified and protected from harvest. SPR has developed a solid Legacy Tree policy and program but the protocol has not yet been fully applied in the Valencia Tract. There also remains ambiguity about the meaning of the term “Reconnaissance.”	

Observation: Qualifying Legacy Trees on the Valencia Creek Property had not been added to SPR's Legacy Tree inventory via the program protocol at the time of the 2013 surveillance audit. How SPR personnel locate Legacy Trees on Swanton Pacific Ranch needs to be developed more. Specifically, the word "Reconnaissance" needs to be better defined.	
FME response <i>(including any evidence submitted)</i>	On Feb. 18, 2014, SCS was provided with this response from Steve Auten: "I have attached the latest iteration of our Legacy Tree Report. It more specifically defines "reconnaissance" by linking five days of field time to the forested area shown on the map in Figure 3. As for Valencia we have identified our legacy trees in the same manner. Reconnaissance covered all of the forested areas and existing legacy trees were mapped. We will take the LTO to each of these trees in Unit II prior to any operations to insure their protection. I have attached the latest GIS operations map for Unit II that shows the locations of the two legacy trees. The LTO map from Unit 1 is also provided to demonstrate that legacy trees (3) were identified and protected during last year's operations. We'll utilize our forestry interns to complete the next update to the Legacy Tree Report this summer to completely integrate Valencia into this document."
SCS review	SCS considers the 2/18/2014 response to be adequate to warrant closure of this Observation, on the expectation that the Legacy Trees activities planned for Valencia later this year will be carried out.
Status of OBS:	<input checked="" type="checkbox"/> Closed <input type="checkbox"/> Upgraded to Non-Conformity <input type="checkbox"/> Other decision (refer to description above)

Finding Number: 2013.3	
Select one: <input type="checkbox"/> Major CAR <input type="checkbox"/> Minor CAR <input checked="" type="checkbox"/> Observation	
FMU CAR/OBS issued to (when more than one FMU):	
Deadline	<input type="checkbox"/> Pre-condition to certification <input type="checkbox"/> 3 months from Issuance of Final Report <input checked="" type="checkbox"/> Next audit (surveillance or re-evaluation) <input type="checkbox"/> Other deadline (specify):
FSC Indicator:	FSC US National Standard, Indicator 8.5.a
Issue: Managers of FSC certified forests must make readily available to the public the full results of monitoring activities on the certified forest or an up-to-date summary, covering the Indicators listed in Criterion 8.2.	

Observation: SPR managers and Cal Poly faculty engage in a very diverse array of monitoring activities on the certified forest, but the results of these monitoring activities are not made readily accessible to interested stakeholders, either in total or in the form of a periodically updated summary, such as in a dedicated section on the SPR website devoted to “results of monitoring activities.”	
FME response <i>(including any evidence submitted)</i>	<p>On Feb. 18, 2014, SCS was provided with this response from Steve Auten that was part of a memo directed to pertinent SPR and Cal Poly personnel about how to respond to this Observation:</p> <p>“Update our monitoring activities on SPR web-site What should this entail? Add all NTMP amendments? Add recently completed graduate thesis to web-site? Add selected senior projects? Add CCRWQCB web-site so our yearly IWWDR can be found more easily by the public? Make the link to our FSC audit reports more available on the SP web-site? Add a public summary for each year’s activities instead? Other ideas????”</p>
SCS review	<p>On the assurance that the SPR website will soon be augmented with a new section on the results of monitoring activities, such as those listed in the 2/18/2014 email from Steve Auten, SCS concludes that closure of this Observation is warranted.</p>
Status of OBS:	<input checked="" type="checkbox"/> Closed <input type="checkbox"/> Upgraded to Non-Conformity <input type="checkbox"/> Other decision (refer to description above)

5. Stakeholder Comments

In accordance with SCS protocols, consultation with key stakeholders is an integral component of the evaluation process. Stakeholder consultation takes place prior to, concurrent with, and following field evaluations. Distinct purposes of such consultation include:

- To solicit input from affected parties as to the strengths and weaknesses of the FME’s management, relative to the standard, and the nature of the interaction between the company and the surrounding communities.
- To solicit input on whether the forest management operation has consulted with stakeholders regarding identifying any high conservation value forests (HCVFs).

Principal stakeholder groups are identified based upon results from past evaluations, lists of stakeholders from the FME under evaluation, and additional stakeholder contacts from other sources

(e.g., chair of the regional FSC working group). The following types of groups and individuals were determined to be principal stakeholders in this evaluation:

5.1 Stakeholder Groups Consulted

<i>FME Staff</i>	Steve Auten
<i>Professional Resource Managers</i>	Nadia Hamey

Stakeholder consultation activities are organized to give participants the opportunity to provide comments according to general categories of interest based on the three FSC chambers, as well as the SCS Interim Standard, if one was used. The table below summarizes the major comments received from stakeholders and the assessment team's response. Where a stakeholder comment has triggered a subsequent investigation during the evaluation, the corresponding follow-up action and conclusions from SCS are noted below.

5.2 Summary of Stakeholder Comments and Responses from the Team, Where Applicable

<input checked="" type="checkbox"/> FME has not received any stakeholder comments from interested parties as a result of stakeholder outreach activities during this annual audit.	
Stakeholder comments	SCS Response
Economic concerns	
Social concerns	
Environmental concerns	

6. Certification Decision

The certificate holder has demonstrated continued overall conformance to the applicable Forest Stewardship Council standards. The SCS annual audit team recommends that the certificate be sustained, subject to subsequent annual audits and the FME's response to any open CARs.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Comments: The management of the Swanton Pacific Ranch and Valencia Tract remains in solid overall conformance with the FSC-US certification standard.	

7. Changes in Certification Scope

Any changes in the scope of the certification since the previous audit are highlighted in yellow in the tables below.

Name and Contact Information

Organization name	California Polytechnic State University Foundation, Swanton Pacific Ranch
Contact person	Steve Auten

Address	Swanton Pacific Ranch 125 Swanton Road Davenport, CA 95017 USA	Telephone	831-458-5430
		Fax	831-458-5411
		e-mail	sauten@calpoly.edu
		Website	

FSC Sales Information

<input checked="" type="checkbox"/> FSC Sales contact information same as above.			
FSC salesperson			
Address		Telephone	
		Fax	
		e-mail	
		Website	

Scope of Certificate

Certificate Type	<input checked="" type="checkbox"/> Single FMU	<input type="checkbox"/> Multiple FMU
	<input type="checkbox"/> Group	
SLIMF (if applicable)	<input checked="" type="checkbox"/> Small SLIMF certificate	<input checked="" type="checkbox"/> Low intensity SLIMF certificate
	<input type="checkbox"/> Group SLIMF certificate	
# Group Members (if applicable)		
Number of FMUs in scope of certificate	1	
Geographic location of non-SLIMF FMU(s)	Latitude: 37° 1' 59.5128" Longitude: -122° 13' 10.0524"	
Forest zone	<input type="checkbox"/> Boreal	<input checked="" type="checkbox"/> Temperate
	<input type="checkbox"/> Subtropical	<input type="checkbox"/> Tropical
Total forest area in scope of certificate which is: Units: <input type="checkbox"/> ha or <input checked="" type="checkbox"/> ac		
privately managed	2,100 acres	
state managed		
community managed		
Number of FMUs in scope that are:		
less than 100 ha in area	100 - 1000 ha in area	1
1000 - 10 000 ha in area	more than 10 000 ha in area	
Total forest area in scope of certificate which is included in FMUs that: Units: <input type="checkbox"/> ha or <input checked="" type="checkbox"/> ac		
are less than 100 ha in area		
are between 100 ha and 1000 ha in area		
meet the eligibility criteria as <i>low intensity</i> SLIMF FMUs	2,100 acres	
Division of FMUs into manageable units:		

Non-SLIMF Group Members

Name	Contact information	Latitude / longitude of Non-SLIMF FMUs
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Production Forests

Timber Forest Products	Units: <input type="checkbox"/> ha or <input checked="" type="checkbox"/> ac
Total area of production forest (i.e. forest from which timber may be harvested)	1,182 acres
Area of production forest classified as 'plantation'	0
Area of production forest regenerated primarily by replanting or by a combination of replanting and coppicing of the planted stems	1,182 acres
Area of production forest regenerated primarily by natural regeneration, or by a combination of natural regeneration and coppicing of the naturally regenerated stems	1,182 acres
Silvicultural system(s)	Area under type of management
Even-aged management	0
Clearcut (clearcut size range)	
Shelterwood	
Other:	
Uneven-aged management	0
Individual tree selection	
Group selection	
Other:	
<input type="checkbox"/> Other (e.g. nursery, recreation area, windbreak, bamboo, silvo-pastoral system, agro-forestry system, etc.)	
The sustainable rate of harvest (usually Annual Allowable Harvest or AAH where available) of commercial timber (m3 of round wood)	Approximately 703,445 bf/ac/year
Non-timber Forest Products (NTFPs)	
Area of forest protected from commercial harvesting of timber and managed primarily for the production of NTFPs or services	0
Other areas managed for NTFPs or services	0
Approximate annual commercial production of non-timber forest products included in the scope of the certificate, by product type	0
Explanation of the assumptions and reference to the data source upon which AAH and NTFP harvest rates estimates are based:	
Species in scope of joint FM/COC certificate: (Scientific / Latin Name and Common / Trade Name)	
Coastal redwood (<i>Sequoia sempervirens</i>)	
Douglas-fir (<i>Pseudotsuga menziesii</i>)	

FSC Product Classification

Timber products		
Product Level 1	Product Level 2	Species
W1	W1.1	Coastal redwood (<i>Sequoia sempervirens</i>)

		Douglas-fir (<i>Pseudotsuga menziesii</i>)
Non-Timber Forest Products		
Product Level 1	Product Level 2	Product Level 3 and Species

Conservation Areas

Total area of forest and non-forest land protected from commercial harvesting of timber and managed primarily for conservation objectives:		12 acres		
High Conservation Value Forest / Areas				
High Conservation Values present and respective areas:		Units: <input type="checkbox"/> ha or <input checked="" type="checkbox"/> ac		
	Code	HCV Type	Description & Location	Area
<input checked="" type="checkbox"/>	HCV1	Forests or areas containing globally, regionally or nationally significant concentrations of biodiversity values (e.g. endemism, endangered species, refugia).	Approximately 200 occurrences of rare, threatened and endangered species are recorded on the California Natural Diversity Database on or within 5 miles of Swanton Pacific Ranch properties	
<input type="checkbox"/>	HCV2	Forests or areas containing globally, regionally or nationally significant large landscape level forests, contained within, or containing the management unit, where viable populations of most if not all naturally occurring species exist in natural patterns of distribution and abundance.		
<input checked="" type="checkbox"/>	HCV3	Forests or areas that are in or contain rare, threatened or endangered ecosystems.	Approximately 200 occurrences of rare, threatened and endangered species are recorded on the California Natural Diversity Database on or within 5 miles of Swanton Pacific Ranch properties	
<input checked="" type="checkbox"/>	HCV4	Forests or areas that provide basic services of nature in critical situations (e.g. watershed protection, erosion control).	These properties occur within and close to highly urbanized areas in Santa Cruz County, CA and provide a significant amount of refugia for the “beneficial uses” of the State.	
<input type="checkbox"/>	HCV5	Forests or areas fundamental to meeting basic needs of local communities (e.g. subsistence, health).		

<input type="checkbox"/>	HCV6	Forests or areas critical to local communities' traditional cultural identity (areas of cultural, ecological, economic or religious significance identified in cooperation with such local communities).		
Total Area of forest classified as 'High Conservation Value Forest / Area'				1000 acres

8. Annual Data Update

8.1 Social Information

Number of forest workers (including contractors) working in forest within scope of certificate (differentiated by gender):		
# of male workers: 12	# of female workers: 3	
Number of accidents in forest work since last audit:	Serious: #	Fatal: #

8.2 Annual Summary of Pesticide and Other Chemical Use

<input type="checkbox"/> <i>FME does not use pesticides.</i>				
Commercial name of pesticide / herbicide	Active ingredient	Quantity applied annually (kg or lbs)	Size of area treated during previous year	Reason for use

SECTION B – APPENDICES (CONFIDENTIAL)

Appendix 1 – List of FMUs Selected For Evaluation

☒ FME consists of a single FMU

☐ FME consists of multiple FMUs or is a Group

Appendix 2 – List of Stakeholders Consulted

List of FME Staff Consulted

Name	Title	Contact Information	Consultation method
Steve Auten	SPR Operations Manager		Face to face interviews
Doug Piirto	Cal Poly Department Chair		Face to face interviews
Rich Thompson	Cal Poly Professor		Face to face interviews
Brian Dietterick	Cal Poly Professor and SPR Faculty Advisor		Face to face interviews

List of other Stakeholders Consulted

Name	Organization	Contact Information	Consultation method	Requests Cert. Notf.
Nadia Hamey	Consulting Forester		Face to face interviews	
Janet Webb	Manager, Big Creek		Telephone interview	

Appendix 3 – Additional Audit Techniques Employed

No additional audit techniques were employed during this audit.

Appendix 4 – Pesticide Derogations

<input checked="" type="checkbox"/> There are no active pesticide derogations for this FME.	
Name of pesticide / herbicide (active ingredient)	Date derogation approved

Condition	Conformance (C / NC)	Evidence of progress

Appendix 5 – Detailed Observations

Evaluation Year	FSC P&C Reviewed
2009	All – (Re)certification Evaluation
2010	C4.4, P6, C7.1, C7.2, C7.4
2011	C1.2, C1.6, C3.2, C4.2, C4.4, C5.5, C6.1, C6.3, C6.6, C6.8, C6.10, C7.1, C7.3, C8.1, C9.1
2012	C1.1, C1.4, C1.5, C2.1, C2.3, C3.3, C4.3, C4.5, C5.1, C5.2, C8.3, C9.4
2013	C1.3, C2.2, C4.1, C5.3, C5.4, C5.6, C6.2, C6.3, C6.9, C8.2, C8.4, C8.5, C9.2, C9.3, 9.4.

C= Conformance with Criterion or Indicator

NC= Nonconformance with Criterion or Indicator

NA = Not Applicable

NE = Not Evaluated

REQUIREMENT	C/NC	COMMENT/CAR
Principle #1: Compliance with Laws and FSC Principles 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.		
1.3. In signatory countries, the provisions of all binding international agreements such as CITES, ILO Conventions, ITTA, and Convention on Biological Diversity, shall be respected.		
1.3.a. Forest management plans and operations comply with relevant provisions of all applicable binding international agreements. FF Indicator: Low risk of negative social or environmental impact	C	Management activities on SPR/Valencia clearly do not violate applicable binding international agreements.
Principle #2: Long-term tenure and use rights to the land and forest resources shall be clearly defined, documented and legally established.		
2.2. 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.		

<i>Applicability Note: For the planning and management of publicly owned forests, the local community is defined as all residents and property owners of the relevant jurisdiction.</i>		
2.2.a The forest owner or manager allows the exercise of tenure and use rights allowable by law or regulation.		Assessment of this Indicator was deferred to the 2014 re-certification evaluation
2.2.b In FMUs where tenure or use rights held by others exist, the forest owner or manager consults with groups that hold such rights so that management activities do not significantly impact the uses or benefits of such rights.	C	SPR managers demonstrate a strong proclivity towards being consultative with all parties of interest and that may possibly have rights of use.
Principle #4: Forest management operations shall maintain or enhance the long-term social and economic well-being of forest workers and local communities.		
4.1. The communities within, or adjacent to, the forest management area should be given opportunities for employment, training, and other services.		
4.1.a Employee compensation and hiring practices meet or exceed the prevailing local norms within the forestry industry. FF Indicator: Low risk of negative social or environmental impact.	C	Compensation and hiring practices meet and generally exceed prevailing local norms
4.1.b Forest work is offered in ways that create high quality job opportunities for employees. FF Indicator: Low risk of negative social or environmental impact.	C	SPR staff are state employees with exemplary benefits
4.1.c Forest workers are provided with fair wages. FF Indicator: Low risk of negative social or environmental impact.	C	Wages are competitive with industry norms
4.1.d Hiring practices and conditions of employment are non-discriminatory and follow applicable federal, state and local regulations. FF Indicator: Low risk of negative social or environmental impact.	C	Hiring practices and conditions of employment conform with all applicable laws and regulations, including non-discrimination.
4.1.e The forest owner or manager provides work opportunities to qualified local applicants and seeks opportunities for purchasing local goods and services of equal price and quality.	C	All logging is undertaken by crews hired by the local sawmill.
FF Indicator 4.1.e: The forest owner or manager, as	C	

feasible, contributes to the local community.		
4.1.f Commensurate with the size and scale of operation, the forest owner or manager provides and/or supports learning opportunities to improve public understanding of forests and forest management. FF Indicator: Inapplicable (pertinent requirements incorporated into Indicator 4.1.e)	C	<p>Swanton Pacific Ranch is a premier educational facility for providing practical, polytechnic training on scientific forest management.</p> <p>SPR has an exemplary track record in supporting educational opportunities on SPR and participating in activities in the local economic and development and civic arena. But it has not done a good job of telling this story, such as on its website. See OBS 2013.1.</p>
4.1.g The forest owner or manager participates in local economic development and/or civic activities, based on scale of operation and where such opportunities are available. FF Indicator: Inapplicable (pertinent requirements incorporated into Indicator 4.1.e)	C	SPR employees are very active participants in and contributors to local economic development activities as well as civic activities
Principle #5: 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.		
5.3. Forest management should minimize waste associated with harvesting and on-site processing operations and avoid damage to other forest resources.		
5.3.a Management practices are employed to minimize the loss and/or waste of harvested forest products.	C	Harvesting operations are exemplary with regard to avoidance of waste with regard to merchantable stems.
5.3.b Harvest practices are managed to protect residual trees and other forest resources, including: <ul style="list-style-type: none"> • soil compaction, rutting and erosion are minimized; • residual trees are not significantly damaged to the extent that health, growth, or values are noticeably affected; • damage to NTFPs is minimized during management activities; and • techniques and equipment that minimize impacts to vegetation, soil, and water are used whenever feasible. 	C	Selection harvesting, as practiced by Big Creek loggers, is at the cutting edge with regard to protecting the residual stand and avoiding collateral impacts.
5.4. Forest management should strive to strengthen and diversify the local economy, avoiding dependence on a single forest product.		
5.4.a The forest owner or manager demonstrates	C	SPR managers are well integrated into the local and

knowledge of their operation's effect on the local economy as it relates to existing and potential markets for a wide variety of timber and non-timber forest products and services.		regional residential as well as natural resource communities and they are cognizant of the employment generated by the management program and appurtenant activities on the certified forest.
5.4.b The forest owner or manager strives to diversify the economic use of the forest according to Indicator 5.4.a.	C	The principal economic use of the certified forest is production of marketable wood products. However, the forest is also the setting for educational activities that generate tuition-based revenues for Cal Poly.
5.6. The rate of harvest of forest products shall not exceed levels which can be permanently sustained.		
<p>5.6.a In FMUs where products are being harvested, the landowner or manager calculates the sustained yield harvest level for each sustained yield planning unit, and provides clear rationale for determining the size and layout of the planning unit. The sustained yield harvest level calculation is documented in the Management Plan.</p> <p>The sustained yield harvest level calculation for each planning unit is based on:</p> <ul style="list-style-type: none"> • documented growth rates for particular sites, and/or acreage of forest types, age-classes and species distributions; • mortality and decay and other factors that affect net growth; • areas reserved from harvest or subject to harvest restrictions to meet other management goals; • silvicultural practices that will be employed on the FMU; • management objectives and desired future conditions. <p>The calculation is made by considering the effects of repeated prescribed harvests on the product/species and its ecosystem, as well as planned management treatments and projections of subsequent regrowth beyond single rotation and multiple re-entries.</p>	C	There are state-approved NTMPs, one for SPR and one for Valencia. These planning documents contain a sustained yield analysis that constitutes and exemplary level of conformity to this Indicator.
FF Indicator 5.6.a On family forests, a sustained yield harvest level analysis shall be completed. Data	C	All such data is gathered and utilized.

<p>used in the analysis may include but is not limited to:</p> <ul style="list-style-type: none"> - regional growth data; - age-class and species distributions; - stocking rates required to meet management objectives; - ecological and legal constraints; - empirical growth and regeneration data; and, - validated forest productivity models. 		
<p>5.6.b Average annual harvest levels, over rolling periods of no more than 10 years, do not exceed the calculated sustained yield harvest level.</p>	C	Harvest rates are conservative relative to the NTMP-based calculation of allowable harvests for both SPR and Valencia
<p>FF Indicator 5.6.b. On family forests, harvest levels and rates do not exceed growth rates over successive harvests, contribute directly to achieving desired future conditions as defined in the forest management plans, and do not diminish the long term ecological integrity and productivity of the site.</p>	C	Harvests are demonstrably less than periodic growth.
<p>5.6.c Rates and methods of timber harvest lead to achieving desired conditions, and improve or maintain health and quality across the FMU. Overstocked stands and stands that have been depleted or rendered to be below productive potential due to natural events, past management, or lack of management, are returned to desired stocking levels and composition at the earliest practicable time as justified in management objectives.</p>	C	Harvesting decisions and their implementation on SPR and Valencia have moved stocking to desired/targeted levels. Species composition is appropriate for the redwood forest ecoregion.
<p>5.6.d For NTFPs, calculation of quantitative sustained yield harvest levels is required only in cases where products are harvested in significant commercial operations or where traditional or customary use rights may be impacted by such harvests. In other situations, the forest owner or manager utilizes available information, and new information that can be reasonably gathered, to set harvesting levels that will not result in a depletion of the non-timber growing stocks or other adverse effects to the forest ecosystem.</p>	NA	NTFPs are not commercially managed on the certified forest and there is very little non-commercial gathering.

Principle #6: 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.		
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.		
<p>6.2.a If there is a likely presence of RTE species as identified in Indicator 6.1.a then either a field survey to verify the species' presence or absence is conducted prior to site-disturbing management activities, or management occurs with the assumption that potential RTE species are present.</p> <p>Surveys are conducted by biologists with the appropriate expertise in the species of interest and with appropriate qualifications to conduct the surveys. If a species is determined to be present, its location should be reported to the manager of the appropriate database.</p>	C	Compliance with the California state forest practice regulations has assured a high level of conformity to this Indicator
<p>FF Indicator 6.2.a If there is a likely presence of RTE species as identified in Indicator 6.1.a then either a field survey to verify the species' presence or absence is conducted prior to site-disturbing management activities, or management occurs with the assumption that potential RTE species are present. Surveys are conducted by biologists with the appropriate expertise in the species of interest and with appropriate qualifications to conduct the surveys. A secondary review of the survey does not need to be included in the process. If a species is determined to be present, its location should be reported to the manager of the appropriate database.</p>	C	Field surveys, as needed or required, are undertaken.
6.2.b When RTE species are present or assumed to be present, modifications in management are made in order to maintain, restore or enhance the extent,	C	Compliance with the state forest practice regulations as well as applicable federal regulations assures a high degree of conformity to this Indicator

quality and viability of the species and their habitats. Conservation zones and/or protected areas are established for RTE species, including those S3 species that are considered rare, where they are necessary to maintain or improve the short and long-term viability of the species. Conservation measures are based on relevant science, guidelines and/or consultation with relevant, independent experts as necessary to achieve the conservation goal of the Indicator.		
6.2.c For medium and large public forests (e.g. state forests), forest management plans and operations are designed to meet species' recovery goals, as well as landscape level biodiversity conservation goals.	NA	
6.2.d Within the capacity of the forest owner or manager, hunting, fishing, trapping, collecting and other activities are controlled to avoid the risk of impacts to vulnerable species and communities (See Criterion 1.5).	C	Hunting is strictly controlled on the certified forest area.
6.3. 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.		
6.3.a. Landscape-scale indicators		
6.3.a.1 The forest owner or manager maintains, enhances, and/or restores under-represented successional stages in the FMU that would naturally occur on the types of sites found on the FMU. Where old growth of different community types that would naturally occur on the forest are under-represented in the landscape relative to natural conditions, a portion of the forest is managed to enhance and/or restore old growth characteristics.	C	The full range of successional stages for the redwood forest type are maintained within the certified forest.
6.3.a.2 When a rare ecological community is present, modifications are made in both the management plan and its implementation in order to maintain, restore or enhance the viability of the	C	Conservation zones (protected areas) have been established within the SPR/Valencia tract

community. Based on the vulnerability of the existing community, conservation zones and/or protected areas are established where warranted.		
<p>6.3.a.3 When they are present, management maintains the area, structure, composition, and processes of all Type 1 and Type 2 old growth. Type 1 and 2 old growth are also protected and buffered as necessary with conservation zones, unless an alternative plan is developed that provides greater overall protection of old growth values.</p> <p>Type 1 Old Growth is protected from harvesting and road construction. Type 1 old growth is also protected from other timber management activities, except as needed to maintain the ecological values associated with the stand, including old growth attributes (e.g., remove exotic species, conduct controlled burning, and thinning from below in dry forest types when and where restoration is appropriate).</p> <p>Type 2 Old Growth is protected from harvesting to the extent necessary to maintain the area, structures, and functions of the stand. Timber harvest in Type 2 old growth must maintain old growth structures, functions, and components including individual trees that function as refugia (see Indicator 6.3.g).</p> <p>On public lands, old growth is protected from harvesting, as well as from other timber management activities, except if needed to maintain the values associated with the stand (e.g., remove exotic species, conduct controlled burning, and thinning from below in forest types when and where restoration is appropriate).</p> <p>On American Indian lands, timber harvest may be permitted in Type 1 and Type 2 old growth in recognition of their sovereignty and unique ownership. Timber harvest is permitted in</p>	C	<p>There is not Type 1 old growth on the certified forest. Areas meeting Type 2 definition are very limited by they have been identified and appropriate designated so as to assure no net loss.</p>

<p>situations where:</p> <ol style="list-style-type: none"> 1. Old growth forests comprise a significant portion of the tribal ownership. 2. A history of forest stewardship by the tribe exists. 3. High Conservation Value Forest attributes are maintained. 4. Old-growth structures are maintained. 5. Conservation zones representative of old growth stands are established. 6. Landscape level considerations are addressed. 7. Rare species are protected. 		
<p>6.3.b To the extent feasible within the size of the ownership, particularly on larger ownerships (generally tens of thousands or more acres), management maintains, enhances, or restores habitat conditions suitable for well-distributed populations of animal species that are characteristic of forest ecosystems within the landscape.</p>	C	<p>Management activities on SPR and Valencia certainly is not adversely impacting the maintenance, enhancement or restoration of habitat conditions suitable for well-distributed populations of animal species.</p>
<p>6.3.c Management maintains, enhances and/or restores the plant and wildlife habitat of Riparian Management Zones (RMZs) to provide:</p> <ol style="list-style-type: none"> a) habitat for aquatic species that breed in surrounding uplands; b) habitat for predominantly terrestrial species that breed in adjacent aquatic habitats; c) habitat for species that use riparian areas for feeding, cover, and travel; d) habitat for plant species associated with riparian areas; and, e) stream shading and inputs of wood and leaf litter into the adjacent aquatic ecosystem. 	C	<p>Compliance with the California state forest practice regulations assures a high level conformity to this Indicator. SPR managers place a high priority on studying watercourse conditions and on assuring that management activities do not generate adverse impacts.</p>
<p>Stand-scale Indicators</p> <p>6.3.d Management practices maintain or enhance plant species composition, distribution and frequency of occurrence similar to those that would naturally occur on the site.</p>	C	<p>The vegetative cover on the certified forest fully conforms with what is expected to be present within the coast redwood forest type.</p>
<p>6.3.e When planting is required, a local source of known provenance is used when available and when the local source is equivalent in terms of</p>	C	<p>Planting occurs only intermittently and generally as part of restoration activities following wildfire. Native species suited to the site are planted.</p>

quality, price and productivity. The use of non-local sources shall be justified, such as in situations where other management objectives (e.g. disease resistance or adapting to climate change) are best served by non-local sources. Native species suited to the site are normally selected for regeneration.		
<p>6.3.f Management maintains, enhances, or restores habitat components and associated stand structures, in abundance and distribution that could be expected from naturally occurring processes. These components include:</p> <ul style="list-style-type: none"> a) large live trees, live trees with decay or declining health, snags, and well-distributed coarse down and dead woody material. Legacy trees where present are not harvested; and b) vertical and horizontal complexity. <p>Trees selected for retention are generally representative of the dominant species found on the site.</p>	C	<p>Qualifying Legacy Trees on the Valencia Creek Property had not been added to SPR's Legacy Tree inventory via the program protocol at the time of the 2013 surveillance audit.</p> <p>How SPR personnel locate Legacy Trees on Swanton Pacific Ranch needs to be developed more. Specifically, the word "Reconnaissance" needs to be better defined. See OBS 2013.2.</p>
<p>6.3.g.1 In the Southeast, Appalachia, Ozark-Ouachita, Mississippi Alluvial Valley, and Pacific Coast Regions, when even-aged systems are employed, and during salvage harvests, live trees and other native vegetation are retained within the harvest unit as described in Appendix C for the applicable region.</p> <p>In the Lake States Northeast, Rocky Mountain and Southwest Regions, when even-aged silvicultural systems are employed, and during salvage harvests, live trees and other native vegetation are retained within the harvest unit in a proportion and configuration that is consistent with the characteristic natural disturbance regime unless retention at a lower level is necessary for the purposes of restoration or rehabilitation. See Appendix C for additional regional requirements and guidance.</p>	NA	
6.3.g.2 Under very limited situations, the landowner or manager has the option to develop a qualified plan to allow minor departure from the	C	Even-aged management is not utilized in the management of SPR/Valencia.

<p>opening size limits described in Indicator 6.3.g.1. A qualified plan:</p> <ol style="list-style-type: none"> 1. Is developed by qualified experts in ecological and/or related fields (wildlife biology, hydrology, landscape ecology, forestry/silviculture). 2. Is based on the totality of the best available information including peer-reviewed science regarding natural disturbance regimes for the FMU. 3. Is spatially and temporally explicit and includes maps of proposed openings or areas. 4. Demonstrates that the variations will result in equal or greater benefit to wildlife, water quality, and other values compared to the normal opening size limits, including for sensitive and rare species. 5. Is reviewed by independent experts in wildlife biology, hydrology, and landscape ecology, to confirm the preceding findings. 		
<p>6.3.h The forest owner or manager assesses the risk of, prioritizes, and, as warranted, develops and implements a strategy to prevent or control invasive species, including:</p> <ol style="list-style-type: none"> 1. a method to determine the extent of invasive species and the degree of threat to native species and ecosystems; 2. implementation of management practices that minimize the risk of invasive establishment, growth, and spread; 3. eradication or control of established invasive populations when feasible: and, 4. monitoring of control measures and management practices to assess their effectiveness in preventing or controlling invasive species. 	C	<p>SPR/Valencia forest managers demonstrate a good awareness of and exercise appropriate efforts to control the spread of invasive species.</p>
<p>6.3.i In applicable situations, the forest owner or manager identifies and applies site-specific fuels management practices, based on: (1) natural fire regimes, (2) risk of wildfire, (3) potential economic losses, (4) public safety, and (5) applicable laws and</p>	C	<p>Timber management and, more specifically, proper logging techniques, are the principal means by which fuels are managed.</p>

regulations.		
6.9. The use of exotic species shall be carefully controlled and actively monitored to avoid adverse ecological impacts.		
6.9.a The use of <i>exotic species</i> is contingent on the availability of credible scientific data indicating that any such species is non-invasive and its application does not pose a risk to native biodiversity.	C	No exotic species are used on SPR/Valencia
6.9.b If exotic species are used, their provenance and the location of their use are documented, and their ecological effects are actively monitored.	NA	
6.9.c The forest owner or manager shall take timely action to curtail or significantly reduce any adverse impacts resulting from their use of exotic species	NA	
Principle #8: 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. <i>Applicability Note: On small and medium-sized forests (see Glossary), an informal, qualitative assessment may be appropriate. Formal, quantitative monitoring is required on large forests and/or intensively managed forests.</i>		
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.		
8.2.a.1 For all commercially harvested products, an inventory system is maintained. The inventory system includes at a minimum: a) species, b) volumes, c) stocking, d) regeneration, and e) stand and forest composition and structure; and f) timber quality.	C	The two approved NTMPs in conjunction with inventory data that is periodically collected constitutes adequate conformity to this Indicator.
8.2.a.2 Significant, unanticipated removal or loss or increased vulnerability of forest resources is monitored and recorded. Recorded information shall include date and location of occurrence, description of disturbance, extent and severity of loss, and may be both quantitative and qualitative.	C	The most significant event relative to this Indicator was the Lockheed Fire where substantial salvage logging was undertaken. Volumes removed were carefully tracked and recorded.
8.2.b The forest owner or manager maintains records of harvested timber and NTFPs (volume	C	Extensive and accurate records of timber harvest volumes are maintained.

and product and/or grade). Records must adequately ensure that the requirements under Criterion 5.6 are met.		
<p>8.2.c The forest owner or manager periodically obtains data needed to monitor presence on the FMU of:</p> <ol style="list-style-type: none"> 1) Rare, threatened and endangered species and/or their <i>habitats</i>; 2) Common and rare plant communities and/or habitat; 3) Location, presence and abundance of invasive species; 4) Condition of protected areas, set-asides and buffer zones; 5) High Conservation Value Forests (see Criterion 9.4). 	C	Extensive monitoring initiatives are active on the certified forest. The scope of these monitoring initiative and activities adequately cover the subject areas enumerated in this Indicator.
8.2.d.1 Monitoring is conducted to ensure that site specific plans and operations are properly implemented, environmental impacts of site disturbing operations are minimized, and that harvest prescriptions and guidelines are effective.	C	SPR/Valencia managers are very actively involved in monitoring and overseeing activities on the certified forest. Cal Fire and other review team agencies, as well as federal agencies, play an important oversight/monitoring role, as well. And there are active research programs on the certified forest that also constitutes a form of monitoring.
8.2.d.2 A monitoring program is in place to assess the condition and environmental impacts of the forest-road system.	C	There are relatively few roads on the property. All roads are travelled regularly and their condition is actively monitored.
8.2.d.3 The landowner or manager monitors relevant socio-economic issues (see Indicator 4.4.a), including the social impacts of harvesting, participation in local economic opportunities (see Indicator 4.1.g), the creation and/or maintenance of quality job opportunities (see Indicator 4.1.b), and local purchasing opportunities (see Indicator 4.1.e).	C	As with most certified forest managers, socio-economic monitoring could be more systematized and better documented. But, overall, the SPR/Valencia managers have a good if albeit informal grasp of the socio-economic issues and context in which their management of the forest takes place.
8.2.d.4 Stakeholder responses to management activities are monitored and recorded as necessary.	C	SPR/Valencia managers maintain active dialogue with a full range of stakeholders. Key issues are documented.
8.2.d.5 Where sites of cultural significance exist, the opportunity to jointly monitor sites of cultural significance is offered to tribal representatives (see Principle 3).	C	The California state forest practice regulations assures solid conformity to this Indicator
8.2.e The forest owner or manager monitors the costs and revenues of management in order to	C	Costs and revenues from forest operations are competently tracked and documented.

assess productivity and efficiency.		
8.4 The results of monitoring shall be incorporated into the implementation and revision of the management plan.		
8.4.a The forest owner or manager monitors and documents the degree to which the objectives stated in the management plan are being fulfilled, as well as significant deviations from the plan.	C	The SPR/Valencia managers are intimately involved in the day to day operations on the certified forest and there is a very clear nexus between management plans and field operations. The only deviations of note over the past several years were exogenously driven—the Lockheed Fire being by far the most significant unplanned development on the forest. Management plans were modified accordingly in the wake of that major exogenous event.
8.4.b Where monitoring indicates that management objectives and guidelines, including those necessary for conformance with this Standard, are not being met or if changing conditions indicate that a change in management strategy is necessary, the management plan, operational plans, and/or other plan implementation measures are revised to ensure the objectives and guidelines will be met. If monitoring shows that the management objectives and guidelines themselves are not sufficient to ensure conformance with this Standard, then the objectives and guidelines are modified.	C	Management planning documents are periodically revised and updated, in large part in response to developments that unfold on the certified forest. Underlying management objectives and guidelines are also the subject of periodic revisions.
8.5 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.		
8.5.a While protecting landowner confidentiality, either full monitoring results or an up-to-date summary of the most recent monitoring information is maintained, covering the Indicators listed in Criterion 8.2, and is available to the public, free or at a nominal price, upon request.	C	SPR managers and Cal Poly faculty engage in a very diverse array of monitoring activities on the certified forest, but the results of these monitoring activities are not made readily accessible to interested stakeholders, either in total or in the form of a periodically updated summary, such as in a dedicated section on the SPR website devoted to “results of monitoring activities.” See OBS 2013.3.
Principle #9: 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. High Conservation Value Forests are those that possess one or more of the following attributes: a) Forest areas containing globally, regionally or nationally significant: concentrations of biodiversity values (e.g.,		

endemism, endangered species, refugia); and/or large landscape level forests, contained within, or containing the management unit, where viable populations of most if not all naturally occurring species exist in natural patterns of distribution and abundance

- b) Forest areas that are in or contain rare, threatened or endangered ecosystems
- c) Forest areas that provide basic services of nature in critical situations (e.g., watershed protection, erosion control)
- d) Forest areas fundamental to meeting basic needs of local communities (e.g., subsistence, health) and/or critical to local communities' traditional cultural identity (areas of cultural, ecological, economic or religious significance identified in cooperation with such local communities).

Examples of forest areas that *may have* high conservation value attributes include, but are not limited to:

Central Hardwoods:

- Old growth – (see Glossary) (a)
- Old forests/mixed age stands that include trees >160 years old (a)
- Municipal watersheds –headwaters, reservoirs (c)
- Rare, Threatened, and Endangered (RTE) ecosystems, as defined by GAP analysis, Natural Heritage Inventory, and/or the World Wildlife Fund's Forest Communities of Highest Conservation Concern, and/or Great Lakes Assessment (b)
- Intact forest blocks in an agriculturally dominated landscape (refugia) (a)
- Intact forests >1000 ac (valuable to interior forest species) (a)
- Protected caves (a, b, or d)
- Savannas (a, b, c, or d)
- Glades (a, b, or d)
- Barrens (a, b, or d)
- Prairie remnants (a, b, or d)

North Woods/Lake States:

- Old growth – (see Glossary) (a)
- Old forests/mixed age stands that include trees >120 years old (a)
- Blocks of contiguous forest, > 500 ac, which host RTEs (b)
- Oak savannas (b)
- Hemlock-dominated forests (b)
- Pine stands of natural origin (b)
- Contiguous blocks, >500 ac, of late successional species, that are managed to create old growth (a)
- Fens, particularly calcareous fens (c)
- Other non-forest communities, e.g., barrens, prairies, distinctive geological land forms, vernal pools (b or c)
- Other sites as defined by GAP analysis, Natural Heritage Inventory, and/or the World Wildlife Fund's Forest Communities of Highest Conservation Concern (b)

Note: In the Lake States-Central Hardwoods region, old growth (see Glossary) is both rare and invariably an HCVF.

In the Lake States-Central Hardwoods region, cutting timber is not permitted in old-growth stands or forests.

Note: Old forests (see Glossary) may or may not be designated HCVFs. They are managed to maintain or recruit: (1) the existing abundance of old trees and (2) the landscape- and stand-level structures of old-growth forests, consistent with the composition and structures produced by natural processes.

Old forests that either have or are developing old-growth attributes, but which have been previously harvested, may be designated HCVFs and may be harvested under special plans that account for the ecological attributes that make it an

HCVF.		
<i>Forest management maintains a mix of sub-climax and climax old-forest conditions in the landscape.</i>		
9.2 The consultative portion of the certification process must place emphasis on the identified conservation attributes, and options for the maintenance thereof.		
9.2.a The forest owner or manager holds consultations with stakeholders and experts to confirm that proposed HCVF locations and their attributes have been accurately identified, and that appropriate options for the maintenance of their HCV attributes have been adopted.	C	This has occurred in the past. There are always opportunities to enhance consultative efforts with regard to HCVF. But generally, this is a relatively small forest area, it is very actively studied and areas possessing HCVs are well known.
9.2.b On public forests, a transparent and accessible public review of proposed HCV attributes and HCVF areas and management is carried out. Information from stakeholder consultations and other public review is integrated into HCVF descriptions, delineations and management.	NA	
9.3 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.		
9.3.a The management plan and relevant operational plans describe the measures necessary to ensure the maintenance and/or enhancement of all high conservation values present in all identified HCVF areas, including the precautions required to avoid risks or impacts to such values (see Principle 7). These measures are implemented.	C	HCVF is adequately addressed in the SPR/Valencia management planning documents.
9.3.b All management activities in HCVFs must maintain or enhance the high conservation values and the extent of the HCVF.	C	Identified high conservation values are being properly managed and maintained.
9.3.c If HCVF attributes cross ownership boundaries and where maintenance of the HCV attributes would be improved by coordinated management, then the forest owner or manager attempts to coordinate conservation efforts with adjacent landowners.	C	No cross-border high conservation values have, as yet, been identified. But there is nonetheless active dialogue amongst managers of all of the forested properties in the vicinity of SPR/Valencia.

9.4 Annual monitoring shall be conducted to assess the effectiveness of the measures employed to maintain or enhance the applicable conservation attributes.		
9.4.a The forest owner or manager monitors, or participates in a program to annually monitor, the status of the specific HCV attributes, including the effectiveness of the measures employed for their maintenance or enhancement. The monitoring program is designed and implemented consistent with the requirements of Principle 8. FF Indicator: Low risk of negative social or environmental impact for private family forests. Public lands must follow the requirements in Indicator 9.4.a.	C	There are opportunities to make HCVF monitoring more systematic but, generally, there is adequate conformity to this Indicator, particularly in light of the fact that this forest qualifies as SLIMF.
9.4.b When monitoring results indicate increasing risk to a specific HCV attribute, the forest owner/manager re-evaluates the measures taken to maintain or enhance that attribute, and adjusts the management measures in an effort to reverse the trend.	C	Monitoring results have, to date, not provided any indication that designated areas with high conservation values are at risk due to management activities.

Appendix 6 – Chain of Custody Indicators for FMEs

☒ Chain of Custody indicators were not evaluated during this annual audit.

REQUIREMENT	C/ NC	COMMENT/CAR
1. Quality Management		
1.1 The organization shall appoint a management representative as having overall responsibility and authority for the organization's compliance with all applicable requirements of this standard.		
1.2 The FME shall maintain complete records of all FSC-related COC activities, including sales and training, for at least 5 years.		

<p>1.3 The FME shall define its forest gate(s) (check all that apply): <i>The forest gate is defined as the point where the change in ownership of the certified-forest product occurs.</i></p>		<p><input type="checkbox"/> Stump <i>Stumpage sale or sales of standing timber; transfer of ownership of certified-forest product occurs upon harvest.</i></p> <p><input type="checkbox"/> On-site concentration yard <i>Transfer of ownership of certified-product occurs at concentration yard under control of FME.</i></p> <p><input type="checkbox"/> Off-site Mill/Log Yard <i>Transfer of ownership occurs when certified-product is unloaded at purchaser's facility.</i></p> <p><input type="checkbox"/> Auction house/ Brokerage <i>Transfer of ownership occurs at a government-run or private auction house/ brokerage.</i></p> <p><input type="checkbox"/> Lump-sum sale/ Per Unit/ Pre-Paid Agreement <i>A timber sale in which the buyer and seller agree on a total price for marked standing trees or for trees within a defined area before the wood is removed — the timber is usually paid for before harvesting begins. Similar to a per-unit sale.</i></p> <p><input type="checkbox"/> Log landing <i>Transfer of ownership of certified-product occurs at landing/yarding areas.</i></p> <p><input type="checkbox"/> Other (Please describe):</p>
<p>1.4 The FME shall have sufficient control over its forest gate(s) to ensure that there is no risk of mixing of FSC-certified forest products covered by the scope of the FM/COC certificate with forest products from outside of the scope prior to the transfer of ownership.</p>		
<p>1.5 The FME and its contractors shall not process FSC-certified material prior to transfer of ownership at the forest gate without conforming to applicable chain of custody requirements. <i>NOTE: This does not apply to log cutting or de-barking units, small portable sawmills or on-site processing of chips/biomass originating from the FMU under evaluation.</i></p>		
<p>2. Product Control, Sales and Delivery</p>		
<p>2.1. Products from the certified forest area shall be identifiable as certified at the forest gate(s).</p>		
<p>2.2 The FME shall maintain records of quantities/volumes of FSC-certified product(s).</p>		

<p>2.3. The FME shall ensure that all sales documents issued for outputs sold with FSC claims include the following information:</p> <ul style="list-style-type: none"> a) name and contact details of the organization; b) name and address of the customer; c) date when the document was issued; d) description of the product; e) quantity of the products sold; f) the organization's FSC Forest Management (FM/COC) or FSC Controlled Wood (CW/FM) code; g) clear indication of the FSC claim for each product item or the total products as follows: <ul style="list-style-type: none"> i. the claim "FSC 100%" for products from FSC 100% product groups; ii. the claim "FSC Controlled Wood" for products from FSC Controlled Wood product groups. h) If separate transport documents are issued, information sufficient to link the sales document and related transport documentation to each other. 		
<p>2.4 The FME shall include the same information as required in 2.3 in the related delivery documentation, if the sales document (or copy of it) is not included with the shipment of the product.</p> <p>Note: 2.3 and 2.4 above are based on FSC-STD-40-004 V2-1 Clause 6.1.1 and 6.1.2</p>		

<p>2.5 When the FME has demonstrated it is not able to include the required FSC claim as specified above in 6.1.1 and 6.1.2 in sales and delivery documents due to space constraints, through an exception, SCS can approve the required information to be provided through supplementary evidence (e.g. supplementary letters, a link to the own company's webpage with verifiable product information). This practice is only acceptable when SCS is satisfied that the supplementary method proposed by the FME complies with the following criteria:</p> <ul style="list-style-type: none"> a) There is no risk that the customer will misinterpret which products are or are not FSC certified in the document; b) The sales and delivery documents contain visible and understandable information so that the customer is aware that the full FSC claim is provided through supplementary evidence; c) In cases where the sales and delivery documents contain multiple products with different FSC Claims, a clear identification for each product shall be included to cross-reference it with the associated FSC claim provided in the supplementary evidence. <p><i>FSC-ADVICE-40-004-05</i></p>		
<p>3. Labeling and Promotion <input type="checkbox"/> n/a</p>		
<p>3.1 Describe where/how the organization uses the SCS and FSC trademarks for promotion.</p>		
<p>3.2 The FME shall request authorization from SCS to use the FSC on-product labels and/or FSC trademarks for promotional use.</p>		
<p>3.3 Records of SCS and/or FSC trademark use authorizations shall be made available upon request.</p>		
<p>4. Outsourcing <input type="checkbox"/> n/a</p>		
<p>4.1 The FME shall provide the names and contact details of all outsourced service providers.</p>		

<p>4.2 The FME shall have a control system for the outsourced process which ensures that:</p> <ul style="list-style-type: none"> a) The material used for the production of FSC-certified material is traceable and not mixed with any other material prior to the point of transfer of legal ownership; b) The outsourcer keeps records of FSC-certified material covered under the outsourcing agreement; c) The FME issues the final invoice for the processed or produced FSC-certified material following outsourcing; d) The outsourcer only uses FSC trademarks on products covered by the scope of the outsourcing agreement and not for promotional use. 		
5. Training and/or Communication Strategies		
<p>5.1 All relevant FME staff and outsourcers shall be trained in the FME's COC control system commensurate with the scale and intensity of operations and shall demonstrate competence in implementing the FME's COC control system.</p>		
<p>5.2 The FME shall maintain up-to-date records of its COC training and/or communications program, such as a list of trained employees, completed COC trainings, the intended frequency of COC training (i.e. training plan), and related program materials (e.g., presentations, memos, contracts, employee handbooks, etc).</p>		