

Readiness Review Report and Tentative Audit Plan

SUSTAINABLE FORESTRY INITIATIVE® STANDARD

Michigan DNR
FRS 5Y031
August 16, 2005



NSF International Strategic Registrations, Ltd.

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Ann Arbor, Michigan
<http://www.nsf-isr.org>

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A. Operation(s) within the scope of SFIS Certification Audit:

FRS #1 : FRS 5Y031, Michigan DNR FRS#2 _____
Location: PO Box 30452, Lansing MI 48909-7952 Location: _____

B. NSF Audit Team:

Lead Auditor: Mike Ferrucci Auditor: _____

C. Corrective Action Requests (CARs) Issued During the RR:

The Program Participant is required to take appropriate corrective action prior to the SFI Certification Audit. The CARs are contained in Attachment 3.

MAJOR(S) : None MINOR(S) : None

D. Audit Team Recommendation:

Continue SFIS Certification Process.

The SFIS Certification Audit has been scheduled for September 19-30.

Program Participant has major non-conformances that are being addressed and will be resolved prior to the SFIS Certification Audit.

CAR Number(s) Requiring Proof of Corrective Action Implementation:

* _____ * _____ * _____

Program Participant has major non-conformance(s) that will not be resolved prior to the SFI Certification Audit. Client is advised to correct the deficiencies and submit a Corrective Action Plan to the Lead Auditor for approval prior to initiation of the SFIS Certification Audit.

E. Scope of the SFIS Certification:

The scope of the organization includes: (Underline)

1) Forest Management Only 2) Wood Procurement Only 3) Both

The specific SFIS Performance Measures and Indicators that are outside the scope of the Program Participant’s SFI Program are described in Attachment 1 “Readiness Review Summary Sheet”.

The wording of the scope of the SFIS Certification as described on the NSF Facility Record Sheet (FRS) has been reviewed with a representative of the Program Participant. The proposed scope (select)

Is correctly listed on the FRS form

Has been modified as follows:

F. Proprietary Issues:

Are there any proprietary issues? (e.g., restricted access to areas of the site; restricted access to information such as attorney-client privileged compliance documents, etc.) Yes No
(check one box; If Yes, please explain:)

G. Readiness Review Summary :

The SFIS Readiness Review (RR) visit was performed at the organization’s Lansing office, supplemented by conference calls during August, 2005. Participants are documented in Attachment 3. The primary objectives of the review were to define the audit scope, define audit criteria, determine if the Program Participant is ready to continue with the NSF-ISR SFIS Certification process, and develop an audit plan.

1. During the RR visit the Lead Auditor reviewed the following items with the Program Participant’s management representative(s): (check all that apply)

- NSF SFI Procedures The SFIS Certification Audit Matrix
- Safety Awareness Issues Population of Field Sites for Inspection
- Provided Corrective Action Requests Identified Interviewees
- The Composition of the Audit Team and the need for any Special Expertise
- Reviewed the Program Participant’s SFI Program and supporting documentation
- Drafted the Audit Plan Completed the Audit Plan

2. The review conducted by the Lead Auditor confirms the following items: (check all that apply)

- Program Participant has customized indicators for the SFI Standard? (If yes, attach SFIS indicators documents to the SFIS Audit Plan.)
- The Program Participant has sufficient documentation of SFIS Conformance to proceed with the Audit.
- The Program Participant’s SFI Program appears to address each of the SFIS Performance Measures and Indicators that apply, including written policies as required.
- The Program Participant has notified the Sustainable Forestry Board that it is initiating independent certification.
- At least one BMP Monitoring and Management Review cycle has been completed.
- Other: ____

Comments: BMP Monitoring and Management Review are in progress, with a reasonable schedule to complete these prior to scheduled field audit.

H. Agreement Not to Disclose and Consult:

All findings and reports generated as a result of the RR visit are confidential and governed by the provisions for confidentiality, which are described in the NSF-ISR Policies for Confidentiality and summarized on the Agreement to Not Disclose and to Not Consult (Attachment 2).

Appendices:

- 1) Readiness Review Summary Sheet
- 2) Agreement(s) to Not Disclose and to Not Consult
- 3) Opening and Closing Meeting Attendance Sheet
- 4) Corrective Action Requests (CARs) – example of form used
- 5) Tentative SFI Audit Plan

APPENDIX 1
NSF-ISR SFI Readiness Review Summary Sheet
2005-2009 Sustainable Forestry Initiative Standard ®

Reviewed by: Mike Ferrucci **Date of Review:** August 16, 2005 (completed)

Program Participant Name and Location: Michigan DNR, PO Box 30452, Lansing MI 48909-7952

Clause	Performance Measure Description	Indicators Which Do Not Apply	Documents Are Complete	Documents Are <u>Not</u> Complete
Objectives 1 to 7	Requirements for Land Management			
1.1	Sustainable Long-Term Harvest Levels		X	
2.1	Reforestation		X	
2.2	Minimize Use of Chemicals		X	
2.3	Forest & Soil Productivity		X	
2.4	Forest Protection		X	
3.1	Best Management Practices		X	
3.2	Riparian Protection Measures		X	
4.1	Conservation of Native Biodiversity		X	
4.2	Application of Research & Science		X	
5.1	Visual Quality of Harvests		X	
5.2	Clear-cut Size, Shape, Placement		X	
5.3	“Green Up” or Alternative Methods		X	
6.1	Identification & Management of Special Sites		X	
7.1	Efficient Utilization		X	
Objective 8	Requirements for Procurement	NA		

Clause	Performance Measure Description	Indicators Which Do Not Apply	Documents Are Complete	Documents Are <u>Not</u> Complete
	Requirements for All Program Participants (unless out of scope)			
Objective 9	Requirements for Research, Science, & Technology			
9.1	Funding for Research		X	
9.2	Analysis of Regeneration, Cut/Drain, BMP Implementation, & Biodiversity Information		X	
Objective 10	Requirements for Training and Education			
10.1	Training of Contractors and Personnel		X	
10.2	Improved Wood Producer Professionalism		X	
Objective 11	Requirements for Legal & Regulatory Compliance			
11.1	Forestry Law/Reg. Compliance System		X	
11.2	Social Law Compliance		X	
Objective 12	Requirements for Public & Landowner Involvement			
12.1	Cooperative Efforts for Sustainable Forestry		X	
12.2	Outreach, Education, Involvement		X	
12.3	Public Lands Planning Involvement		X	
12.4	Public Lands Conferring with Native Peoples		X	
12.5	Inconsistent Practices or Concerns		X	
12.6	Annual Reporting		X	
Objective 13	Requirements for Management Review and Continual Improvement			
13.1	Management Review System		X	

APPENDIX 2

Agreement(s) Not to Disclose and Not Consult

AGREEMENT TO NOT DISCLOSE AND TO NOT CONSULT



IN CONSIDERATION of my appointment to represent NSF International Strategic Registrations, Ltd. (NSF-ISR) and conduct management systems audits of the documentation, operations, and facilities of:

Michigan DNR, PO Box 30452, Lansing MI 48909-7952

(hereinafter called "NSF-ISR's Client") for registration by NSF-ISR, I agree as follows:

1. I will not at any time during or subsequent to this agreement disclose or use in any way any information or knowledge or data I receive or develop while providing service for NSF-ISR, including but not limited to, plans, lists, prospects lists, and trade secrets of NSF-ISR or its client.
2. While representing NSF-ISR, I may have access to confidential business information from NSF-ISR's client and others, and may be authorized to handle this information in the performance of my responsibilities. I can assume that this is proprietary information to the client or parties supplying it, and agree it may not be revealed by me to others outside NSF-ISR. I agree to maintain this information in a secure manner that prevents any accidental disclosure. Unauthorized disclosure or handling of confidential business information may result in disciplinary action, including but not limited to cancellation of my appointment to represent NSF-ISR. Should my authorization to handle confidential information be revoked while I am appointed to represent NSF-ISR, or as a result of cancellation of my appointment to represent NSF-ISR, I understand that my obligation not to reveal confidential business information will still be in force.
3. Upon cancellation of my appointment to represent NSF-ISR for any reason, I agree to promptly deliver to NSF-ISR all physical property, plans, designs, computer programs, computer lists, prospect lists, records, letters, notes, reports, and all other materials relating to NSF-ISR or its client in my possession or under my control.
4. I hereby attest that I have not provided consultation or other services related to the SFI program or management system to NSF-ISR's client for at least two years, and to preclude any actual or perceived conflict of interest, I agree to not enter into any agreement, provide consultation or other services to NSF-ISR's client (for whom I participated in any audit) except for services under this agreement, for a period of two years after completion of services under this agreement. Certification or auditing under a recognized standard is not subject to the above prohibitions.
5. I shall not participate in an appraisal or advise a potential purchaser or broker a purchase of property audited within the prior three years without the written permission of the audited party. I shall notify the audited party of participation in such activities after the three-year period immediately upon initiation of such activities for a period of at least 10 years following the audit. I shall disclose to the party requesting this audit any prior land appraisal or assessment work or land brokerage activity I or my employers has conducted related to the property to be audited.

Michael Ferrucci, August 16, 2005
(Signed copy on file at NSF)

APPENDIX 3

Opening and Closing Attendance Sheets

Michigan DNR, PO Box 30452, Lansing MI 48909-7952

OPENING MEETING DATE: NA *

CLOSING MEETING DATE: 08.04.05

NAME	TITLE/POSITION	OPENING MEETING	CLOSING MEETING
1. Michael Ferrucci	NSF SFI Lead Auditor	X	X
2. Robert Hrubes	SCS FSC Lead Auditor	X	X
3. Dennis Nezych	Certification Specialist	X	X
4. Larry Pederson	Forest Planning & Operations Unit Manager	p	X
5. Mike Paluda	UP Field Coordinator , Acting EUP District Sup.	p	X
6. Jim Ferris	Timber Management Specialist, FMFM	p	X
7. Kim Herman	Monitoring Specialist, FMFM	p	X
8. Ronald Murray	Forest Health, Inventory & Monitoring Unit Mgr.	p	X
9. Penney Melchoir	Acting Assistant Chief, Wildlife Division	p	X
10. Cara Boucher	Forest Resource Mgmt Section Manager	p	X

*** Note: Readiness Review included Gap Analysis (on-site) October, 2004 and various phone calls in July and August of 2005. Tasks of formal opening meeting spanned multiple dates.**

p denotes participated in main planning session, although not opening discussions in July.

APPENDIX 4

Corrective Action Requests (CARs)

None issued during Readiness Review.

APPENDIX 5

Tentative SFIS Certification Audit Plan

Sustainable Forestry Initiative® Standard
2005-2009 Edition



for
Michigan DNR
PO Box 30452
Lansing MI 48909-7952

August 16, 2005

NSF International Strategic Registrations, Ltd.

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Introduction

The Michigan DNR is seeking independent certification that its SFI Program conforms to the requirements of the Sustainable Forestry Initiative® (SFI) Standard, 2005-2009 Edition. An audit team assembled by NSF-ISR will make a determination of conformance according to the Sustainable Forestry Initiative® Audit Procedures and Qualifications (SFI APQ) 2005–2009 Edition. This Audit Plan describes the conduct of the NSF-ISR SFIS Certification Audit.

Additional details about how NSF-ISR’s SFIS Certification Audits are conducted are contained in the NSF-ISR SFIS Certification Process Standard Operating Procedure (AA-971-0003), which is consistent with the SFI® requirements. Audits for the Sustainable Forestry Initiative Standard® (SFI) are also conducted in accordance with the principles of auditing contained in the International Organization for Standardization (ISO) 19011:2002 guidelines for quality and/or environmental management systems auditing.

SFIS Certification Scope and Objective

The SFIS Certification Audit will apply to the Michigan DNR’s SFI Program implementation throughout Michigan, including its timberland management and other related activities that are covered by the SFI Standard. The SFIS Performance Measures that are included in and excluded from the scope of the SFIS Certification Audit are outlined in Appendix 1.

As specified in the SFI® Standard 2005-2009, the NSF-ISR SFIS Certification Audit objective is to establish whether the Michigan DNR’s SFI program is in conformance with the SFIS Objectives, Performance Measures, and Indicators as well as any additional self-imposed requirements .

Certification Criteria and Methods

The verification indicators to be used are the 2005-2009 Sustainable Forestry Initiative Standard ® Indicators (unmodified) and were approved as the criteria to be used to conduct the SFIS Certification Audit in consultation between the Michigan DNR and the Lead Auditor during the Readiness Review. Determination of conformance to the SFI Standard will be based solely on these requirements. Findings will be based upon the literal language of the SFIS Objectives, Performance Measures and Indicators - the NSF-ISR Audit Team will not add additional requirements that are not specified in the SFI Standard. Audit procedures and auditor qualifications shall be consistent with Sustainable Forestry Initiative® Audit Procedures and Qualifications (SFI APQ) 2005–2009 Edition as elaborated by NSF-ISR’s Standard Operating Procedures (available upon request).

Roles and Responsibilities

The Michigan DNR’s management representative with respect to this SFIS Certification Audit will be Dennis Nezich or his/ clearly designated representative. Other members of the Michigan DNR’s Forest Certification Implementation Team that will be involved in the SFIS Certification Audit Process are listed below:

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Mike Ferrucci will serve as the Lead Auditor for the SFI component of the preliminary and full evaluation. Petie Davis will serve as CB reviewer (quality control). SCS Senior Vice-President, Dr. Robert J. Hrubec will serve as the Lead Auditor for the FSC component of the preliminary and full evaluation and an SFI team member. The other members of the audit team will include Ms. Jodi J. Kaiser, a Michigan-based forester with training in wildlife habitat management as well as Dr. David Capen, a wildlife biologist and forest ecologist. Additional information regarding auditor qualifications is provided in Appendix A-2.

Confidentiality and Conflict of Interest

All NSF-ISR auditors will maintain complete and strict confidentiality regarding all aspects of the audit. The Michigan DNR reserves the right to release NSF-ISR and its subcontractors from specific terms of this confidentiality agreement in writing. NSF-ISR will retain only one copy of the Michigan DNR's SFIS Indicators and evidence for its records. All other Michigan DNR materials and documentation, including detailed evidence, will be destroyed at the conclusion of the final report.

All NSF audit team members will sign confidentiality agreements that include provisions regarding the avoidance of conflict of interest, including requirements of the SFI Standard. Prior to finalizing the audit team, the Lead Auditor and audit team members shall disclose to Michigan DNR any prior land appraisal or assessment work or land brokerage activity they or their employers conducted related to the property to be audited.

Readiness Review and Report

Readiness Review meetings between DNR's staff and the Lead Auditor were held at the Michigan DNR's offices on October 25, 2004 (Gap Analysis or Baseline Audit), at various field sites from October 26-29, 2004 and by conference calls from June through August, 2005 culminating in a final closing conference call August 3, 2005. A thorough document review was performed, the lead auditor's credentials were confirmed, and the overall substance of the audit plan was discussed and agreed to. As an outcome of this series of meetings, the Lead Auditor determined that the Michigan DNR is prepared, and necessary documentation is sufficient, to undergo a full SFIS Certification Audit as outlined in this plan.

Michigan DNR and the Lead Auditor also reviewed and came to agreement on the specific indicators of conformance that will be used to judge conformance with the SFI Standard, which are the indicators and performance measures as listed in the 2005-2009 Sustainable Forestry Initiative Standard ®. The Lead Auditor and audit team members will not introduce additional or modified indicators during the field audit. Agreement on the indicators of conformance is necessary to avoid surprises during the SFIS Certification Audit process.

The Lead Auditor has prepared a Readiness Review Report documenting that the Michigan DNR is ready to proceed with the SFIS Certification Audit.

Overview of Audit Plan:

- The audit will start in Lansing, finish in the UP (Marquette OSC);
- All units not visited during the scoping will be visited during the full assessment - Repeat visits are planned for the Gladwin and Gaylord units;
- The audit team will visit all four districts, and one OSC per district:
- Team members will be in the same FMU at the same time, but will generally break into smaller teams for visits within the units;
- At times one or more team members will drop out of field visits and conduct stakeholder or other outside interviews –office space with phones will be needed;

Monday 9-19	Tuesday 9-20	Wednesday 9- 21	Thursday 9-22	Friday 9-23	Saturday 9-24
<i>Lodging (eve.): Cadillac</i>	<i>Cadillac</i>	<i>Gaylord</i>	<i>Gaylord</i>	<i>Gaylord</i>	<i>Auditors to arrange</i>
Opening Meeting Interviews with DNR Forestry Staff, State specialists, and stakeholders	<i>Cadillac OSC</i> Field Inspection: Cadillac Unit	Field Inspection*: Gladwin Unit (* team splits)	<i>Gaylord OSC</i> Field Inspection*: Gaylord Unit Evening stakeholder meet. 7-9 pm	Field Inspection*: Atlanta Unit	Field Inspection: Pigeon River Unit

Sunday 9-25	Monday 9-26	Tuesday 9-27	Wednesday 9-28	Thursday 9-29	Friday # 9-30
<i>Lodging: Newberry</i>	<i>Marquette</i>	<i>Marquette</i>	<i>Marquette</i>	<i>Marquette</i>	
Review and Synthesis of week one auditing (audit team only)	<i>NewberryOSC</i> Field Inspection*: Sault Ste. Marie Unit (Naubinway)	Field Inspection*: Gwinn Unit Eve. meeting stakeholders Marquette 7-9 pm	<i>Baraga OSC</i> Field Inspection*: Baraga Unit Evening dinner all	- Additional interviews/ consultation - FSC & SFI synthesis and scoring	- 10:00 am to 12:15 pm Closing Meeting - Audit team travel home

Additional details provided below.

(# note mid-day departure of audit team on final day of audit)

Stakeholder Meetings

These meetings are an integral part of the FSC certification process, but also provide valuable insight for the SFI review process. Three such meetings are planned:

- Monday 9-19 2:30 to 4 pm in DNR's Lansing, MI offices
- Thursday 9-22 7 to 9 pm in Gaylord, MI, and
- Tuesday 9-27 7 to 9 pm in Marquette, MI

The FSC Team Leader Robert Hrubes will lead these sessions.

SFIS Certification Audit Schedule

The SFIS Certification Audit schedule for the office and field audit to be performed by the NSF-ISR audit team, as well as the SCS FSC Audit, is outlined below.

Audit Team Meeting

The NSF-ISR Audit Team will receive introductory materials in advance of the audit, and may have preliminary e-mail and telephone discussions regarding the assignments and logistics. The audit team will meet prior to conducting the audit to review the audit plan and make any final adjustments. This meeting will generally occur the night before the Opening Meeting.

Opening Meeting

The Opening Meeting will be held at Michigan DNR's Lansing offices as follows:

Monday- Office (Lansing): 8 am to 4:00 pm;

8:00 - 9:30 Introductions & Opening Meeting

9:45 - Noon Review of Planning

12:30 -2:30 Separate Interviews – Team Members and Specialists

- Robert Hrubes - Stakeholder consultation approaches and mechanisms including tribal consultation
- Mike Ferrucci - Inventory and Harvest Levels
- Dave Capen - Wildlife and HCVF
- Jodi Kaiser- Forest Health and Fire

2:30 - 4:00 Public Stakeholder Meeting, DNR Offices

4:00-4:30 Daily Briefing

5-7:30 pm Travel to Cadillac

Attendance at the Opening Meeting will include the Michigan DNR's Forest Certification Implementation Team and NSF-ISR's Audit Team. The purpose of the meeting is to introduce all parties, review the SFIS Certification Indicators, confirm the audit plan and responsibilities, and attend to any outstanding issues.

The Lead Auditor will explain the audit procedures contained in the SFIS Certification Audit Matrix and the appropriate lines of communication between the NSF-ISR Lead Auditor and the Michigan DNR's management representative. The interviewees will be identified and contact information will be arranged.

The audit schedule will be reviewed including the dates, times and locations of meetings. Other aspects of the audit plan will be discussed including the content of the final and summary reports, tentative dates of publication of the final and summary reports, procedures in the event that the final report is delayed, confidentiality procedures, the NSF-ISR dispute resolution process, and the tentative date for issuance of the NSF-ISR certificate of SFIS conformance.

At the conclusion of the Opening Meeting any health and safety and emergency procedures will be discussed. Next, the Michigan DNR will present an overview of its planning and inventory status, SFIS Indicators and Evidence, and other details regarding its conformance with the SFI Standard.

Daily Briefings

Each day of the SFIS Certification Audit will begin with a brief opening meeting held in the DNR office identified in the daily schedule below. The daily briefing is designed to review the day's schedule, responsibilities, and arrangements; to obtain any needed documents; and to answer other preliminary questions. The specific field sites and routes to be traveled will be finalized, based upon weather and access constraints. Each day will conclude with a brief closing meeting to review the day's findings, to confirm plans for the evening, and to plan for activities the following day.

Any potential areas of minor or major non-conformance shall be identified during the field audit and discussed at the daily closing meeting. Any additional evidence or field site investigations that could clarify the areas of non-conformance should be identified and prepared for the following day.

Daily schedule

Tuesday through following Wednesday: 6:30 am breakfast, 8 am -5 pm office/field visits

Tuesday 9-20

Cadillac OSC – 1 hour

Cadillac Unit office – 1 hour office discussions and finalize field itinerary

Field Inspection: 2 Compartments expected to be visited, may do more (auditors will ultimately select and DNR will compile information on 3)

Wednesday 9-21

Gladwin Unit office – 1.5 hours office discussions and finalize field itinerary

Field Inspection (team splits): 4 Compartments expected

(auditors will ultimately select and DNR will compile information on 6)

Thursday 9-22

Gaylord OSC

Gaylord Unit – 1.5 hours office discussions and finalize field itinerary

Field Inspection (team splits): 4 Compartments expected

(auditors will ultimately select and DNR will compile information on 6)

Friday 9-23

Atlanta Unit – 1.5 hours office discussions and finalize field itinerary

Field Inspection (team splits): 4 Compartments expected
(auditors will ultimately select and DNR will compile information on 6)

Saturday 9-24

Pigeon River Unit – 1.5 hours office discussions and finalize field itinerary

Field Inspection: Audit team will view up to three compartments, and will have an expanded focus on recreation and on designation of HC VF and potential old growth areas. One compartment from 2004 YO E (48) and the nearest compartment from 2003 YO E (49) were randomly selected and a targeted compartment was selected from the northern portion of the forest (3 or 19).

DNR will compile information on these four compartments.

Sunday 9-25

Day off

Monday 9-26

Newberry OSC– 1 hour

Sault Ste. Marie Unit – 1 hour office discussions and finalize field itinerary

Field Inspection (team splits): 4 Compartments expected

(auditors ultimately will select and DNR will compile information on 6)

Tuesday 9-27

Gwinn Unit – 1.5 hours office discussions and finalize field itinerary

Field Inspection (team splits): 4 Compartments expected

(auditors will ultimately select and DNR will compile information on 6)

Wednesday 9-28

Baraga OSC– 1 hour

Baraga Unit – 1 hour office discussions and finalize field itinerary

Field Inspection (team splits): 2-3 Compartments expected

(auditors will ultimately select and DNR will compile information on 4)

Field Site Selection

The NSF-ISR audit team will inspect a variety of field sites to assess conformance with the SFI Standard. During audit planning the Lead Auditor and the Michigan DNR’s Forest Certification Implementation Team reviewed the range of field activities and formulated a sampling plan. The Lead Auditor and Michigan DNR representatives first determined the 8 (of 15) Forest Management Units (primary strata) within which to sample field sites. DNR then provided a list of “Year of Entry” Compartments as the secondary strata. The Lead Auditor then used randomized selection methods to select a subset of all available compartments and assigned a priority number to each one.

Sampling Approach:

The field audit is based on 2004 (supplemented by 2003) YO E Compartments. The Lead Auditor will select the number of compartments listed above and use these as a “framework” for the field itinerary route, and then tier off these selections as follows:

- Each selected compartment is likely to contain 3-4 timber sales of interest; selection of these timber sales will be done on the day of the audit by the audit team

- Other management activities (see “Additional Sites” below) will be viewed within selected compartment or adjacent compartments
- One to two days in advance of field visit, the FMU (local) representative will add 1 active harvest per day (with equipment and operators if possible) by selecting the nearest harvest(s) adjacent to selected compartments
- In field or office: the audit team will review an adjacent 2005 compartment plan and associated implementation status
- In office: the audit team will review an adjacent 2006 compartment plan; discuss 2007 planning

Compartment Selection Protocol:

1. DNR (Larry Pedersen) provides 2003-2007 YOE Compartments for 8 selected FMUs;
2. Lead Auditors Prioritize 2004 YOE Compartments, with # of selections from above (see Appendix 5.2);
3. DNR provides broad description of selected compartments, as well as some additional compartments (generally 2 more for YOE 2004, 3 more for YOE 2003): information will include # of timber sales and general type; representative-ness of compartment for overall FMU
4. Lead Auditors finalize selections ;
5. DNR prepares audit packages to be given to audit team the night before each visit

Additional Sites for Field Audit

Each selected compartment provides the framework for the field audit, with additional sites to be visited based on logistics to include:

- Protected areas and special sites
- Research and demonstration areas
- Recreation sites
- Road construction / reconstruction
- Forest protection

These additional sites will be proposed by FMU Managers on the day of the audit.

The sample design instructs Michigan DNR’s representatives to compile field visit sites and interviewee lists that have a greater number of samples than are expected to be examined. Final selection of samples is at the discretion of the audit team.

A list of field site selections (initial compartments) is provided in Appendix 5-2. These selections will be revised and finalized by August 30, 2005.

Information Packages:

DNR should compile the following information for the audit team, to be provided the day before each day's field audit (paper copies) or electronically 2 weeks in advance of the field audit, or both:

Overall documents

- One copy, **shared by audit team:**
 - Draft or final statewide planning documents
 - Regional planning documents
 - Allowable harvest determination approach and results

- One copy for **each team member:**
 - Management Review report or minutes
 - Summary documents for statewide and regional planning
 - Any maps readily available that depict entire ownership or major portions thereof
 - Summary of harvest calculations

For each ***Forest Management Unit*** visited:

- One copy, **shared by audit team:**
 - Forest Management Plan(s) or their equivalent
 - example compartment plan/inventory/planning update for one 2005, 2006 and 2007 YOE Compartment; for 2007 provide examples of stand exam. notes that include social impact assessment notes
 - internal audit reports
 - road inventory/ road management plan / road maintenance budget or equivalent
 - other descriptive documents (assessments, special studies, etc) as appropriate

- One copy for **each team member:**
 - list of personnel / organizational chart including FMFM, WMD, FD
 - FMU Map(s) including roads, streams and wetlands, compartments, special features
 - if available, a Greater Area (location) map showing regional context, other major ownerships, special landscape features, etc.
 - Agenda / Itinerary

For each ***selected compartment*** ---

- One copy, **shared by audit team:**
 - complete compartment plan with details
 - complete file for one completed sale (if available) including sale prospectus, contract, sale inspections and closeout report
 - copies of any internal audit reports for stands within compartment

- One copy **for each team member:**
 - summary for compartment (up to 15 pages)
 - map(s) of each treatment area

Potential Audit Interviewees

The NSF-ISR Lead Auditor has identified the following categories of potential interviewees that may be contacted during the SFIS Certification Audit. Michigan DNR personnel are requested to develop and organize a list of names and phone numbers so that the audit team may conduct appropriate interviews. A preliminary version of this list should be provided to the Lead Auditor by August 23. An updated version of this list can be provided to the audit team members during the opening meeting on September 19 in Lansing.

Where possible, any DNR employees who are listed below should be asked to participate in one of the meetings described above, either in Lansing or in the OSC locations being visited. The FCIT may schedule these appearances (of DNR employees) and notify the audit team when key individuals are available. For other people on the interview list audit members will make contact before or during the audit as time allows.

- Statewide Council: key staff and leadership;
- Field Coordinators for FMFM, Fisheries Division, Wildlife Division;
- Division Chiefs for FMFM, Fisheries Division, Wildlife Division;
- List of two Contract Loggers that operate in each FMU;
- Staff or leadership of the SFI program State Implementation Committees;
- Michigan DNR's representatives on the SFI program State Implementation Committees;
- TNC staff involved in large scale or regional planning; and
- Regulatory officials with oversight on DNR land-management activities

The contact list for interviewees will be inserted in Appendix 5-3.

Closing Meeting

The closing meeting will be held in the Michigan DNR's Marquette office. Following a brief meeting of the audit team, the formal closing meeting will be held including the Michigan DNR's SFI Team and the full NSF-ISR Audit Team.

The audit team will make an oral presentation of audit findings, discuss any minor or major non-conformances, and the lead auditor's recommendation regarding overall conformance with the SFI Standard. Possible audit recommendations including Immediate Certification, Pending Certification and Deny Certification are detailed in NSF-ISR's SFIS Certification Process SOP.

Any minor or major non-conformances shall be fully documented in the SFIS Certification Audit Matrix and Corrective Action Requests (CARs) and presented to the Michigan DNR for review and discussion. The Michigan DNR will have the opportunity to discuss and clarify any outstanding issues related to the CARs and any other aspects of the audit. Each of the Corrective Action Request forms will be signed by the Michigan DNR's management representative.

Every effort will be made to resolve all questions and issues related to the SFIS Certification Audit before the end of the Closing Meeting. The Lead Auditor shall fully explain the next steps of producing the draft final and summary reports for review by the Michigan DNR. Timeframes for completing the audit report process and issuing the Certificate of SFIS Conformance will be finalized.

Dispute Resolution Process

The NSF Lead Auditor is responsible for making a recommendation for certification. The NSF Certification Review Board member will review the audit report, consider the Lead Auditor's recommendation, and make a final determination regarding certification.

In the event that there is a dispute between the Lead Auditor and the Michigan DNR over interpretations of the SFI Standard or any other aspect of the certification audit the first step is for the Program Participant's management representative to call the Audit Manager (888-NSF-9000 to resolve the dispute. If the dispute continues, the formal dispute resolution process of NSF-ISR (AE-989-0002) will be followed.

Reporting

Process for Preparation and Review of the Final Report

The Lead Auditor will draft an unofficial final report consistent with the format and contents outlined in the NSF-ISR SFIS Certification Process SOP. The Lead Auditor shall arrange to have the NSF-ISR CB Member conduct a review of the report and provide a certification recommendation at that time. The CB reviewer shall make the final decision regarding certification and shall provide any editing comments or suggested changes to the Lead Auditor in a timely manner.

The Lead Auditor shall make necessary revisions and then forward the draft final report to the Michigan DNR for a review of factual accuracy within two weeks of the Closing Meeting. The Michigan DNR will have up to two weeks to submit comments to the lead auditor. The Lead Auditor will incorporate appropriate suggestions from the Michigan DNR and then forward the Final Report to the NSF-ISR SFI Program Manager within one week of receipt of comments.

The NSF-ISR CB Member will review the Final Report for thoroughness and completeness. Upon approval, the NSF-ISR CB Member will send the Final Report to NSF and will ensure that a copy and certificate are issued to the Michigan DNR within eight weeks of the closing meeting. If additional time is required the SFI Program Manager and/or the Lead Auditor will so notify the Michigan DNR.

Summary Report

If the Michigan DNR plans to make any public statement about the results of the SFIS Certification Audit a Public Summary Report must be provided to the Sustainable Forestry Board. The content of the summary report will be agreed to by NSF-ISR and the Michigan DNR to ensure that it captures all of the relevant findings. The Lead

Auditor will develop a Draft Public Summary and will work with the management representative to finalize this audit summary. The summary shall include the audit scope and process, the names of the auditors, the indicators used, and a summary of relevant findings.

Distribution of Reports

The final report is the sole property of the Michigan DNR. The distribution of the final report will be at the discretion of the Michigan DNR. Consistent with the requirements of the Sustainable Forestry Initiative® Audit Procedures and Qualifications (SFI APQ) 2005–2009 Edition, the Michigan DNR is required to submit a copy of the summary report to the Sustainable Forestry Board and AF&PA two weeks prior to making a public statement regarding the audit.

All working documents, draft and final and summary reports in the possession of the audit team members and Lead Auditor shall be destroyed at the end of the SFIS Certification Audit process, unless agreed to in writing by NSF-ISR and the Michigan DNR. NSF-ISR and the Lead Auditor shall retain one copy of all documents related to the SFIS Certification in permanent files for purposes of conducting surveillance audits and re-audits, and for other legitimate purposes.

Certificate of Conformance

Upon successful completion of the SFIS Certification Audit process as contained in this Audit Plan, NSF-ISR shall issue a formal certificate of conformance with the SFI Standard. The content of the SFIS Certificate is outlined in the NSF-ISR SFIS Certification Process Standard Operating Procedure.

Surveillance Audit and Re-audit Schedule

The final step in the audit planning process is to tentatively schedule periodic surveillance audits. The periodic surveillance audits will generally be scheduled within twelve months of the initial audit, and will generally occur annually. The option for a continuous surveillance audit approach will be discussed during the audit and a decision will be made at the closing meeting.

Appendices to Audit Plan

Appendix 5-1 Qualifications of Auditors

Appendix 5-2 Potential Field Sites

Appendix 5-3 Potential Interviewees

Appendix 5-1

Qualifications of Auditors

NSF-ISR Lead Auditor Mike Ferrucci

Mike Ferrucci is the SFI Program Manager for NSF – International Strategic Registrations and is responsible for all aspects of the firm’s SFI Certification programs. Mike has led Sustainable Forest Initiative (SFI) certification and precertification reviews throughout the United States. He has also led joint SFI and Forest Stewardship Council (FSC) certifications in Wisconsin, Maryland, Maine and Connecticut and scoping or precertification gap-analysis project throughout the United States. He is qualified as a RAB EMS Lead Auditor (ISO 14001 Environmental Management Systems), as a SFI Lead Auditor, as a FSC Team Leader, and as a Tree Farm Group Certification Lead Auditor.

Mike has conducted or participated in assessments of forest management operations throughout the United States, with field experience in Maine, New Hampshire, New York, Massachusetts, Connecticut, New Jersey, Maryland, West Virginia, Tennessee, Minnesota, Michigan, Wisconsin, Arizona, California, Oregon, and Washington. Mike is a 26-year member of the Society of American Foresters. He is also active in the Association of Consulting Foresters and the Connecticut, Massachusetts, and Rhode Island SIC for the Sustainable Forestry Initiative.

Mike has 27 years of forest management experience. His expertise is in sustainable forest management planning; in certification and verification of forests as sustainably managed; in the application of easements for large-scale working forests, and in the ecology, silviculture, and management of mixed species forests, with an emphasis on regeneration and management of native hardwood species.

Mike is a founding partner and President of Interforest, LLC where he is responsible for the assembly and management of integrated teams of scientists and professional managers to solve complex forestry problems. Mike is also a Lecturer at the Yale School of Forestry and Environmental Studies, where he teaches courses and workshops in forest management, operations, professional forest ethics, private forestry, and financial analysis to graduate students.

SCS Lead Auditor Robert Hrubes

Robert Hrubes is Senior Vice-President of Scientific Certification Systems. In that capacity, Dr. Hrubes is responsible for all natural resource and recycled content certification activities of the company. While providing senior leadership of these programs, Dr. Hrubes remains an active certification practitioner. He continues to lead certification evaluation teams throughout the world as well as represent both SCS and FSC before numerous public fora. He is internationally recognized as a leading authority and practitioner of third-party forest management certification.

Prior to assuming his present duties at SCS in 2000, Dr. Hrubes owned and managed, for 6 years, a forestry and natural resource economics consultancy based in northern California. During those years, he served on the founding Board of Directors of the Forest Stewardship Council. Additionally, he served as the founding Chair, Board of Directors of the Forest Stewards Guild, a U.S.-based professional society of progressively minded practicing foresters. Previous to the creation of his own consultancy, Dr. Hrubes was for 6 years a managing principal of LSA Associates, Inc., a California-based environmental consulting firm. And prior to that, Dr. Hrubes was employed by 14 years by the USDA Forest Service in a variety of positions from field forester to research economist, operations research analyst and acting Group Leader for Land Management Planning.

Dr. Hrubes holds the following degrees:

Ph.D., Forest Economics, UC-Berkeley

M.A., Economics, UC-Berkeley

M.S., Resource Systems Management, Univ. of Michigan, Ann Arbor

B.S., Forest Management, Iowa State University, Ames

Dr. David Capen, Team Member, Wildlife Biology and Ecology

Dr. David Capen is Research Professor, School of Natural Resources, University of Vermont. He is an expert in Wildlife Habitat Analysis, Avian Ecology, Landscape Ecology, Biodiversity Analysis, GIS and Remote Sensing, Multivariate Statistics, and Conservation Planning and Reserve Design.

He holds the following degrees:

University of Tennessee, B.S.F., 1969 (Forestry)

University of Maine, M.S., 1972 (Wildlife Management)

Utah State University, Ph.D., 1977 (Wildlife Science)

Dr. Capen has participated in a variety of forest certification projects, including SFI and FSC projects on state lands. His certification projects include the following:

SFI Forest Certification, Audit Team, State of Maine, for NSF-ISR

FSC Forest Certification, Audit Team, State of Massachusetts, for SCS

SFI Forest Certification, Audit Team, Harden Furniture, for NSF-ISR

SFI Forest Certification, Audit Team, Finch-Pryne Co., NY, for The Plum Line

SFI Forest Certification, Audit Team, Seven Islands Land Co., Maine, for The Plum Line

FSC Forest Certification, Peer reviewer, Maine Bureau of Public Lands, for Scientific Certification Systems (SCS)

FSC Forest Certification, Peer reviewer, Yale-Meyers Forest, Conn., for SCS

Jodi J. Kaiser

Ms. Jodi Kaiser brings the strengths of a diversified background having education and experience in both forestry and wildlife management in the state of Michigan. As Executive Director of Michigan Forest Resource Alliance, Jodi demonstrated her

familiarity with requirements of the State of Michigan and helped promote public awareness through education and public fora. Ms. Kaiser's was able to articulate her knowledge of the Michigan United Conservation Clubs through her role as Forestry Policy Specialist.

Ms. Kaiser holds the following Degrees:

Michigan Technological University (Houghton, MI) 1990-1994

- Bachelor of Science in Forestry 5/94- Cum Laude
- Master of Science in Forestry 5/94 (Wildlife Management emphasis)

Ms. Kaiser's experience summary follows:

Kaiser Forest Resource Management St. Ignace, MI , Forestry & Wildlife Consultant

- Timber marking, cruising and marketing of forest products.
- Stewardship Plan writer and Timber Tax depletion reports

Michigan Forest Resource Alliance Crystal Falls, MI Executive Director

- Initiated a strategic planning process for non-profit forestry education organization-led to merge of organization with another organization.
- Bid out contract for deliverance of Michigan Forests Forever Curriculum and training workshops.
- Hosted MFRA booth at the ten day Outdoorama Show, featuring forestry commercials, videos, educators kits, forestry and wildlife pamphlets.

Michigan United Conservation Clubs Lansing, MI Forest Policy Specialist/Northern Field Rep.

- Advocate for conservation perspective on forest management issues relating to Federal, State, Industrial and Private lands.
- Testified before legislative committees, Forest Service hearings, and public forums regarding the multiple use and professional management of forest resources. Commented on many forest service, DNR and industry initiatives and projects.
- Worked with the Michigan Forest Resource Alliance on several educational and special projects.
- Worked towards coordination and cooperation among organizations and agencies.

Rothig Forest Products, Inc. Luther, MI Procurement Forester

- Procure federal, state and private stumpage for two CTL crews, a grade log crew and whole-tree chipping crew
- Work with private landowners and special education projects such as a Red Pine Demonstration Forest with the Irons Area Tourist Association.

Appendix 5-2 Potential Field Visit Sites

<u>Initial Compartment Selections</u>							
<u>(bold indicates top choices and likely number to be visited *)</u>							
Baraga	Gwinn	Gaylord	Pigeon River	Sault	Atlanta	Cadillac	Gladwin
<u>2004</u>	<u>2004</u>	<u>2004</u>	<u>2004</u>	<u>2004</u>	<u>2004</u>	<u>2004</u>	<u>2004</u>
21	60	1	48	110	56	76	49
27	48	59	3	139	34	105	133
57	32	24	57	107	53	32	33
46	282	55	27	201	171	79	115
52	232	101	34	158	176	124	94
42	292	16	22	136	122	92	25
11	222	11		150	41	20	27
68	252	211	<u>2003</u>	202	7	141	19
	212	161	49	194	148	10	145
	272	129	32	187	156	94	55
	23	171	19	177	39	130	128
	8	67	59	203	96		84
	88	113		116	99		44
	15	36			68		90
	202	189			82		
	104	106			142		
	262				163		
	242				136		
	14						
	79						

*Final determination of units to be visited will be made prior to audit. DNR is providing general information about more units, and auditors will make final selections.

Supplemental Compartment Selections

Baraga	<u>2003</u>	<u>2005</u>	<u>2006</u>	<u>2007</u>
Comp.	Comp.	Comp.	Comp.	Comp.
25	74	81	70	
48	38	54	51	
33	49	67	53	
56	6	24	12	
7	2	13	5	
4	58	72	60	
71	23	43	31	
	64	73	66	
	16	36	17	
			82	

Pigeon River	<u>2003</u>	<u>2005</u>	<u>2006</u>	<u>2007</u>
Comp.	Comp.	Comp.	Comp.	Comp.
49	26	18	29	
32	55	52	36	
19	31	23	42	
59	41	35	16	
45	14	11	8	
	10	5		

Note:
2003
selections
above

Gwinn			
<u>2003</u>	<u>2005</u>	<u>2006</u>	<u>2007</u>
Comp.	Comp.	Comp.	Comp.
239	295	293	
30	225	223	230
219	87	80	69
35	265	263	270
269	275	273	290
229	245	243	250
289	49	34	28
42	70	62	50
82	215	213	220
5	61	44	31
249	235	233	240
259	21	27	16
103	91	90	92
56	255	253	260
209	205	203	210
279	6	7	12
89	102	95	97
25	285	283	300
68	66	57	39
	33	29	24
	83	67	53

Sault			
<u>2003</u>	<u>2005</u>	<u>2006</u>	<u>2007</u>
Comp.	Comp.	Comp.	Comp.
121	182	46	47
198	137	20	48
38	44	35	42
149	192	50	43
185	26	56	54
120	165	59	57
144	122	123	105
189	102	132	125
159	108	135	128
40	40	145	129
32	171	147	162
49	55	148	164
124	126	151	167
106	44	170	174
53	186	179	188
		193	200

Note: strikeouts are for compartments outside of the Naubinway area.

Gaylord			
<u>2003</u>	<u>2005</u>	<u>2006</u>	<u>2007</u>
Comp.	Comp.	Comp.	Comp.
181	188	207	180
40	10	9	4
48	102	110	70
22	217	218	210
66	174	165	163
162	47	49	41
2	147	160	143
208	56	57	50
7	133	125	123
63	28	23	25
111	130	118	103
167	187	172	169
19	138	128	134
182	68	65	64
108	15	17	20
157	207	209	186
151	44	35	30
120	142	150	135
			219

Atlanta			
<u>2003</u>	<u>2005</u>	<u>2006</u>	<u>2007</u>
Comp.	Comp.	Comp.	Comp.
62	146	126	139
35	58	66	71
127	4	17	33
143	174	172	
169	153	132	162
13	110	104	106
25	1	6	11
135	100	95	102
70	167	158	164
124	54	57	63
166	149	130	155
131	61	69	75
46	125	119	137
76	10	21	38
94	91	80	87
92	40	43	59
18	115	111	120
107	32	28	51

Cadillac			
<u>2003</u>	<u>2005</u>	<u>2006</u>	<u>2007</u>
Comp.	Comp.	Comp.	Comp.
126	89	62	113
12	135	121	
77	19	24	26
82	114	96	139
132	102	81	119
97	84	51	98
18	6	22	4
16	137	128	
29	125	106	148
103	109	93	131
117	21	34	35
	30	37	86

Gladwin			
<u>2003</u>	<u>2005</u>	<u>2006</u>	<u>2007</u>
Comp.	Comp.	Comp.	Comp.
60	38	31	26
124	41	40	30
36	74	77	63
65	140	132	139
10	18	13	15
2	108	117	110
73	99	91	93
120	142		144
106	69	67	53
68	82	86	72
111	57	54	46
137	123	126	130
83	102	95	98

Appendix 5-3

Potential Audit Interviewees

The NSF-ISR Lead Auditor has identified the following categories of potential interviewees that may be contacted during the SFIS Certification Audit. Michigan DNR personnel are requested to develop and organize a list of names and phone numbers so that the audit team may conduct appropriate interviews. A preliminary version of this list should be provided to the Lead Auditor by August 23. An updated version of this list can be provided to the audit team members during the opening meeting on September 19 in Lansing.

- Statewide Council: key staff and leadership
- Field Coordinators for FMFM, Fisheries Division, Wildlife Division
- Division Chiefs for FMFM, Fisheries Division, Wildlife Division
- List of two Contract Loggers that operate in each FMU;
- Staff or leadership of the SFI program State Implementation Committees;
- Michigan DNR's representatives on the SFI program State Implementation Committees;
- TNC staff involved in large scale or regional planning
- Regulatory officials with oversight on DNR land-management activities