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Ver 25 October 2018

FSC Forest Management

Certification

2nd surveillance

Report for:

Downeast Lakes Land Trust
in
Grand Lake Stream, Maine, USA

Report Finalized:	September 10, 2019
Audit Dates:	June 27-28, 2019
Audit Team:	Darren Johnson
Type of certificate:	Single FMU
Certificate code:	NC-FM/CoC- 002682
Certificate issue/expiry:	October 16, 2017 October 15, 2022

Organisation Contact:	Ernest Carle
Contact details:	4 Water Street Grand Lake Stream, ME 4668 United States

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INTRODUCTION

This report presents the findings of an independent certification audit conducted by a team of specialists representing NEPCon. The purpose of the audit was to evaluate the ecological, economic and social performance of Downeast Lakes Land Trust's forest management as defined by the Principles and Criteria established by the Forest Stewardship Council™ (FSC®).

This report contains various sections of information and findings and several annexes. Sections 1-4 of the report will become public information about the forest management operation and may be distributed by NEPCon or the FSC to interested parties. The remainder of the annexes are confidential, to be reviewed only by authorized NEPCon and FSC personnel bound by confidentiality agreements. A copy of the public summary of this report can be obtained on the FSC website at <http://info.fsc.org/>.

Dispute resolution: If NEPCon clients encounter organisations or individuals having concerns or comments about NEPCon and our services, these parties are strongly encouraged to contact relevant NEPCon regional office. Formal complaints and concerns should be sent in writing.

Impartiality commitment: NEPCon commits to using impartial auditors and our clients are encouraged to inform NEPCon management if violations of this are noted. Please see our Impartiality Policy here: <http://www.nepcon.org/impartiality-policy>

Standard Conversions

1 mbf = 2.4 m³

1 cord = 3.6 m³

100 tons hardwood = 97 m³

100 tons = 101 m³

1 acre = 0.404687 hectares

1 AUDIT CONCLUSIONS

1.1 Audit Recommendation and certification decision

Based on Organisation's conformance with certification requirements, the following recommendation is made:

- Certification approved:
Upon acceptance of NCR(s) issued below
- Certification not approved:

Additional comments, including issues identified as controversial or hard to evaluate and explanation of the conclusion reached: none

1.2 Non-conformity Reports (NCRs)

Note: NCRs describe evidences of Organisation non-conformities identified during audits. NCRs include defined timelines for the Organisation to demonstrate conformity. MAJOR NCRs issued during assessments/reassessments shall be closed prior to issuance of certificate. MAJOR NCRs issued during anual audits shall be closed within timeline or result in suspension.

- Check if no NCR(s) have been issued

NCR: 01/19	NC Classification: minor
Standard & Requirement:	NEPCon CoC Standard for FME 19Dec14, 1.3.3
Report Section:	Annex II
Description of Non-conformance and Related Evidence:	
DLLT has two forest gates for the purposes of COC: 1) the mill for harvesting operations where they retain ownership of the timber and pay the logger by rate for harvesting, processing and delivering various products to the mill and; 2) stumpage, where the logger takes ownership of the timber when the tree is severed at the stump. For mill gate situations, which represent the majority of timber harvested, DLLT uses trip tickets to make its FSC claim to the buyer. For stumpage, DLLT uses a Stumpage Agreement to make its FSC claim. Trip tickets include both the FSC certificate code and claim (FSC 100%), however the Stumpage Agreements reviewed by the auditor include the FSC certificate code but not the claim (FSC 100%).	
Corrective action request:	Organisation shall implement corrective actions to demonstrate conformance with the requirement(s) referenced above. Note: Effective corrective actions focus on addressing the specific occurrence described in evidence above, as well as the root cause to eliminate and prevent recurrence of the non-conformance.
Timeline for Conformance:	By the next annual surveillance audit, but not later than 12 months from report finalization (09/10/2020)
NCR Evaluation Type	On-site <input type="checkbox"/> Desk Review <input checked="" type="checkbox"/>
Evidence Provided by Organisation:	PENDING
Findings for Evaluation of Evidence:	PENDING
NCR Status:	OPEN
Comments (optional):	

NCR: 02/19	NC Classification: minor
Standard & Requirement:	NEPCon CoC Standard for FME 19Dec14, 1.3.3
Report Section:	Annex II
Description of Non-conformance and Related Evidence:	
Sections 2.2 and 2.4 of DLLT's Chain of Custody (CoC) Procedures for Forest Management identifies the Forest Gates as being saw/pulp mills and log yards (roadside). The auditor confirmed that DLLT does not currently sell its wood products to log yards or roadside but only to saw/pulp mills and less frequently as stumpage. The correct Forest Gates should be included in DLLT's SOP.	
Corrective action request:	Organisation shall implement corrective actions to demonstrate conformance with the requirement(s) referenced above. Note: Effective corrective actions focus on addressing the specific occurrence described in evidence above, as well as the root cause to eliminate and prevent recurrence of the non-conformance.
Timeline for Conformance:	By the next annual surveillance audit, but not later than 12 months from report finalization (09/10/2020)
NCR Evaluation Type	On-site <input type="checkbox"/> Desk Review <input checked="" type="checkbox"/>
Evidence Provided by Organisation:	DLLT chose to address this NCR during the audit and offered the following evidence to close the NCR: <i>An amended Chain of Custody (CoC) Procedures for Forest Management SOP that included the correct Forest Gates (saw/pulp mills and severed at the stump (stumpage))</i>
Findings for Evaluation of Evidence:	The area of non-conformance to COC 2.2 was addressed adequately during the audit which allowed for closing the NCR on-site.
NCR Status:	CLOSED
Comments (optional):	None.

1.3 Observations

Note: Observations are issued for the early stages of a problem which does not of itself constitute a non-conformance, but which the auditor considers may lead to a future non-conformance if not addressed by the organization; observations may lead to direct non-conformances if not addressed.

No observations

OBS: 01/19	Standard & Requirement:	FSC-US Forest Management Standard (v1.0), 4.2.b
	Report Section	Annex I
Description of findings leading to observation:	<p>Requirement: Indicator 4.2.b <i>The forest owner or manager and their employees and contractors demonstrate a safe work environment. Contracts or other written agreements include safety requirements.</i></p> <p>Finding: During a site-visit to an active harvesting unit the auditor inspected a feller-buncher that did not have a first-aid kit, fire extinguisher or fully stocked spill kit on board. The operator indicated and the auditor confirmed that the first aid kit and additional spill kit pads were located in the operator's truck, which was parked a 5-minute walk from the harvester. It should be noted that the feller-buncher was equipped with a fully functioning internal fire suppression system. Inspection by the auditor of an excavator owned by the same contractor at another site revealed conformance with this indicator. As such this gap is not considered to be systemic or wide spread and is therefore designated as an Observation.</p>	
Observation:	FME should ensure continued conformance with Indicator 4.2.b.	

1.4 Stakeholder consultation

Stakeholder consultation conducted during this audit focused on reaching out directly to individuals and entities relevant to the required indicators being evaluated. As this was not a reassessment audit, no formal stakeholder notification was required.

Stakeholder Type (NGO, government bodies, local inhabitant, contractor etc.)	Stakeholders Notified	Stakeholders consulted directly or provided input (#)
National/International ENGOS	<input type="checkbox"/>	
Local/Regional ENGOS	<input checked="" type="checkbox"/>	3
Local Community representatives	<input type="checkbox"/>	
Government Agency representatives	<input checked="" type="checkbox"/>	2
Labor Unions	<input type="checkbox"/>	
Indigenous Peoples	<input checked="" type="checkbox"/>	0
Local resource users (trappers, hunt & fish clubs, etc.)	<input checked="" type="checkbox"/>	2
Local recreationalists (tourism, hiking, etc.)	<input type="checkbox"/>	
Principal Donors and Supporters	<input checked="" type="checkbox"/>	0
Contractors	<input checked="" type="checkbox"/>	3
Workers	<input checked="" type="checkbox"/>	3

The table below summarizes the issues identified by the audit team with a brief discussion of each based upon specific interview and/or public meeting comments.

Principle/Subject Area	Stakeholder comment	NEPCon response
P1: FSC Commitment and Legal Compliance	No comments received	No answer needed
P2: Tenure & Use Rights & Responsibilities	No comments received	No answer needed
P3 – Indigenous Peoples’ Rights	No comments received	No answer needed
P4: Community Relations & Workers’ Rights	<i>DLLT is very engaged in the community. DLLT provides wages and benefits to its employees that are on par with local norms.</i>	<i>No answer needed</i>
P5: Benefits from the Forest	<i>No comments received</i>	<i>No answer needed</i>
P6: Environmental Impact	<i>No comments received</i>	<i>No answer needed</i>
P7: Management Plan	<i>No comments received</i>	<i>No answer needed</i>
P8: Monitoring & Assessment	<i>No comments received</i>	<i>No answer needed</i>
P9: Maintenance of High Conservation Value Forest	<i>No comments received</i>	<i>No answer needed</i>
P10 - Plantations	<i>No comments received</i>	<i>No answer needed</i>

1.5 Actions taken by Organisation Prior to Report Finalization

None.

2. AUDIT PROCESS

2.1 Certification Standard Used

Standards Used:	FSC-US Forest Management Standard (v1.0); NEPCon CoC Standard for FME 19Dec14
Local Adaptation: (if applicable)	Not Applicable

2.2 Audit Team and accompanying persons

Name	Role and qualifications
Darren Johnson - Lead Auditor	Darren is a Licensed Professional Forester with more than 20 years experience in North America, Asia and Africa working with

	government, the private sector, indigenous groups and civil society. Areas of expertise include forest management policy & planning, conservation and climate change related activities. Darren holds a MS in Forest Ecology from Edinburgh University in Scotland and a HBSc in Forestry from Lakehead University in Canada.
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2.3 Audit Overview

Note: The table below provides an overview of the audit scope and auditors. See standard checklist annex for specific details on people interviewed and audit findings per site audited.

Site(s)	Date(s)	Main activities	Auditor(s)
Off-site	June 6 th , 2019	Preparatory call	Darren Johnson
Off-site	May 10 th , 2019	Stakeholder Notification	Darren Johnson
Off-site	June 20 th 2019	Review of evidence	Darren Johnson
On-site	June 27 th , 2019	Opening meeting	Darren Johnson
On-site	June 27 th -28 th 2019	Field Visits	Darren Johnson
On-site	June 27 th -28 th 2019	Staff and Stakeholder interviews	Darren Johnson
On-site	June 28 th 2019	Closing meeting	Darren Johnson
Total auditing time used (number in person days based on 8 hour working days): 3.0			

2.4 Description of Overall Audit Process

Sites to be visited during this annual surveillance audit were selected based on discussions between the DLLT Managing Forester (certificate coordinator) and the lead auditor during a conference call on June 6th, 2019. The stratification was focused to maximize interviews with workers on active operations and visit a selection of tracts (recent and future harvests) which had not been previously visited in past audits including HCVFs, recent and active forest management activity. A total of 14 sites were visited on the DLLT FMU. In all instances DLLT managers provided documentation and additional information upon request during the audit.

2.4.1 Changes in FMEs' forest management and associated effects on conformance to standard requirements

There have been no significant changes since the last audit in the management context with the exception of the following staff changes:

Brittany Mauricette, formerly Community Forest Manager, resigned from DLLT in June 2018. Kyle Burdick, former DLLT forester and current Forest Resources Committee member, was hired as a private consulting forester from June 2018 until August 2018. In August 2018, DLLT engaged LandVest Inc. for harvest management services to oversee the 2018 summer/fall harvest. LandVest forester Eugene Mahar was assigned to oversee DLLT's harvest. The contract with LandVest expired on December 31, 2018. Ernest Carle was hired as DLLT's new Managing Forester in February 2019.

2.4.2 Review of FME Documentation and required records

a) All certificate types

Required Records	Reviewed
Complaints received by FME from stakeholders, actions taken, follow up communication	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Comments: No complaints received and therefore no follow up action required.	
Accident records	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Comments: No accidents recorded and therefore no follow up action required.	
Training records	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Comments: Training records provided to auditor for review.	
Operational plan(s) for next twelve months	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Comments: Operational plans provided to auditor for review.	
Inventory records	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Comments: Inventory records provided to auditor for review.	
Harvesting records	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Comments: Harvesting records provided to auditor for review.	

3. COMPANY DETAILS

3.1 Certificate Scope

Reporting period:	Previous 12 month period	Dates	Jan 2018- Dec 2018
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A. Scope of Forest Area	
Type of certificate: single FMU	SLIMF Certificate: not applicable
New FMUs added since previous evaluation	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Group Certificate: Not Applicable	
Multi-FMU Certificate: Not Applicable	

B. FSC Product categories included in the FM/CoC scope			
<input checked="" type="checkbox"/> No changes since previous report			
	Level 1	Level 2	Species
<input type="checkbox"/>	W1 Rough wood	W1.1 Roundwood (logs)	
<input type="checkbox"/>	W2 Wood charcoal		
<input type="checkbox"/>	W3 Wood in chips or particles	W3.1 Wood chips	
<input type="checkbox"/>	W5 Solid wood (sawn, chipped, sliced or peeled)	W5.1 Flitches and boules	
<input type="checkbox"/>	Non Wood Forest Products N1 Barks		
<input type="checkbox"/>	Other		

C. Forest Area Classification			
<input checked="" type="checkbox"/> No changes since previous report (if no changes since previous report leave section blank)			
1. Total certified area (land base)			ha
2. Total forested area			ha
3. Total production forest area (where harvesting occurs)		ha	
4. Total non-productive forest area (no harvesting)		ha	
4.a Protected forest area (strict reserves)		ha	
4.b Areas protected from timber harvesting and managed only for NTFPs or services		ha	
4.c Remaining non-productive forest (other uses)		ha	
5. Total non-forested area (<i>e.g., water bodies, wetlands, fields, rocky outcrops, etc.</i>)			ha
Forest zone	DROP-DOWN MENU		
Certified Area (ha) under Forest Type			
	Natural		
	Semi-Natural		
	Plantation		
Stream sides and water bodies (Linear Kilometers)			

D. High Conservation Values identified via formal HCV assessment by the FME and respective areas

No changes since previous report

E. Pesticide Use

FME does not use pesticides.

3.1.1. Exclusion of areas from the scope of certificate

X	A. Applicability of FSC excision policy
<input checked="" type="checkbox"/>	All forest land owned or managed by the FME is included in the scope of this evaluation.

4. AUDIT AND NON-CONFORMITY FINDINGS

4.1 Audit Background

Has the management system changed since the previous evaluation: Yes No

There have been no significant changes since the last audit in the management context with the exception of the following staff changes:

Brittany Mauricette, formerly Community Forest Manager, resigned from DLLT in June 2018. Kyle Burdick, former DLLT forester and current Forest Resources Committee member, was hired as a private consulting forester from June 2018 until August 2018. In August 2018, DLLT engaged LandVest Inc. for harvest management services to oversee the 2018 summer/fall harvest. LandVest forester Eugene Mahar was assigned to oversee DLLT's harvest. The contract with LandVest expired on December 31, 2018. Ernest Carle was hired as DLLT's new Managing Forester in February 2019.

Have there been any complaints, disputes, or allegations of non-conformity with the standards raised against the Organisation during the audit period: Yes No

If yes, reference standard and criteria where corresponding findings are found in report:

4.2 Evaluation of Open Non-conformity Reports (NCRs)

Note: this section indicates the Organisation's actions to comply with NCRs that have been issued during or since the last audit. Failure to comply with a minor NCR results in the NCR being upgraded to major; the specified follow-up action is required by the Organization or involuntary suspension will take place.

Status Categories	Explanation
CLOSED	Operation has successfully met the NCR
OPEN	Operation has either not met or has partially met the NCR

Check if N/A (there are no open NCRs to review)