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Ver 12 September 2019

FSC Forest Management Certification

4th surveillance

Report for:

Downeast Lakes Land Trust

in

Grand Lake Stream, Maine, USA

Report Finalized:	July 21, 2021
Audit Dates:	Remote: June 28, 2021 Field: June 30, 2021
Audit Team:	Charles Levesque; Lead Auditor
Type of certificate:	Single FMU
Certificate code:	NC-FM/CoC-002682
Certificate issue/expiry:	October 16, 2017 October 15, 2022
Organization Contact:	Ernest Carle
Contact details:	4 Water Street Grand Lake Stream Maine, 04668 United States

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INTRODUCTION

This report presents the findings of an independent certification audit conducted by a team of specialists representing Preferred by Nature. 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 Preferred by Nature or the FSC to interested parties. The remainder of the annexes are confidential, to be reviewed only by authorized Preferred by Nature 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 Preferred by Nature clients encounter organizations or individuals having concerns or comments about Preferred by Nature and our services, these parties are strongly encouraged to contact relevant Preferred by Nature regional office. Formal complaints and concerns should be sent in writing.

Impartiality commitment: Preferred by Nature commits to using impartial auditors and our clients are encouraged to inform Preferred by Nature management if violations of this are noted. Please see our Impartiality Policy here: <http://www.preferredbynature.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 Organization's conformance with certification requirements, the following recommendation is made:

- Certification approved:
- No NCRs issued

-
- Certification not approved:

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

1.2 New 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 annual audits shall be closed within timeline or result in suspension.

- Check if no NCR(s) have been issued

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

1.3 Conformance with Applicable 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)

1.4 Stakeholder consultation

1.5.1 Stakeholder consultation process

No formal stakeholder notification was made for this audit. The auditor conducted stakeholder consultations with various stakeholders and the categories are identified below.

Stakeholder Type	Stakeholders Notified (X)	Stakeholders consulted directly or provided input (#)
National/Regional Forest NGOs	<input checked="" type="checkbox"/>	1
Government Agencies/Regulators	<input checked="" type="checkbox"/>	1
Indigenous Peoples	<input checked="" type="checkbox"/>	1
Local recreationalists (tourism, hiking, etc.)	<input checked="" type="checkbox"/>	1
Local businesses	<input checked="" type="checkbox"/>	3
Contractors	<input checked="" type="checkbox"/>	2

1.5.2 Stakeholder comments

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	Preferred by Nature response
P1: FSC Commitment and Legal Compliance	No comments	
P2: Tenure & Use Rights & Responsibilities	Roads closure issue resolved to satisfaction of Passamaquoddy Tribe.	No response needed.
P3 – Indigenous Peoples’ Rights	Roads closure issue resolved to satisfaction of Passamaquoddy Tribe. No response needed.	No response needed.
P4: Community Relations & Workers’ Rights	DLLT treats its workers with respect and it is a good place to work.	No response needed.
P5: Benefits from the Forest	DLLT good landowner to work for (as a contractor).	No response needed.
P6: Environmental Impact	DLLT is a careful landowner and good steward. If something goes wrong, they deal with it effectively.	No response needed.
P7: Management Plan	No comments	
P8: Monitoring & Assessment	No comments	
P9: Maintenance of High Conservation Value Forest	No comments	
P10: Plantations	No comments	

2. AUDIT PROCESS

2.1 Certification Standard Used

Standards Used:	FSC-US Forest Management Standard (v1.1); Preferred by Nature CoC Standard for FME 12Sept19 (including FSC-STD-50-001 V2-0, Trademarks)
Local Adaptation: (if applicable)	Not applicable

2.2 Audit Team and accompanying persons

Name	Role and qualifications
Charles Levesque	<p>Lead Auditor</p> <p>President, Innovative Natural Resource Solutions LLC (founded 1994). Education: B.S.F. in forest management from University of New Hampshire, 1979; ISO 14001 Lead Auditor Training, 2000. Certifications: past RABQSA – Lead EMS Auditor – Environmental; Society of American Foresters Certified Forester and Certified Forest Auditor; New Hampshire Licensed Forester #281. Over 40 years of experience in forestry, natural resource consulting, natural resource non-profit management and environmental auditing. Co-author of “Forest Certification Auditing” published by the Society of American Foresters. Has lead or conducted sustainable forest management auditing on over 12 million acres in North American under the Sustainable Forestry Initiative, Forest Stewardship Council and American Tree Farm System since the late 1990s and has lead over 200 chain-of-custody under SFI, FSC and the Programme for the Endorsement of Forest Certification.</p>

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	6/21/21	Audit evidence due	Levesque
Off-site	6/21-6/28/21 & 6/28-7/3/21	Review of evidence	Levesque

Off-site	6/28/21	Remote audit call and Opening meeting	Levesque
DLLT lands	6/30/21	Field Visits	Levesque
Off-site and on-site – DLLT lands and in Grand Lake Stream	6/20-7/3/21	Staff and Stakeholder interviews	Levesque
	6/30/21	Closing meeting	Levesque
Total LOE for audit: 3 days			

2.4 Audit Background

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

Has the management system changed since the previous evaluation?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
If yes, briefly review the changes:	
Have there been any complaints, disputes, or allegations of non-conformity with the standards raised against the Organization during the audit period:	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
<p>Prior to 2021, DLLT did not have any legal land-use agreements with indigenous groups. In 2021, as a result of a change in road access policy by the DLLT, DLLT and the Passamaquoddy Tribe have been negotiating to enter into a binding legal agreement to allow tribal access over DLLT major forest roads that, based on newly adopted DLLT policy and implemented for the first time in spring of 2021, are closed/gated during mud season to protect the roads.</p> <p>The DLLT announced its new policy and the Tribe became upset because some of its members use, in particular, the 4th Lake Road to get to Tribal lands to the west and for subsistence hunting and fishing. The issue is resolved according DLLT staff and to a joint press release between DLLT and the Tribe. Repeated attempts by the auditor to reach Tribal authorities to verify the outcome (e-mail and phone calls) were not met with a response. See Principal 4 findings.</p>	

2.5 Description of Overall Audit Process

2.5.1 Changes to the certificate scope

There were no changes to the certificate scope since the last audit. DLLT is in fundraising mode to purchase an additional tract to the west which will be added to DLLT lands once the purchase price is met with fundraising which is nearly complete.

Number of hectares added:	0
Number of hectares removed:	0
Number of FMUs (properties) added (if applicable):	0

Number of FMUs (properties) removed (if applicable):	0
Total hectares in the certificate:	
Number of FMUs (properties) in the certificate:	

2.5.3 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: A significant complaint occurred in the last year and discussed above in 2.4.1. The Passamaquoddy Tribe complained with DLLT changed its road policies for spring mud season when they were going to gate all the main forest roads. DLLT worked out an agreement with the tribe on this issue. A great deal of written communications on the issue, including a joint DLLT/tribal press release, was provided by DLLT.	
Accident records	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Comments: There were no accidents since the last audit.	
Training records	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Comments: Training records for the forest manager and all DLLT staff were provided to the auditor.	
Operational plan(s) for next twelve months	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Comments: Operational plans, that are approved by a DLLT board committee were provided. These were about to be approved when the committee meets shortly.	
Inventory records	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Comments: Inventory records via the FMP and GIS records, were provided to the auditor.	
Sales and shipping records	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Comments: Trip tickets with the DLLT FSC code, were provided to the auditor for all timber loads since the last audit.	
Harvesting records	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Comments: Complete harvesting records for all activities since the last audit were provided to the auditor.	

3. COMPANY DETAILS

3.1 Certificate Scope

Reporting period:	Previous 12 month period	Dates	July 1, 2020 – June 30, 2021
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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"/>		

If Multi-FMU Certificate: List of new FMUs added to the certificate scope:
<input checked="" type="checkbox"/> NA. (do not complete sections below)

If Group Certificate: Updated of FMU and group member list provided in ANNEX V-a:
<input checked="" type="checkbox"/> NA.

B. FSC Product categories included in the FM/CoC scope			
<input checked="" type="checkbox"/> No changes since previous report (do not complete sections below)			
	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 (do not complete sections below)			
1. Total certified area (land base)			ha
2. Total forested area			ha
3. Total production forest area (where harvesting occurs)		ha	$1 = 2+5$ $2 = 3+4$
4. Total non-productive forest area (no harvesting)		ha	$4 = 4a+4b+4c$
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 (e.g., water bodies, wetlands, fields, rocky outcrops, etc.)		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

<input checked="" type="checkbox"/> No changes since previous report (do not complete section below)			
Code	HCV TYPES	Description:	Area (ha)
HCV1	Forest areas containing globally, regionally or nationally significant concentrations of biodiversity values (e.g. endemism, endangered species, refugia).		
HCV2	Forest 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.		
HCV3	Forest areas that are in or contain rare, threatened or endangered ecosystems.		
HCV4	Forest areas that provide basic services of nature in critical situations (e.g. watershed protection, erosion control).		
HCV5	Forest areas fundamental to meeting basic needs of local communities (e.g. subsistence, health).		
HCV6	Forest areas critical to local communities' traditional cultural identity (areas of cultural, ecological, economic or religious significance identified in cooperation with such local communities).		
Number of sites significant to indigenous people and communities			

E. Pesticide Use

FME does not use pesticides (if checked, do not complete below).

FME has valid FSC derogation for use of a highly hazardous pesticide		<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO <input type="checkbox"/> N/A
FSC highly hazardous pesticides used in last calendar year		
Name	Quantity	# of ha treated
Non FSC highly hazardous pesticides used in last calendar year		
Name	Quantity	# of ha treated

3.1.1. Excision of areas from the scope of certificate

X	A. Applicability of FSC excision policy
<input checked="" type="checkbox"/>	Not applicable. FME has not excised areas from the FMU(s) included in the certificate scope.