RA-Cert Division Headquarters
65 Millet St. Suite 201
Richmond, VT 05477 USA
Tel: 802-434-5491
Fax: 802-434-3116
www.rainforest-alliance.org

Audit Managed by:
United States Regional Office
19 Bridge Street
Northfield, MN 55057
Tel: 507-663-1115
Fax: 507-663-7771
Contact person: Jamie Overton
Email: joverton@ra.org

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Rainforest Alliance

Forest Management

2015 Annual audit

Report for:

Downeast Lakes Land Trust

In

Grand Lake Stream, Maine USA

Report Finalized:	2 November 2015
Audit Dates:	20 August 2015
Audit Team:	John B. Auel
Certificate code:	RA-FM/COC-002682
Certificate issued:	October 16, 2012
Certificate expiration:	October 15, 2017
Organization Contact:	Kyle Burdick
Address:	4 Water Street Grand Lake Stream, ME 04668

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Standard Conversions

1 mbf = 4.8 m3
1 mbf = 2 cords
1 cord = 2.4 m3
1 cord = 0.5 mbf
1 gallon (US) = 3.78541 liters
1m3 = 0.41 cords
1m3 = 0.21 mbf
100 tons hardwood = 97 m3
100 tons =101 m3

1 acre = 0.404687 hectares

1. INTRODUCTION

The purpose of this report is to document annual audit conformance of Downeast Lakes Land Trust (DLLT), hereafter referred to as Forest Management Enterprise (FME). The report presents the findings of Rainforest Alliance auditors who have evaluated company systems and performance against the Forest Stewardship Council™ (FSC®) forest management standards and policies. Section 2 of this report provides the audit conclusions and any necessary follow-up actions by the company through nonconformity reports.

The Rainforest Alliance founded its previous SmartWood program in 1989 to certify responsible forestry practices and has grown to provide a variety of auditing services. Rainforest Alliance certification and auditing services are managed and implemented within its RA-Cert Division. All related personnel responsible for audit design, evaluation, and certification/verification/validation decisions are under the purview of the RA-Cert Division, hereafter referred to as Rainforest Alliance or RA.

This report includes information which will become public information. Sections 1-3 and Appendix I will be posted on the FSC website according to FSC requirements. All other appendices will remain confidential. A copy of the public summary of this report can be obtained on the FSC website at http://info.fsc.org/.

Dispute resolution: If Rainforest Alliance clients encounter organizations or individuals having concerns or comments about Rainforest Alliance and our services, these parties are strongly encouraged to contact Rainforest Alliance regional or Headquarters offices directly (see contact information on report cover). Formal complaints or concerns should be sent in writing.

2. AUDIT FINDINGS AND RESULTS

2.1. Audit conclusion

Based on Company's conformance with FSC and Rainforest Alliance requirements, the audit team makes the following recommendation:	
☒	**Certification requirements met, certificate maintenance recommended** No NCR(s) issued
☐	**Certification requirements not met:**
Additional comments**:**	
Issues identified as controversial or hard to evaluate.	

2.2. Changes in FMEs' forest management and associated effects on conformance to standard requirements:

There have been no changes to the FME's forest management since the previous audit.

2.3 Excision of areas from the scope of certificate

☒ Not applicable. Check this box if the FME has not excised areas from the FMU(s) included in the certificate scope as defined by FSC-POL-20-003. *(delete the rows below if not applicable)*

2.4. Stakeholder issues *(complaints/disputes raised by stakeholders since previous evaluation)*:

No stakeholder issues were reported for the audit period.

2.5. Conformance with applicable nonconformity reports

The section below describes the activities of the certificate holder to address each applicable non-conformity report (NCR) issued during previous evaluations. For each NCR a finding is presented along with a description of its current status using the following categories. Failure to meet NCRs will result in nonconformances being upgraded from minor to major status with conformance required within 3 months with risk of suspension or termination of the Rainforest Alliance certificate if Major NCRs are not met. The following classification is used to indicate the status of the NCR:

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)

2.6. New nonconformity reports issued as a result of this audit

No new NCRs were issued as a result of this audit.

2.7. Audit observations

Observations can be raised when issues or the early stages of a problem are identified which does not of itself constitute a nonconformance, but which the auditor considers may lead to a future nonconformance if not addressed by the client. An observation may be a warning signal on a particular issue that, if not addressed, could turn into a NCR in the future (or a pre-condition or condition during a 5 year re-assessment).

No new Observations were issued as a result of this audit.

3. AUDIT PROCESS

3.1. Auditors and qualifications:

Auditor Name	John B. Auel	Auditor role	Lead

Qualifications:	John Auel completed a BS and MS in Forestry with an emphasis on Industrial Forest Operations from Virginia Polytechnic Institute and State University. He is the Coordinator for Mississippi's Professional Logging Manager Program and has taught Best Management Practices, Certification and Logging Safety for 19 years. He has been an auditor for 8 years and has completed training for Forest Management, Chain of Custody, SmartLogging and ISO Lead Auditor.

3.2. Audit schedule

Date	Location /Main sites	Principal Activities
15-16 August 2015	Office	Audit preparation and travel
20 August 2015	Grand Lakes Stream, ME	Opening Meeting
20 August 2015	Grand Lakes Stream, ME	Site visits
20 August 2015	Grand Lakes Stream, ME	Closing Meeting
Total number of person days used for the audit:2.5 = number of auditors participating **1 X** average number of days spent in preparation, on site and post site visit follow-up including stakeholder consultation **2.5**		

3.3. Sampling methodology:

The DLLT certificate is a single Forest Management Unit (FMU) Certificate containing 13,641 hectares. As a single FMU certificate no specific sampling intensity is required. Audit sites were selected based on recent management activity, HCVF, recreational use and habitat enhancement.

3.4. Stakeholder consultation process

There was no formal stakeholder notification as part of this audit. Specific stakeholders were contacted to gather evidence on conformance with the FSC standards evaluated during this audit.

Stakeholder type (i.e. NGO, government, local inhabitant etc.)	**Stakeholders notified** (#)	**Stakeholders consulted** or providing input (#)
Forest Industry	0	2
State Government	0	1
Tribal Forester	0	1

3.5. Changes to Certification Standards

Forest stewardship standard used in audit:	FSC-US Forest Management Standard (v1.0); FM-35 RA COC Standard for FME
Revisions to the standard since the last audit:	☒ No changes to standard. ☐ Standard was changed (detail changes below)
Changes in standard:	none
Implications for FME:	Not applicable - no new requirements

3.6. 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	Y ☐ N ☒
Comments: No complaints were received since the previous audit.	
Accident records	Y ☐ N ☒
Comments: The FME did not have any accidents since the previous audit.	
Training records	Y ☒ N ☐
Comments: Training records were made available and were reviewed by the auditor.	
Operational plan(s) for next twelve months	Y ☒ N ☐
Comments: FME plans were made available and were reviewed by the auditor.	
Inventory records	Y ☒ N ☐
Comments: Inventory records were made available and were reviewed by the auditor.	
Harvesting records	Y ☒ N ☐
Comments: Harvesting records were made available and were reviewed by the auditor.	

APPENDIX I: FSC Annual Audit Reporting Form:

Forest management enterprise information:			
FME legal name:	Downeast Lakes Land Trust		
FME Certificate Code:	RA-FM/CoC – 002682		
Reporting period	Previous 12 month period	**Dates**	1/1/2014-12/31/14

1. Scope Of Certificate			
Type of certificate: single FMU		SLIMF Certificate: not applicable	
New FMUs added since previous evaluation	Yes ☐ No ☒		
Group Certificate: Updated of FMU and group member list provided in **Appendix VII-a**:			
Multi-FMU Certificate: List of new FMUs added to the certificate scope:			
FMU Name/Description	Area	Forest Type	Location Latitude/Longitude[1]
	ha		
	ha		
	ha		

2. FME Information	
☒ No changes since previous report (if no changes since previous report leave section blank)	
Forest zone	
Certified Area under Forest Type	
- Natural	hectares
- Plantation	hectares
Stream sides and water bodies	Linear Kilometers

3. Forest Area Classification			
☒ No changes since previous report (if no changes since previous report leave section blank)			
Total certified area (land base)			ha
1. Total forest area			ha
a. Total production forest area		ha	
b. Total non-productive forest area (no harvesting)		ha	
- Protected forest area (strict reserves)	ha		
- Areas protected from timber harvesting and managed only for NTFPs or services	ha		
- Remaining non-productive forest	ha		
2. Total non-forest area (*e.g., water bodies, wetlands, fields, rocky outcrops, etc.)*			ha

4. High Conservation Values identified via formal HCV assessment by the FME and respective areas			
☒ No changes since previous report (if no changes since previous report leave section blank)			
Code	HCV TYPES[2]	Description:	Area
HCV1	Forest areas containing globally, regionally or		ha

[1] The center point of a contiguous FMU or group of dispersed properties that together comprise a FMU in latitude and longitude decimal degrees with a maximum of 5 decimals.

[2] The HCV classification and numbering follows the ProForest HCVF toolkit. The toolkit also provides additional explanation regarding the categories. Toolkit is available at http://hcvnetwork.org/library/global-hcv-toolkits.

	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.		ha
HCV3	Forest areas that are in or contain rare, threatened or endangered ecosystems.		ha
HCV4	Forest areas that provide basic services of nature in critical situations (e.g. watershed protection, erosion control).		ha
HCV5	Forest areas fundamental to meeting basic needs of local communities (e.g. subsistence, health).		ha
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).		ha
Number of sites significant to indigenous people and local communities			

5. Workers		
Number of workers including employees, part-time and seasonal workers:		
Total number of workers	4 workers	
- Of total workers listed above	3 Male	1 Female
Number of serious accidents	0	
Number of fatalities	0	

6. Pesticide Use
☒ FME does not use pesticides. (delete rows below)

APPENDIX VI: Rainforest Alliance Database Update Form

Instructions: For each FSC certificate, Rainforest Alliance is required to upload important summary information about each certificate to the FSC database (FSC-Info). During each annual audit RA auditors should work with the certificate holder to verify that the information posted on FSC-Info is up to date as follows:

1. Print out current Fact Sheet prior to audit from FSC-Info website or direct link to fact sheets (http://www.fsc-info.org)
2. Review information with the FME to verify all fields are accurate.
3. If changes are required (corrections, additions or deletions), **note only the changes** to the database information in the section below.
4. The changes identified to this form will be used by the RA office to update the FSC database.

Is the FSC database accurate and up-to-date? YES ☐ NO ☒
(if yes, leave section below blank)

Client Information (contact info for *FSC* website listings)

Organization name			
Primary Contact	Kyle Burdick	**Title**	
Primary Address		**Telephone**	
Address		**Fax**	
Email	kburdick@downeastlakes.org	**Webpage**	

Forests

Change to Group Certificate	☐ **Yes** ☐ **No**	**Change in # of parcels in group**	**total members**
Total certified area		**Hectares (or)**	**Acres**

Species (note if item to be added or deleted)

Scientific name	Common name	Add/Delete

Products

FSC Product categories added to the FM/CoC scope ***(FSC-STD-40-004a)***		
Level 1	**Level 2**	**Species**