

Certified by:



SmartWood Headquarters
65 Millet St. Suite 201
Richmond, VT 05477 USA
Tel: 802-434-5491
Fax: 802-434-3116
www.smartwood.org
Contact person: Jon Jickling
jjickling@smartwood.org

Certification Assessment
Performed by:

Arbex Forest Resource Consultants Ltd

Tel: (613) 258-6563
Fax: (613) 258-6593
Contact person: Bruce Byford R.P.F.
Email: b.byford@arbex.ca



ACCREDITED
FSC-SECR-0013

© 1996 Forest Stewardship Council A.C.

FM-02 Dec 2004



SmartWood

Practical conservation through certified forestry

SLIMF Forest Management Certification Assessment

Report for:

Nova Scotia Landowners and
Forest Fibre Producers
Association

In
Antigonish, Nova Scotia

Report Finalized: October 2005
Assessment Date: September 20-21, 2005
Assessment Team: Bruce Byford R.P.F

Certificate issue date:
Certificate code:

Operation Contact: Mr. Chalmers MacLeod
Address: 609 Church St. Unit 1
Port Hawkesbury, Nova Scotia
B9A 2X4

TABLE OF CONTENTS

ACRONYMS.....	4
INTRODUCTION	5
1. SCOPE OF THE CERTIFICATE	6
1.1. SCOPE OF THE CERTIFICATE.....	6
1.2. EXCLUSION OF AREAS FROM THE SCOPE OF CERTIFICATE	6
2. ASSESSMENT PROCESS.....	7
2.1. CERTIFICATION STANDARD USED	7
2.2. ASSESSMENT TEAM AND QUALIFICATIONS	7
2.3. ASSESSMENT SCHEDULE (INCLUDING PRE-ASSESSMENT AND STAKEHOLDER CONSULTATION)	7
2.4. EVALUATION STRATEGY	7
2.5. STAKEHOLDER CONSULTATION PROCESS.....	8
3. ASSESSMENT FINDINGS AND OBSERVATIONS.....	9
3.1. STAKEHOLDER COMMENTS RECEIVED.....	9
3.2. MAIN STRENGTHS AND WEAKNESSES	9
3.3. IDENTIFIED NON-COMPLIANCES AND CORRECTIVE ACTIONS.....	11
3.4. FOLLOW-UP ACTIONS BY CLIENT TO MEET CERTIFICATION	14
3.5. OBSERVATIONS	14
3.6. CERTIFICATION RECOMMENDATION	15
4. CLIENT SPECIFIC BACKGROUND INFORMATION.....	16
4.1. OWNERSHIP AND LAND TENURE DESCRIPTION	16
4.2. SOCIOECONOMIC CONTEXT	16
APPENDIX I: FSC Reporting Form: Detailed FMO information	17
APPENDIX II: Public summary of the management plan	20
APPENDIX III: Certification standard compliance checklist (confidential)	23
APPENDIX IV: Chain of Custody Standard Compliance Checklist (confidential)	52
APPENDIX V: Group Certification Compliance (confidential).....	54
APPENDIX VI: List of all visited sites (confidential).....	60
APPENDIX VII: Detailed list of stakeholders consulted (confidential)	61
APPENDIX VIII: FMO map.....	62

ACRONYMS

AAC	Annual Allowable Cut
CBM	Cubic Meter
CITES	Convention on Trade in Endangered Species
FMO	Forest Management Organization
FMP	Forest Management Plan
FMU	Forest Management Unit
FSC	Forest Stewardship Council
HCVF	High Conservation Value Forest
HP	Harvest Plan
H&S	Health and Safety
ILO	International Labour Organization
P&C	Principles and Criteria of the FSC
NSLFFPA	Nova Scotia Landowners & Forest Fibre Producers Association

INTRODUCTION

This report presents the findings of an independent certification assessment conducted by a forestry specialist representing the SmartWood Program of the Rainforest Alliance. The purpose of the assessment was to evaluate the ecological, economic and social sustainability of Nova Scotia Landowners and Forest Fiber Producers Association for the Forest Stewardship Council. This operation meets the qualifications for small and low intensity managed forest (SLIMF) as defined by the FSC and was evaluated using the streamlined FSC SLIMF procedures.

This report contains four main sections of information and findings and several appendixes. The whole report plus Appendixes I and II will become public information about the forest management operation that may be distributed by SmartWood or the Forest Stewardship Council (FSC) to interested parties. The remainder of the appendixes are confidential, to be reviewed only by authorized SmartWood and FSC staff and reviewers bound by confidentiality agreements.

The purpose of the SmartWood program is to recognize conscientious land stewardship through independent evaluation and certification of forestry practices. Forestry operations that attain SmartWood certification may use the SmartWood and FSC labels for public marketing and advertising.

1. SCOPE OF THE CERTIFICATE

1.1. Scope of the certificate

The Nova Scotia Landowners and Forest Fibre Producers Association (NSLFFPA) is pursuing FSC certification for the lands managed by their members **and non-members** in **the seven Eastern Counties of** Nova Scotia. It is an association registered in **Nova Scotia** representing small private landowners and managers who seek income from their forestry activities.

More detailed information about the FMO and areas covered by the certificate is provided in Appendix II and III.

1.2. Exclusion of areas from the scope of certificate

The NSLFFPA has a membership of approximately 2,000. Approximately, 70 landowners **including many** members of the association applied to be part of a pool of candidate operations for FSC certification assessment. Following an assessment of the outcome of a SmartWood Pre-Assessment in June 2005, the Group Entity (GE) identified five properties as candidate holdings for FSC certification.

Table 1 presents details for the candidate operations.

2. ASSESSMENT PROCESS

2.1. Certification Standard Used

The certification standard utilized for this assessment was: *Canadian Forest Stewardship Council Certification Standards for Best Forestry Practices in the Maritime Forest Region (March 2003)*.

This standard may be obtained from the FSC Canada Website at the following site address:
<http://www.fsccanada.org/maritimes/index.shtml>.

2.2. Assessment team and qualifications

Bruce Byford R.P.F.

Bruce Byford is a Licensed Professional Forester (Ontario)¹. He has twenty-six years of forestry consulting experience. He has completed several forest audits for SmartWood and a conducted Independent Forest Audits (IFA) in Ontario. Mr. Byford has completed SmartWood Assessor Training and ISO 14001 Lead Auditor training.

2.3. Assessment schedule (including pre-assessment and stakeholder consultation)

Date	General Location* (main sites)	Main activities
June 8, 2005	Lakevale, Guysborough County	Pre-Assessment Audit
Sept. 12, 2005		Public Notice for Certification Assessment Posted
Sept. 20-21, 2005	Cape Breton	Certification Assessment
Total number of person-days used for the assessment:4.75		
* Detail on sites visited provided in Appendix VI.		

2.4. Evaluation strategy

This evaluation follows the FSC streamlined evaluation procedures documented in the following FSC document:

- FSC-POL-20-101 SLIMF Streamlined Certification Procedures: summary
- FSC-POL-20-100 SLIMF Eligibility Criteria.

A pre-assessment visit was conducted in June 2005 which examined two candidate properties (i.e.. Clark and Hart). The GE identified the properties for pre-assessment order to provide a

¹ Membership # 1162

benchmark of the certification process and requirements which could be adopted to determine which holdings in the membership pool could be considered for future membership in the certified pool. As a result of this benchmarking exercise five properties were brought forward for assessment in the certification assessment. The Clark property was included as a candidate property in the certification pool as an outcome of the pre-assessment.

The certification assessment was conducted over the period of September 20-21. Two properties in the candidate pool were visited during the assessment (Baker McKay Forest and Moloney Property). The landowner from a third property was interviewed and his forest management plan reviewed (i.e. James Anderson). A site visit was also made to an additional candidate property currently not in the proposed pool to provide a rapid assessment of the eligibility of this property for inclusion in the certified pool. Table 2 lists the properties visited during the pre-assessment and certification assessments (e.g. 60% of the candidate property pool).

Landowner	Name of Forest Management Unit	Location	Size (Acres)
Ken MacRury	Baker McKay Forest	Cape Breton	215
John & Linda Moloney	(Blackstone Road)	Cape Breton	400
Philip & Sally Clark	(Brophy Road)	Antigonish County	332

A review of the management plans, the NSLFFPA Policies and Procedures Manual and other relevant documentation and records was undertaken. Interviews were conducted with NSLFFPA representatives and the Association’s Certification Consultant, a forest management planning consultant, logging contractors and the landowners selected for site assessments.

2.5. Stakeholder consultation process

Although FSC policy does not require a public notice for SLIMF assessments, SmartWood believed it might help the assessor with valuable input from stakeholders.

A public notice for the assessment was prepared for posting on the SmartWood website (September 12, 2005). SmartWood’s Canada Coordinator circulated the public notice via email to several agencies and organizations requesting a cross posting of the notice.

No stakeholder comments were received by the assessor during the consultation period.

3. ASSESSMENT FINDINGS AND OBSERVATIONS

3.1. Stakeholder comments received

The stakeholder consultation activities are organized to give participants the opportunity to provide comments according to general categories of interest based upon the assessment criteria. No stakeholder comments were received.

3.2. Main strengths and weaknesses

Principle	Strengths	Weaknesses
P1: FSC Commitment and Legal Compliance	<p>The NSLFFPA was established in 1984 and has a total membership of approximately 2000. The Association is active promoting sustainable forest management.</p> <p>The Policy and Procedures Manual, Standard Operation Procedures and management plans prepared by the Association's consultants are of high quality.</p>	<p>The organizational structure of the Association is flat. The auditor was unable to fully ascertain if the Association Directors fully understand and are cognizant of the long-term commitment and associated workload related to maintaining FSC certification. A Certification Consultant has been retained to assist the association in obtaining certification. This individual is retired and has not been retained by the Association on a long term basis. Training and successional planning must occur in order to ensure a smooth transition from the consultant to the Association or another delivery model.</p> <p>The GE will also need to maintain on-going efforts to educate its membership on the implications of FSC certification and ensure through monitoring, educational programs etc. that its membership are implementing forest management activities that reflect FSC standards.</p>
P2: Tenure & Use Rights & Responsibilities	Policy and Procedures Manual provides clear direction.	No major weakness is identified
P3 – Indigenous Peoples' Rights	Policy and Procedures Manual provides clear direction.	No major weakness is identified
P4: Community Relations & Workers' Rights	Policy and Procedures Manual provides clear direction.	No major weakness is identified
P5: Benefits from the Forest	Policy and Procedures Manual provides clear direction.	No major weakness is identified
P6: Environmental	Policy and Procedures Manual provides clear direction. Holdings are	The Policy and Procedures Manual must clearly indicate that the Maritime

Impact	small size, small scale and low intensity of operations, which should imply that negative environmental impacts at the landscape level are minimized.	Standard prohibits the use of biocides as a tool for competition control in forest management. Many of the sites within the jurisdictional area of the Association are productive and site competition following harvesting or disturbance is a problem for forest managers. In some areas harvested sites have not reverted back to forest cover due to significant and prolonged competition from grasses and other vegetation. This is often a legacy of past clearcutting practices. The strict requirement that landowners not use chemicals as a silvicultural tool to regenerate such sites may have a significant negative impact on the ability of forest landowners to return these areas to productive forest land. The viability of implementing forest management on small scale holdings is strongly influenced by the available capital, time, equipment and labour. Manual vegetation control methods can require significant inputs (i.e. labour, money, time). The Maritime Standard, with regard to biocide use, may preclude the ability of the Association to continue to attract membership to the certified pool, as the majority of the Association's membership manage their holdings to derive income from their woodlots.
P7: Management Plan	Management Plans prepared by the Forestry Consultant are of high quality.	<p>The current relative high cost of management plan preparation may be prohibitive for some landowners who would otherwise be interested in obtaining FSC certification.</p> <p>Plans would benefit with the inclusion of elements identified in section 3.5. (i.e. plan summaries, reference to treatment guides provided within individual stand descriptions etc.)</p>
P8: Monitoring & Assessment	Comprehensive monitoring program is documented in the Policy and Procedures Manual	The Association currently does not have an established mechanism to transfer knowledge amongst its membership which may result from adaptive management and monitoring over time of forest management activities. The use of regular newsletters, workshops

		or seminars should be considered.
P9: Maintenance of High Conservation Value Forest	Policy and Procedures Manual and Management plans address maintenance of HCVF.	The Association may benefit from a broader consultation with respect to the identification and management of HCVF.
P10 - Plantations	Management Plans demonstrate a movement to restoration of the Acadian Forest and more species diversity through mixed plantings were artificial regeneration is proposed.	Historic plantations exist within many private woodlots.
Chain of custody		
Group Certification Requirements	A comprehensive Policy and Procedures Manual has been developed to guide management of the Group.	Process has been largely driven and delivered by a consultant. The Association as it is currently structured lacks in-house expertise.

3.3. Identified non-compliances and corrective actions

A non-compliance is a discrepancy or gap identified during the assessment between some aspect of the FMO's management system and one or more of the requirements of the forest stewardship standard. Depending on the severity of the non-compliance the assessment team differentiates between major and minor non compliances.

- **Major non-compliance** results where there is a fundamental failure to achieve the objective of the relevant FSC criterion. A number of minor non-compliances against one requirement may be considered to have a cumulative effect, and therefore be considered a major noncompliance.
- **Minor non-compliance** is a temporary, unusual or non-systematic non-compliance, for which the effects are limited.

Major non compliances must be corrected **before** the certificate can be issued. While minor non-compliances do not prohibit issuing the certificate, they must be addressed within the given timeframe to maintain the certificate.

Each non-compliance is addressed by the audit team by issuing a corrective action request (CAR) CARs are requirements that candidate operations must agree to, and which must be addressed, within the given timeframe of a maximum of one year period.

Summary:

# CAR or Precondition	CAR	Time Limit	Reference to Standard
1	The Association must develop a strategy (i.e. formal business plan) based on an assessment of workload requirements, cost, and human resource	1 Year	1.6

	requirements related to its roles and responsibilities as FSC Resource Manager to determine annual entry levels to the certified pool.		
2	The Association must be explicit in its requirements for inclusion in the certified pool that no biocides are to be used in the forest management activities of its certified pool membership.	2 Years	6.6.1
3	The Policy and Procedures Manual must be updated to reference the preferred use of biodegradable oil and other biodegradable products when available.	3 Months	6.7.1.
4	Summaries of forest management plans must be prepared and kept on file at the NSLFFPA office and be available for public review.	1 Year	7.4.1.
5	The Association must provide a public summary of the results of its monitoring activities on certified properties.	1 Year	8.5
6	The policy and procedures manual will include a description of the procedures for the notification of SW of changes in membership	1 Month	
7	The policy and procedures manual will include procedures (i.e. minimum thresholds and record keeping procedures) for the sale of mixed products that combine certified and non certified wood	1 Month	

Details:

CAR #: 1/05	Reference Standard #: 1.6
Non-compliance: Major <input type="checkbox"/> Minor <input checked="" type="checkbox"/>	. NSLFFPA currently has approximately 70 woodlot owners whom have expressed interest in FSC Certification. Given the current flat management structure and business model of the Association some risk is associated with a rapid expansion to that level of membership.
Corrective Action Request: The Association develop a strategy (i.e. formal business plan) based on an assessment of workload requirements, cost, and human resource requirements related to its roles and responsibilities as FSC Resource Manager to determine annual entry	

levels to the certified pool.
Timeline for Compliance: 1 Year

CAR #: 2/05	Reference Standard #: 6.6.1.
Non-compliance: Major <input type="checkbox"/> Minor <input checked="" type="checkbox"/>	The Association has not explicitly committed to using no biocides in its forestry practices.
Corrective Action Request: The Association must be explicit in its requirements for inclusion in the certified pool that no biocides are to be used in the forest management activities of its certified pool membership.	
Timeline for Compliance: 2 Years	

CAR #: 3/05	Reference Standard #: 6.7.1.
Non-compliance: Major <input type="checkbox"/> Minor <input checked="" type="checkbox"/>	Policy Manual does not reference preferred use of biodegradable oil and other biodegradable products
Corrective Action Request: The Policy and Procedures Manual must be updated to reference the preferred use of biodegradable oil and other biodegradable products when available	
Timeline for Compliance: 3 Months	

CAR #: 4/05	Reference Standard #: 7.4.1.
Non-compliance: Major <input type="checkbox"/> Minor <input checked="" type="checkbox"/>	Summaries of the management plans are not available to the public.
Corrective Action Request: Summaries of forest management plans must be prepared and kept on file at the NSLFFPA office and be available for public review.	
Timeline for Compliance: 1 Year	

CAR #: 5/05	Reference Standard #: 8.5
Non-compliance: Major <input type="checkbox"/> Minor <input checked="" type="checkbox"/>	A policy and procedures to provide a public summary of the results of monitoring has not been developed by the Association.
Corrective Action Request: The Association must provide a public summary of the results of its monitoring activities on certified properties.	
Timeline for Compliance: 1 Year	

CAR #: 6/05	Reference to standard:	Major: <input type="checkbox"/>	Minor: <input checked="" type="checkbox"/>
Non Compliance: Procedures for the notification of SmartWood of changes in membership are not included in the Policy and Procedures Manual.			

Corrective Action: The policy and procedures manual will include a description of the procedures for the notification of SW of changes in membership
Deadline for completion of corrective action: Within one month of certification

CAR #: 7/05	Reference to standard:	Major: <input type="checkbox"/>	Minor: <input checked="" type="checkbox"/>
Non Compliance: Procedures for sale of mixed products are not included in the Policy and Procedures Manual.			
Corrective Action: The policy and procedures manual will include procedures (i.e. minimum thresholds and record keeping procedures) for the sale of mixed products that combine certified and non certified wood			
Deadline for completion of corrective action: Within one month of certification			

3.4. Follow-up actions by client to meet certification

No pre-conditions to certification are identified.

3.5. Observations

Observations are voluntary actions suggested by the assessment team, but are not mandated or required.

The table below presents the observations of the assessor.

Observations	Standard Reference
The Policy Manual should reference improving fuel efficiency in operations and conformity of contractors with Criteria 5.1.3.	5.1.2 & 5.1.3.
Stand descriptions in plan should reference treatment guides in plan appendices and reference unique features (e.g. rare or threatened species) Area of concern requirements (e.g. buffers) and watercrossing requirements. Management Plans should contain a brief description of the socio-economic context for the plan (i.e. significance of woodlot to landowner & local and regional economy).	7.1
Management Plans should clearly indicate the plan term and revision date	7.2.2
The Management Plan text should contain a brief summary outlining plan term, property ownership and area, major plan activities and the identification of any special or unique attributes or features on the holding.	7.4.1
Plan should include instructions for forest management record keeping and contain table(s) to facilitate landowner tracking of harvesting & silviculture activities over the plan term.	8.1

3.6. Certification Recommendation

Based on a thorough field review, analysis and compilation of findings the FMO has demonstrated that their described system of management is being implemented consistently over the whole forest areas covered by the scope of the evaluation. SmartWood concludes that FMO's management system, if implemented as described, is capable of ensuring that all the requirements of the certification standards are met across the scope of the certificate.

The issue of biocide use by landowners will require that the GE ensure that its membership move towards zero use of biocide as required by the Maritime Standard. Currently, the Standard Operating Procedures (SOPs) for the Association indicate that ;

- Alternatives to pesticides should be considered
- That pesticides be used as little as possible
- A decision-making protocol for justification the use of pesticides (when required) be established.

A FSC/SmartWood Forest Management and Chain of Custody (FM/COC) Certification will be issued based upon agreement to the stipulated corrective action requests.

In order to maintain certification, the FMO will be audited annually on-site and required to remain in compliance with the FSC principles and criteria as further defined by regional guidelines developed by SmartWood or the FSC. The FMO will also be required to fulfil the corrective actions as described below. Experts from SmartWood will review continued forest management performance and compliance with the corrective action requests described in this report, annually during scheduled and random audits.

4. CLIENT SPECIFIC BACKGROUND INFORMATION

4.1. Ownership and land tenure description

The Nova Scotia Landowners and Forest Fibre Producers Association (NSLFFPA) is the oldest and continuously active woodlot owner organization in the Province of Nova Scotia. The Association has approximately 2,000 members. Members of the NSLFFPA are small private woodlot owners who seek income from their forestry activities.

Antigonish and Port Hawkesbury are approximately at the centre of the region from which the NSLFFPA draws its membership (e.g. seven eastern counties of Nova Scotia).

Private landowners are stewards of approximately 70% of the forested land in Nova Scotia. Many of the forests in the area are small and fragmented since they are located near populated regions with many roads, waterways, farms and residential developments.

Very few natural stands exist in the eastern counties of Nova Scotia due to prior human disturbances, settlement and other activities from the past.

The woodlots of the association typically include the following characteristics;

- Significant areas of old field pasture which were regenerated to spruce
- Areas of past harvest with various stages of regeneration
- Insect damaged (mainly spruce budworm) stands from the 1970
- Wind and ice damage can be significant limiting factors for tree growth

4.2. Socioeconomic Context

As noted above, approximately 70% of the land in Nova Scotia is privately held. Harvest of wood products from private lands in the Province is therefore significant to the viability of the provinces forest industry. The NSLFFPA represents under collective agreement with Stora Enso in Port Hawkesbury all pulpwood producers in the seven eastern counties of the province.

Due to the scale of their operations, private woodlot managers are faced with significant challenges to implement sustainable forest management on their holdings. For woodlot owners the decision to introduce or increase forest management on their lands is an investment decision, dependent on the availability of inputs (i.e. time, labour, capital) and on the anticipated rate of return. At the same time woodlots provide other forest uses (e.g. recreation) are significant as wildlife, and are important on the landscape for the maintenance of ecological processes.

APPENDIX I: FSC Reporting Form: Detailed FMO information

SCOPE OF CERTIFICATE

Type of certificate:	Group Manager		
SLIMF status:	SLIMF		
Number of group members (if applicable): 5			
Total number of Forest Management Units FMUs: 5 (if applicable, list each below):			
Division of the FMUs within the scope:			
	# of FMU-s	total forest area FMU group	
< 100 ha	3	156.18 ha	
100 – 1000 ha	2	327.53 ha	
1000 – 10 000 ha			
> 10 000 ha			
SLIMF FMUs			
List of each FMU included in the certificate:			
FMU	FMU Owner	Area	Forest Type
Brophy	Phillip & Sally Clark	130.00 ha.	Mixed Acadian
Blackstone	John & Linda Molony	197.53 ha.	Mixed Acadian
Cluney Hill	James Anderson	37.65 ha.	Mixed Acadian
Askilton	Francis MacNeil	31.71 ha.	Mixed Acadian
Rear Baddeck	Ken MacRury	86.82 ha.	Mixed Acadian
Product categories included in the scope (note: use FSC product category classification system):			
Type of product:	Description		
Pulpwood & Saw logs	Primarily to Stora Enso Port Hawkesbury Ltd.		
Other: Hardwood	Various products, May be sold or used by the owner		

FMO INFO

Location of certified forests	Eastern Counties, Nova Scotia, Canada
Forest zone	Acadian
Management tenure:	Private
Number of FMO employees:	1
Number of forest workers (including contractors) working in forest within the scope of certificate:	8

Species and annual allowable cut (To be completed upon certification) *See Note

Botanical name	Common trade name	Annual allowable cut	Actual harvest in last year	Projected harvest for next year
This will be discussed with SW and completed upon Certification		m3	m3	m3
		m3	m3	m3
		m3	m3	m3
		m3	m3	m3
	Total	m3	m3	m3
Total annual estimated log production:		m3		
Total annual estimates production of NTFP:		m3		
(list all NTFP by product type)		m3		
		m3		
		m3		

* Discussed with Bruce Byford - The section above will be discussed with SW and completed upon Certification notice from SW

FOREST AREA CLASSIFICATION

Total certified area	483.71 ha
Total forest area in scope of certificate	483.71 ha
Forest area that is:	
Privately managed	100% ha
State managed	
Community managed	
Area of production forests (areas where timber may be harvested)	311.26 ha
Area without any harvesting or management activities (strict reserves)	29.87 ha
Area without timber harvesting and managed only for production of non-timber forest products or services	68.97ha
Area classified as plantations ²	0 ha

Area or share of the total production forest area regenerated naturally	70% ha (estimate)
Area or share of the total production forest area regenerated by planting or seeding	25% ha (estimate)
Area or share of the total production forest are regenerated by other or mixed methods (describe)	5% ha (These areas are fill planted to stock stands with desired species)

² According to FSC definition “plantations” in this context should be understood as forest areas lacking most of the principal characteristics and key elements of native ecosystems as defined by FSC-approved national and regional standards of forest stewardship, which result from the human activities of either planting, sowing or intensive silvicultural treatments.

without planting the entire area)		
Conservation values present in the forest (High Conservation Value Forests or HCVF) and respective areas		
HCVF Attributes	Description: Location on FMU	Area (ha)
A forest contains globally, regionally or nationally significant: concentrations of biodiversity values (e.g. endemism, endangered species, refugia)	The FMO checks provincial significant habitat database to see if any concerns are on or near the property and if so addressed through DNR direction	
A forest contains 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	N/A	
They are in, or contain rare, threatened or endangered ecosystems	N/A	
They provide basic services of nature in critical or unique situations (e.g. watershed protection, erosion control);	N/A	
They are fundamental to meeting basic needs of local communities (e.g. subsistence, health) and/or critical to local communities' traditional cultural identity (areas of cultural, ecological, economic or religious significance identified in cooperation with such local communities).	N/A	

APPENDIX II: Public summary of the management plan

Main objectives of the forest management are:

To ensure forests are managed in a sustainable manner to FSC requirements

Main priority:

To ensure forests are managed to FSC requirements restoring attributes of the natural Acadian forests

Secondary priority:

Manage forests and harvest products in a sustainable manner

Other priorities:

Dependent on the landowner objectives and can include: Residence, Income, recreation etc.

Forest composition:

There are several main forest characteristics in the Management units. Very few natural stands exist due to prior human disturbances, settlement and other activities from the past. Forests include:

- Old field pasture spruce areas comprise a large portion of the areas
- Areas previously harvested with various stages of regeneration
- Areas that are in reserve such as forests relatively low disturbance
- Special management zones for water protection
- Insect damaged (mainly spruce budworm) stands from the 1970s

Description of Silvicultural system(s) used:

- Planting – Using local stock
 - Regular planting an area with little natural regeneration
 - “Infill” planting where natural regeneration is present , but not adequate
- Harvesting
 - Clear cutting, where a whole stand must be removed, (over mature or insect damaged)
 - Patch Cutting, where only portions of a stand is removed
 - Thinning, to release desired crop trees
 - Over-story removal, example is to release SWD regeneration

Under-story removal, to remove balsam fir from tolerant HWD
 Commercial Thinning
 Single tree selection

- Release spacing
- Site preparation to prepare planting sites

Silvicultural system (Estimate)	% of forest under this management
Even aged management	40 %
Clearfelling (clearcut size range 1-5 ha)	35 %
Shelterwood	10 %
Uneven aged management	60 %
Individual tree selection	5 %
Group selection (group harvested of less than 1 ha in size)	60 %
Other types of management (explain) All harvest systems described under silvicultural systems fall into the groups above.	0%

Harvest methods and equipment used: the FMUs in our group to date are all manual chainsaw operations. The extraction equipment is usually hired (although a small "DION" tracked forwarder and farm tractor is used by 2 of the woodlot owners.

Estimate of maximum sustainable yield for main commercial species: N/A

Explanation of the assumptions (e.g. silvicultural) upon which estimates are based and reference to the source of data (e.g. inventory data, permanent sample plots, yield tables) upon which estimates are based upon:.

These are all described in the management Plans, based on field reconnaissance and provincial growth and yield data

Forest management organizational structure and management responsibilities from senior management to operational level (how is management organized, who controls and takes decisions etc.)

- The **woodlot owner** requests acceptance into the group certification pool and agrees to meet FSC requirements
- **NSLFFPA** is the overall owner of the programs with responsibility for the certification program
- **The association** ensures each FMU has a forest management plan that meets FSC requirements
- The **woodlot owner** describes management objectives to be achieved
- The **forest Manager** that develops the plan and ensures the treatments are technically sound and meets landowner objectives
- **The woodlot owner** is responsible to ensure activities are conducted and reported as per program requirements. (the woodlot owner may provide work or contract for services)
- **NSLFFPA** accepts or rejects the plan and woodlot, monitors according to its

procedures, ensures on-going compliance by all parties, and maintains registration

- **SMARTWOOD** provides auditing services based on FSC requirements and agreement(s) with NSLFFPA

Structure of forest management units (division of forest area into manageable units etc.)

Each FMU is divided into units or stands based on forest characteristics. Each stand will have a number, objective, recommended treatment etc.

Monitoring procedures (including yield of all forest products harvested, growth rates, regeneration, and forest condition, composition/changes in flora and fauna, environmental and social impacts of forest management, costs, productivity and efficiency of forest management)

Monitoring procedures are stated in the NSLFFPA policy and procedures manual

Environmental protection measures include buffer zones for streams, riparian areas, etc., and the protection of sites for Rare Threatened and Endangered Species and habitat

APPENDIX III: Certification standard compliance checklist (confidential)

The following checklist must be completed separately for each FMU evaluated. For group certification assessments, checklists completed for each group member sampled shall demonstrate full compliance with all the requirements of the FSC P&C, except those already complied with at the group level. Evaluation of compliance must be made at the level of each indicator. The entire assessment team evaluate compliance of all indicators through a consensus process. Where noncompliance with the standard is documented by the team, corrective action requests (CAR) are outlined. The following definitions apply, and are the basis for all certification assessments:

- Pre-condition** Requirements that FMO must meet before certification by SmartWood can take place.
- Minor CAR** Requirements that FMO must meet, within a defined time period (usually within one year), during the period of the certification,
- Observation** Non mandatory actions suggested by the assessment team to address FMO performance.

For each indicator in the standard discussed below, the assessment team’s evaluation of compliance is presented (yes or no) and where applicable CARs or observations are presented. Where noncompliance is identified, explanatory notes must be included presenting audit evidence for this decision. If a particular indicator is considered non-applicable (NA) an explanation for this interpretation must be included in the explanatory notes section. Note: where comments have been received from stakeholders about the client’s compliance related to a defined criteria, please include reference to related finding under the explanatory notes.

Criteria and indicators	Findings
-------------------------	----------

Principle 1: Compliance with Laws and FSC Principles

Forest management shall respect all applicable laws of the country in which they occur, and international treaties and agreements to which the country is a signatory, and comply with all FSC Principles and Criteria.

1.1 Forest management shall respect all national and local laws and administrative requirements.

Criterion Level Remarks:

Criteria and indicators	Findings
<p>The operation complies with all federal, provincial, county, municipal, and local regulations. All staff members are aware of such regulations and their legal responsibilities regarding them. Up-to-date copies of such regulations are maintained and accessible to staff members. Compliance inspections are performed periodically and kept on record. Where non-compliances are identified, corrective actions are implemented. NOTES: (CARs/Observations)</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Compliance inspections will be performed by the GE based on an internal assessment of risk. CARs will be issued internally by the GE.</p>
<p>1.2 All applicable and legally prescribed fees, royalties, taxes and other charges shall be paid.</p>	
<p>Criterion Level Remarks:</p>	
<p>Information regarding such charges is maintained up-to-date and accessible. There is evidence of payment of such charges. Provisions have been made to meet the costs of future charges. NOTES: (CARs/Observations)</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Membership is comprised of private land holdings where royalties do not apply. The NSLFFPA requires its members to pay taxes and other charges as appropriate.</p>
<p>1.3 In signatory countries, the provisions of all binding international agreements such as CITES, ILO Conventions, ITTA, and Convention on Biological Diversity, shall be respected.</p>	
<p>Criterion Level Remarks:</p>	
<p>A list of all binding international agreements is maintained (see “international agreements” in the glossary). The operation complies with all such binding international agreements. Staff members are aware of relevant agreements and their legal responsibilities regarding them. NOTES: (CARs/Observations)</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>NS forest practices code for private landowners and federal provincial protected species lists are tied to these conventions. GE staff are aware of the conventions.</p>
<p>1.4 Conflicts between laws, regulations and the FSC Principles and Criteria shall be evaluated for the purposes of certification, on a case by case basis, by the certifiers and the involved or affected parties.</p>	
<p>Criterion Level Remarks:</p>	
<p>Any identified conflicts and actions taken to address them are documented. Involved and affected parties are consulted and kept informed.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>No conflicts were identified by the GE. An internal risk assessment procedure identifies the level of risk and provides guidance with respect to frequency of monitoring.</p>

Criteria and indicators	Findings
-------------------------	----------

NOTES: (CARs/Observations)

1.5 Forest management areas should be protected from illegal harvesting, settlement and other unauthorized activities.

Criterion Level Remarks:

Surveillance is performed periodically, and protective action is taken.

NOTES: (CARs/Observations)

1.6 Forest managers shall demonstrate a long-term commitment to adhere to the FSC Principles and Criteria.

Criterion Level Remarks:

1.6.1 * The management plan must clearly and succinctly state the owner's endorsement of all the Principles and Criteria of the FSC, as well as the standards of the Maritime Forest Region. Conformance with Indicator: Yes No N/A

1.6.2 * An owner/ manager must have all its owned and managed lands certified, or be actively engaged in moving all lands within the region towards certification and must be following FSC regional standards on all lands. Conformance with Indicator: Yes No N/A

1.6.3 Owners/managers must demonstrate that land is committed to long-term forest management. Conformance with Indicator: Yes No N/A

Corrective Action Request: The Association develop a strategy (i.e. formal business plan) based on an assessment of workload requirements, cost, and human resource requirements related to its roles and responsibilities as FSC Resource Manager to determine annual entry levels to the certified pool.

Principle 2: Tenure and Use Rights and Responsibilities

Long-term tenure and forest use rights to the land and forest resources shall be clearly defined, documented and legally established.

2.1 Clear long-term tenure and forest use rights to the land (e.g. land title, customary rights, or lease agreements) shall be clearly demonstrated.

Criterion Level Remarks:

Criteria and indicators	Findings
-------------------------	----------

<p>There is documentation showing the legal status of all land and forest that demonstrates legal, long-term (or renewable) rights to manage the land and/or utilize forest resources.</p> <p>The extent of any First Nations' claims or other claims to forest lands (mining, trapline, water permits, easements, etc.) are documented.</p> <p>There is evidence of due diligence in establishing clear title.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Demonstration of clear title is a prerequisite of membership in the NSLFFPA.</p>
---	---

NOTES: (CARs/Observations)

2.2 Local communities with legal or customary tenure or use rights shall maintain control, to the extent necessary to protect their rights or resources, over forest operations unless they delegate control with free and informed consent to other agencies.

Criterion Level Remarks:

<p>First Nations (see Principle 3), local communities, or other stakeholders, who have recognized legal or customary tenure, or traditional use rights, have been identified (e.g. treaty lands, municipal boundaries, water licenses and permits, community watersheds, traplines, traditional hunting or gathering etc.).</p> <p>The impacts of proposed forest management operations (including access management) on such uses are evaluated.</p> <p>All holders of such rights have access to information about current and proposed management activities that may affect their use rights.</p> <p>There is evidence that free and informed consent to forest management activities affecting legal, customary, or traditional use rights has been given by affected groups and individuals and that their interests have been accommodated.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Landholdings are small, and the requirement to show title to land exists as a membership requirement for the NSLFFPA. To date no First Nation disputes involving the proposed pool membership have arisen. The Policy Manual indicates that the Group will respect First Nations duly established rights and discuss and agree upon access to land if situations arise.</p>
--	--

NOTES: (CARs/Observations)

2.3 Appropriate mechanisms shall be employed to resolve disputes over tenure claims and use rights. The circumstances and status of any outstanding disputes will be explicitly considered in the certification evaluation. Disputes of substantial magnitude involving a significant number of interests will normally disqualify an operation from being certified.

Criterion Level Remarks:

Criteria and indicators	Findings
-------------------------	----------

There are records of all previous and on-going disputes over aboriginal title (see Principle 3), land use, or tenure and use rights.
There is documented evidence of commitment to the resolution of on-going disputes.

Conformance with Indicator: Yes No N/A

No disputes are recorded. The policy manual provides direction.

NOTES: (CARs/Observations)

Principle 3: Indigenous Peoples' Rights

The legal and customary rights of indigenous peoples to own, use and manage their lands, territories and resources shall be recognised and respected.

3.1 Indigenous peoples shall control forest management on their lands and territories unless they delegate control with free and informed consent to other agencies.

Criterion Level Remarks:

3.1.1 First nations have a special relationship with Canada based on history and interests in lands. First Nation's experience, knowledge, practices, and insights are to be fairly considered in planning and operations. Rights of First Nations shall be formally recognized and given fair accommodation.

Conformance with Indicator: Yes No N/A

First Nations are not typically involved in the forest management planning process as the candidate properties are privately held. The GE Policy states that participants in Group Certification will respect First Nation's duly established rights and report to the association any land claim dispute with a First Nation. The policy and procedures manual further states that "Access to land and other common issues should be agreed on".

3.1.2 Where the extent of the rights are in dispute, an appropriate, explicit, and documented process for addressing and resolving grievances is in place and is being followed.

Conformance with Indicator: Yes No N/A

GE Standard Operating Procedures require landowners to report to the association any land claims disputes with First Nations. Rights of First Nations Peoples are established through the Indian Act. Treaty negotiations are the responsibility of the Federal and Provincial Government. The policy and procedures manual while not providing a specific documented process for addressing and resolving grievances requires participants to discuss and agree on issues.

NOTES: (CARs/Observations)

3.2 Forest management shall not threaten or diminish, either directly or indirectly, the resources or tenure rights of indigenous peoples.

Criterion Level Remarks:

Criteria and indicators	Findings
<p>Forest planning and management processes consider and meet obligations with respect to duly established Aboriginal and treaty rights. Local First Nations are involved in forest management processes. First Nations have jobs in forest-based businesses on their lands, territories, and resources .</p>	<p>Conformance with Indicator: Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input checked="" type="checkbox"/></p> <p>First Nations have not become involved in the management processes for small private landowners.</p>

NOTES: (CARs/Observations)

3.3 Sites of special cultural, ecological, economic or religious significance to indigenous peoples shall be clearly identified in cooperation with such peoples, and recognised and protected by forest managers.

Criterion Level Remarks:

3.3.1 Areas of cultural sensitivity must be identified and incorporated in forest management/operational plans.

Conformance with Indicator: Yes No N/A

No culturally significant areas were identified for the inspected properties. The GE SOP documentation provides policy for identification and documentation of cultural zones. SOP does not allow for forest operations within identified cultural areas.

3.3.2 * Informed consent by First Nations to any operations on culturally significant areas must be granted.

SOP requires membership to proactively develop relationships with First Nations and inform parties of planned forest management activities. Procedures manual also requires membership to “follow all laws and treaties regarding rights and protection of indigenous people”.

NOTES: (CARs/Observations)

3.4 Indigenous peoples shall be compensated for the application of their traditional knowledge regarding the use of forest species or management systems in forest operations. This compensation shall be formally agreed upon with their free and informed consent before forest operations commence.

Criterion Level Remarks:

There is evidence that First Nation communities were informed and that compensation was provided as agreed.

Conformance with Indicator: Yes No N/A

TEK was not used in the development of management plans for the small private holdings.

Principle 4: Community Relations and Worker’s Rights

Forest management operations shall maintain or enhance the long-term social and economic well being of forest workers and local communities.

NOTES: (CARs/Observations)

4.1 The communities within, or adjacent to, the forest management area should be given the opportunity for employment, training and other services.

Criterion Level Remarks:

Criteria and indicators	Findings
<p>4.1.1 Traditional, non-timber, environmentally appropriate uses (those that do not threaten native plant or animal populations or ecological functions) of the forest by local people or the public that are well established (but not necessarily legal rights) are sustained on a permissive basis. These should include First Nations' rights to resource uses under treaties. User-fees may be charged by the forest manager/owner. Typical examples include:</p> <ul style="list-style-type: none"> a. Fishing and Hunting b. Recreational use c. Wildcrafting (basketry, wreathes etc.) d. Wild food gathering e. Water 	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Policy manual directs landowners to discuss access to land with First Nations people should the issue arise. Historically, landowners have provided access to individuals who use the forest for recreational pursuits or hunting. No user fees were charged by landowners on the inspected properties.</p>
<p>4.2.2 The manager's operations have a consistently low accident frequency rate.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>No accidents were reported on either inspected property.</p>
<p>4.1.2 The landowner must provide evidence of support for the local community. Some examples include: supporting local processing and value-added manufacturers, supporting local businesses, supporting local hiring, education and training.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Harvest contractor on one of the properties inspected was local contractor. Wood from the association membership is marketed in the region (e.g. Stora Enso)</p>
<p>NOTES: (CARs/Observations)</p>	
<p>4.2 Forest management should meet or exceed all applicable laws and/or regulations covering health and safety of employees and their families.</p>	
<p>Criterion Level Remarks:</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Harvest contractor working on property inspected conformed to safety regulations. Policy manual Requires landowners to follow all laws related to employment and safety.</p>
<p>NOTES: (CARs/Observations)</p>	
<p>4.3 The rights of workers to organize and voluntarily negotiate with their employers shall be guaranteed as outlined in conventions '87 and '98 of the International Labour Organization.</p>	
<p>Criterion Level Remarks:</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Policy manual indicates that workers shall be free to collectively bargain</p>
<p>NOTES: (CARs/Observations)</p>	
<p>4.4 Management planning and operations shall incorporate the results of evaluations of social impact. Consultations shall be maintained with people and groups directly affected by management operations.</p>	

Criteria and indicators	Findings
-------------------------	----------

Criterion Level Remarks:

<p>4.4.1 Employees must be given opportunities to participate in, and give feedback on, major management decisions and policy formulation.</p>	<p>Conformance with Indicator: Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input checked="" type="checkbox"/></p> <p>The GE has an Executive Director but does not have employees. Members of the association can provide feedback on the policy and activities of the Association.</p>
<p>4.4.2 As appropriate to the size of the ownership and the circumstances of the local community, local communities and community organizations directly affected by forestry activities must be given an opportunity to participate in the setting of forest management goals and in forest management planning.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>The policy and procedures document indicates that upon reaching a critical mass of 50 members in the certified pool or 5,000 ha "....consultations will be initiated seeking more broad input". The current small size of the pool precludes this criterion.</p>
<p>4.4.3 When operating within 500 metres of a boundary line, the owner(s) of the adjacent land(s) must be given a minimum of 60 days notice and their concerns considered prior to commencement of the activity.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Procedure for notification is in the policy and procedures manual. This process is appropriate for the size and scale of operations.</p>
<p>4.4.4 Owner/manager(s) must demonstrate their cooperation, support, or assistance to other sustainable management initiatives within the region.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>The NSLFFPA is active in promoting sustainable forest management amongst its membership and the broader public.</p>
<p>4.4.5 The presence of logging operations must not jeopardize the existence of nearby communities/community initiatives within their region.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Operations are small scale, with little of no impact on adjacent communities.</p>
<p>4.4.6 Harvest operations and road designs must consider impacts on visual and sound quality in the vicinity of high use areas.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Visual impacts of operations are addressed in the forest management plans at the discretion of the landowner. One property visited had designed a high visibility area as a protected area. The policy manual indicates that landowners are to maintain the aesthetic character of surroundings when harvesting in the vicinity of public roads or residences.</p>

NOTES: (CARs/Observations)

4.5 Appropriate mechanisms shall be employed for resolving grievances and for providing fair compensation in the case of loss or damage affecting the legal or customary rights, property, resources, or livelihoods of local peoples. Measures shall be taken to avoid such loss or damage.

Criterion Level Remarks:

<p>Procedures are documented and employed for resolving such grievances.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>
<p>Due diligence measures are taken to prevent such loss or damage.</p>	<p>Procedures are documented in the GE Policy Manual.</p>

NOTES: (CARs/Observations)

Criteria and indicators	Findings
-------------------------	----------

Principle 5: Benefits from the Forest

Forest management operations shall encourage the efficient use of the forest's multiple products and services to ensure economic viability and a wide range of environmental and social benefits.

5.1 Forest management should strive toward economic viability, while taking into account the full environmental, social, and operational costs of production, and ensuring the investments necessary to maintain the ecological productivity of the forest.

Criterion Level Remarks:

<p>5.1.1 Investments in timber stand improvement, land resource information base and research of the local ecology must be sufficient to achieve management objectives of maintaining or restoring ecological integrity.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Landowners had held the properties inspected for extended periods of time. Investments in stand improvement had been made. Management plan provided roadmap for sustainable forest management.</p>
<p>5.1.2 An owner must demonstrate improving efficiency of fossil fuel use.</p>	<p>Conformance with Indicator: Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input checked="" type="checkbox"/></p> <p>Trend must be determined over time. Profit margins on small scale operations are small and fuel cost is a major cost factor. It can be expected that landowners will seek efficiencies in fossil fuel use to maintain or improve margins on harvesting operations. Policy manual should reference this criterion to provide guidance to landowners.</p>
<p>5.1.3 An owner/manager must demonstrate that acquisition of new equipment and maintenance of all equipment considers and reduces pollution and environmental degradation.</p>	<p>Conformance with Indicator: Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input checked="" type="checkbox"/></p> <p>SLIFM, most landowners do not own and operate equipment. Management Plans should contain a brief description of the socio-economic context for the plan (i.e. significance of woodlot to landowner & local and regional economy).</p>
<p>5.1.4 Stumpage rates and round wood prices being paid to landowners and governments by a landowner or mill seeking certification must be fair and equitable given logging conditions, timber quality, volume, and local experience with comparable log markets.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input checked="" type="checkbox"/></p> <p>A negotiated collective agreement is in place between Stora Enso and the NSLFFPA</p>
<p>5.1.5 The revenue derived from activities and operations on the forest unit must be sufficient to support the long term management strategy.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Subsidies have been applied for to facilitate the implantation of non-commercial forest management activities.</p>
<p>5.1.6 There must be sufficient investment in forest management to ensure sustainability.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>SLIFM operations are small, investment in forest management plans and adherence to plan demonstrates commitment to sustainability.</p>

Criteria and indicators	Findings
<p>5.1.7 Financial situation, investment objectives, and debt load must not place undue pressure on the operation or threaten long term objectives and sustainability.</p>	<p>Conformance with Indicator: Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input checked="" type="checkbox"/></p> <p>SLIFM. Properties inspected had been held by families for long periods of time. Landowners interviewed had strong attachment to their properties and land ethic which is reflective of FSC principles</p>
<p>NOTES: Observation: Policy Manual should reference criteria 5.1.1 and 5.1.2 to provide guidance to landowners.</p>	
<p>5.2 Forest management and marketing operations should encourage the optimal use and local processing of the forest's diversity of products.</p>	
<p>Criterion Level Remarks:</p>	
<p>5.2.1 Forestry operations should seek the “highest and best use” for individual trees, including habitat use.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Highest and best use is demonstrated within plan prescriptions and was field verified during the site visits.</p>
<p>NOTES: (CARs/Observations)</p>	
<p>5.3 Forest management should minimize waste associated with harvesting and on-site processing operations and avoid damage to other forest resources.</p>	
<p>Criterion Level Remarks:</p>	
<p>5.3.1 Harvesting methods must minimize damage to trees left standing (e.g. “skinned” trees or broken tops).</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Damage to residual timber was not observed during the field visits. One property had an active logging operation.</p>
<p>5.3.2 Logs and lumber must be handled so as to minimize potential loss in value from degradation, exposure, and saprophytes.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Standard Operating Procedure (SOP) of GE addresses issue. Wood directed to Stora must be green.</p>
<p>NOTES: (CARs/Observations)</p>	
<p>5.4 Forest management should strive to strengthen and diversify the local economy, avoiding dependence on a single forest product.</p>	
<p>Criterion Level Remarks:</p>	
<p>5.4.1 Non-timber forest product opportunities must be assessed.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>No assessment was indicated in plans reviewed. GE has policy and procedures that indicate NTFP should be considered in accordance with landowners objectives</p>
<p>5.4.2 Efforts must be made to diversify product types and promote the use of under-utilized species that form a large portion of naturally composed forests, without compromising natural forest integrity.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Local mills purchase a wide range of species. Small operations will seek to attain market for all products as profit margins on small-scale operations require that operations direct harvest</p>

Criteria and indicators	Findings
	volumes to highest end use.
<p>5.4.3 Recreational activities must be environmentally appropriate (those that do not threaten native plant or animal populations or ecological functions) and must not compromise other criteria.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Recreational activities on the properties were low impact (i.e. hiking, hunting) and landowners maintained a surveillance of activities occurring on their properties.</p>
NOTES: (CARs/Observations)	
<p>5.5 Forest management operations shall recognize, maintain, and, where appropriate, enhance the value of forest services and resources such as watersheds and fisheries.</p>	
Criterion Level Remarks:	
<p>5.5.1 Foresters managing and working in woodlands must be aware of and apply the most appropriate practices, based on scientific and local-historical findings. These practices must be reviewed and revised regularly as new information becomes available.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Forest management plans prepared were professional and of high quality. Plan author was a registered professional forester.</p>
<p>5.5.2 Management must demonstrate a good understanding of local ecology, including, for example, competing vegetation, wildfire, windthrow, herbivory, disease, and the role and values of dead wood.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Forest management plans prepared were professional and of high quality. Plan author was a registered professional forester. Interviews with the plan author indicated good understanding and knowledge of local ecology, silvics and forest management standards and practises.</p>
<p>5.5.3 Owner/manager must demonstrate commitment, efforts, and practices, reflected in the management plan, to improve, or at least maintain, the full range of non-timber benefits (e.g. climate regulation, water supply, erosion control and sediment retention, nutrient cycling, waste treatment, biological control, recreation, aesthetics, cultural values, etc. – see Appendix II part A for further examples).</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Small scale of operations, development of SOPs, and use of appropriate equipment will maintain non-timber benefits.</p>
<p>5.5.4 Owner/manager must demonstrate commitment, efforts, and practices, reflected in the management plan, to reduce the external costs (externalities) associated with forestry and milling operations (e.g. CO2 emissions, mill effluent, etc. – see Appendix II part B for further examples). Many of these external costs are measurable</p>	<p>Conformance with Indicator: Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input checked="" type="checkbox"/></p> <p>SLIFM</p>

Criteria and indicators	Findings
-------------------------	----------

directly or indirectly (e.g. fossil fuel consumption).

5.5.5 Owner/manager must work towards reducing reliance on subsidies, if any, for the long-term viability of the operation. This is a step toward full cost accounting.

Conformance with Indicator: Yes No N/A

SLIMF. Landowners may qualify for provincial subsidies to conduct non-commercial work. Subsidies tend to be low in value and without which small landowner would not be in a position to undertake non-commercial activities.

NOTES: (CARs/Observations)

5.6 The rate of harvest of forest products shall not exceed levels which can be permanently sustained.

Criterion Level Remarks:

5.6.1 Rates of harvest of any forest product must be sustainable within ecological limits.

Conformance with Indicator: Yes No N/A

Harvest levels are developed within the management plans on the basis of sustainable yield by a registered professional forester.

5.6.2 A pre-harvest inventory or sale area reconnaissance must be implemented.

Conformance with Indicator: Yes No N/A

Inventory was conducted in the preparation of the plans. Prior to wood sale on the property which had active operations the contractor had conducted a reconnaissance of the area.

5.6.3 An operating/harvesting plan must be written, available, and used in the forest that includes 1) silvicultural guidelines, 2) volume and basal area targets, 3) residual species composition, 4) tree marking guidelines, and 5) transportation and access.

Conformance with Indicator: Yes No N/A

SLIFM. General operating guidelines are provided within the management plan which include silvicultural guidelines, volume estimates, retention guidelines and instruction related to forest access. Guidelines for tree marking (which trees to harvest and leave) are also provide for stands managed by selection harvests.

NOTES: (CARs/Observations)

Principle 6: Environmental Impacts

Forest management shall conserve biological diversity and its associated values, water resources, soils, and unique and fragile ecosystems and landscapes, and, by so doing, maintain the ecological functions and the integrity of the forest.

6.1 Assessment of environmental impacts shall be completed - appropriate to the scale, intensity of forest management and the uniqueness of the affected resources - and adequately integrated into management systems. Assessments shall include landscape level considerations as well as the impacts of on-site processing facilities. Environmental impacts shall be assessed prior to commencement of site-disturbing operations.

Criteria and indicators	Findings
Criterion Level Remarks:	
<p>6.1.1 Environmental impacts shall be assessed prior to and following the harvesting of both timber and non-timber forest products or the non-extractive uses of the woodlands.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>SLIMF. GE policy and Sops provides guidelines for the reduction of environmental impacts. Plans also address this issue.</p>
<p>6.1.2 The owner/manager must possess a good knowledge of the variety and extent of soil types in their landholdings and demonstrably use this knowledge in designing management, including road system design and silviculture design.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Landowners had long history of active management on the properties inspected and were very knowledgeable of soil types and potential impacts of operations on soils. Management plans addressed this issue as appropriate.</p>
NOTES: (CARs/Observations)	
<p>6.2 Safeguards shall exist which protect rare, threatened and endangered species and their habitats (e.g. nesting and feeding areas). Conservation zones and protection areas shall be established, appropriate to the scale and intensity of forest management and the uniqueness of the affected resources. Inappropriate hunting, fishing, trapping and collecting shall be controlled.</p>	
Criterion Level Remarks:	
<p>6.2.1 * Threatened and endangered species (listed by provincial and federal endangered species legislation) and their habitat must be protected or managed in accordance with approved recovery plans. Where recovery plans are not yet approved, disturbance of known occurrences of such species is to be avoided and a cautionary approach taken to protect their habitat. Forest owner/manager activities must ensure that species that are rare, vulnerable or under investigation by COSEWIC, or their provincial equivalents as designated by recognized authorities (e.g. academic experts, provincial or national museums or COSEWIC) are not further threatened by timber or non-timber activities.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>GE policy document outlines policy and procedures to address issue of threatened and endangered species. DNR input is utilized to identify and prescribe protection measures.</p>
<p>6.2.2 * Old growth stands must not be harvested.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Individual plans preserved areas of old growth.</p>

Criteria and indicators	Findings
<p>6.2.3 Areas with unusually high native species or ecosystem diversity² must be identified, and protected or managed in such a way as to ensure that the diversity is not lost.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> GE policy document, SOPs and management plans address this issue</p>
<p>6.2.4 The manager cooperates with the government authorities to prevent the harming, harassing, capturing or taking of red- or blue-listed species, threatened or endangered species, or species of special concern within the management unit.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> Not applicable to properties inspected. Policy direction of NSLFFPA would accommodate this concern as appropriate and applicable.</p>
<p>NOTES: (CARs/Observations)</p>	
<p>6.3 Ecological functions and values shall be maintained intact, enhanced, or restored, including: a) Forest regeneration and succession. b) Genetic, species, and ecosystem diversity. c) Natural cycles that affect the productivity of the forest ecosystem.</p>	
<p>Criterion Level Remarks:</p>	
<p>6.3.1 * Tree Species Diversity: Indigenous tree species appropriate to the site should occur in relative frequencies similar to those of the natural forest or, if not, demonstrate that management is restoring to those conditions.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> Restoration of the Acadian Forest is a goal of the GE and is reflected as an objective of the forest management plans reviewed and the SOPs of the GE.</p>
<p>6.3.2 * Canopy height: Management shall strive to increase all measures of canopy height including height of the tallest trees and average height of the dominant trees, except in cases where even-age management is appropriate.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> Restoration of the Acadian Forest is a goal of the GE and an objective of the forest management plans reviewed. SOPs are conducive to criterion attainment Management strategies adopted within the plans on uneven-age stands should result in the attainment of this objective over time.</p>
<p>6.3.3 * Crown Closure: Canopy closure should be maintained within 20% of the natural range except in cases where even-age management is appropriate.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> Restoration of the Acadian Forest is a goal of the GE and an objective of the forest management plans reviewed. SOPs are conducive to criterion attainment Management strategies adopted within the plans on uneven-age stands should result in the attainment of this objective over time.</p>
<p>6.3.4 * Age/Size Class Distribution: Maintain a full range of age / size class distribution of tree species, except in cases where even-age management is appropriate.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> Restoration of the Acadian Forest is a goal of the GE and an objective of the forest management plans reviewed. SOPs are conducive to criterion attainment Management strategies adopted within the plans on uneven-age stands should result in the attainment of this objective over time.</p>

Criteria and indicators	Findings
<p>6.3.5 * Dead Wood: Restore towards natural patterns (abundance, size, distribution) of dead wood in each stand.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>SOPs and prescriptions for wildlife tree retention will address this criterion.</p>
<p>6.3.6 * Soil: Minimize soil compaction and erosion.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>SOPs have been developed to address this issue. Minimal site disturbance was observed on inspected properties.</p>
<p>6.3.7 * Nutrient and Water Cycles: Minimize soil nutrient loss; build soil; avoid any degradation of water quality; use practices that will slow water flow through the forest system, from canopies, through wetlands to primary water courses.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>SOPs have been developed and incorporated in the management plans for the protection/maintenance of water cycles. On sites visited there was good protection of soils and water.</p>
<p>6.3.8 * Harvest Levels: Limit the harvest of timber and non-timber products to levels which do not compromise the local populations of harvested species or the health of its habitat or the stand, except in cases where even-age management is appropriate.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Harvest levels are prescribed in the forest management plans by a registered professional forester. The GE consultant monitors operations to ensure compliance with the management plan. Harvests will be tracked over time.</p>
<p>6.3.9 * Timber Harvest Selection: For uneven-age management - mimic non-extensive, non-catastrophic natural disturbance.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Selection strategies prescribed in SOPs and management plans are appropriate to SLIFM level planning and if implemented correctly will meet the criterion.</p>
<p>* Landscape Level Objectives: These apply particularly to large landowners.</p>	
<p>6.3.10 Management must strive to approximate typical natural forest characteristics for the ecosite with respect to forest community types, species composition, and seral stage composition and distribution.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Goal of restoring the Acadian Forest will address this criterion.</p>
<p>6.3.11 * Management must strive to approximate a spatial pattern and distribution of forest communities that is representative of natural forest characteristics for the ecosite.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Goal of restoring the Acadian Forest will address this criterion.</p>
<p>6.3.12 Management must achieve a functional level of connectivity and must avoid excessive fragmentation.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Low level of harvest activity, and the types of harvests (e.g. selection, small patch cuts) implemented will enable a functional level of connectivity and not lead to excessive forest fragmentation (in-stand or between stands).</p>

Criteria and indicators	Findings
-------------------------	----------

6.3.13 * The rationale for all decisions to plant tree seedlings instead of relying on natural regeneration must be well defended and documented in the management plan.

Conformance with Indicator: Yes No N/A
 Rationale was established and documented.

6.3.14 * Local seed sources must be maintained by ensuring that viable populations remain at the landscape level.

Conformance with Indicator: Yes No N/A
 See for seedling production was collected from local/regional sources.

6.3.15 Specific wildlife habitat objectives must be set and adequate habitat levels must be maintained and developed.

Conformance with Indicator: Yes No N/A
 Wildlife habitat protection, maintenance and development is addressed in the SOPs and forest management plans. The low level and low intensity of harvests implies that habitats will not be adversely affected at a regional scale.

6.3.16 * Watersheds must be managed in order to protect water quality and to prevent unnatural fluctuations in water temperature and discharge.

Conformance with Indicator: Yes No N/A
 SOPs and management plans provide direction for the protection of watercourses. On the inspected properties riparian protection strategies had been implemented.

NOTES: (CARs/Observations)

6.4 Representative samples of existing ecosystems within the landscape shall be protected in their natural state and recorded on maps, appropriate to the scale and intensity of operations and the uniqueness of the affected resources.

Criterion Level Remarks:

6.4.1 The landowner must protect all ecologically unique areas/ features that occur on the ownership.

Conformance with Indicator: Yes No N/A
 Unique areas were identified in management plans and protected by the landowners.

6.4.2 For large landowners: if the holding presents the only opportunity for protecting a feature in need of representation in the given ecological unit, an appropriate proportion of the area must be protected to IUCN I or II. The level of representation, and the appropriate proportion to protect, must be determined by the landowner, making reference to accepted and peer reviewed gap analyses and ecological integrity principles (e.g. those of WWF , NB Nature Trust, or Fundy Model Forest).

Conformance with Indicator: Yes No N/A
 SLIMF

Criteria and indicators	Findings
-------------------------	----------

<p>6.4.3 For large landowners: if the holding is located in an ecoregion or natural landscape unit that is not adequately represented by protected areas, the owner/ manager must commit for protection (no logging, no road building) an appropriate proportion of the land base until representative goals are met. The level of representation, and the appropriate proportion to protect, must be determined by the landowner, making reference to accepted and peer reviewed gap analyses and ecological integrity principles (e.g. those of WWF, NB Nature Trust or Fundy Model Forest).</p>	<p>Conformance with Indicator: Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input checked="" type="checkbox"/></p> <p>SLIMF</p>
<p>6.4.4 In view of the importance of protected areas for best forestry practice in the Maritimes the owner/manager will actively support multi-stakeholder initiatives that include government, industrial and private landowners, and non-government agencies to establish systems of protected areas in the region of the landholding.</p>	<p>Conformance with Indicator: Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input checked="" type="checkbox"/></p> <p>SLIMF. GE demonstrates support for FSC principles in policy documents. At level of landowner areas are protected.</p>

NOTES: (CARs/Observations)

6.5 Written guidelines shall be prepared and implemented to: control erosion; minimize forest damage during harvesting, road construction, and all other mechanical disturbances; and protect water resources.

Criterion Level Remarks:

<p>6.5.1 Road construction and maintenance must be conducted so as to minimize damage to the forest and water areas.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>GE Policy, SOP and management plans address this issue. On the properties inspected road construction and maintenance activities did not adversely impact the forest or watercourses.</p>
<p>6.5.2 * Watercourse crossings must be designed and laid out to minimize damage to the forest and water course.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Crossing viewed in the site inspections meet the criterion. Guidance is provided to landowners in GE SOP and management plans.</p>
<p>6.5.3 * Buffer zones must be maintained adjacent to all bodies of water and water courses including seasonal ponds and vernal pools (see Appendix III). The extent and levels of protection of these buffer zones must be adequate to serve all the natural forest functions of such zones including:</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>This criterion was met. Buffer zones observed during the site inspections met legal requirements.</p>

Criteria and indicators	Findings
<p>6.5.3.1 control of erosion of soil and organic debris; 6.5.3.2 control of stream sedimentation; 6.5.3.3 stabilization of surface and ground water flow fluctuations; 6.5.3.4 stabilization of water temperatures; 6.5.3.5 provision of organic debris (large diameter wood) for the aquatic habitat; 6.5.3.6 provision of habitat (shelter, water, food, travel corridors, etc.) for many species of plants and animals; and 6.5.3.7 an abundance of dead wood, standing and fallen, of the full range of sizes available, within the entire buffer zone after any harvesting activity.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>SOPs and management plans address this criterion. Site inspections confirmed the criterion had been met.</p>
<p>6.5.4 An owner/manager must have a written policy that addresses wetland protection.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Wetlands are protected on a as encountered basis on the individual properties of the group. The policy manual indicates that wetlands must be protected according to provincial regulations. At the management planning level wetlands are identified and protection strategies prescribed.</p>

NOTES: (CARs/Observations)

6.6 * Management systems shall promote the development and adoption of environmentally friendly non-chemical methods of pest management and strive to avoid the use of chemical pesticides. World Health Organization Type 1A and 1B and chlorinated hydrocarbon pesticides; pesticides that are persistent, toxic or whose derivatives remain biologically active and accumulate in the food chain beyond their intended use; as well as any pesticides banned by international agreement, shall be prohibited. If chemicals are used, proper equipment and training shall be provided to minimize health and environmental risks.

Criterion Level Remarks:

<p>6.6.1 Management is explicitly committed to using no biocides in its forestry practices, and has developed an integrated silvicultural strategy that supports a no use approach.</p>	<p>Conformance with Indicator: Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A <input type="checkbox"/></p> <p>Policy currently permits minimal use of biocides and recommends that use be phased out as practical. Biocides had not been applied on the inspected properties.</p>
---	--

Criteria and indicators	Findings
-------------------------	----------

6.6.2 Management agrees that when there is biocide use the following formula applies:

Indicators:

- management plans provide for the elimination of herbicide use within a specified period not exceeding 5 years, to allow for the transition to integrated management systems fully reliant on natural ecological functions.
- management plans provide for the elimination all other biocides within a specified period not exceeding 10 years, to allow for the transition to integrated management systems fully reliant on natural ecological functions
- the use of biocides does not unfairly disadvantage other certified land owners using management systems which no longer require biocides. when biocides are used, management plans indicate that biocides selected have the least adverse environmental impact on natural ecological functions

Conformance with Indicator: Yes No N/A
 Policy currently permits minimal use of biocides and recommends that use be phased out as practical.

Policy and management plans indicate that landowners will:

- Use pesticides minimally with the goal of reducing the use or eliminating
- Pesticides are applied by fully trained and licensed operators
- Assure no amount of pesticide gets in the watercourse
- Acquire legal permits and follow regulations as applicable
- Notify neighbours as per regulatory requirements.

NOTES: (CAR) The Association must be explicit in its requirements for inclusion in the certified pool that no biocides are to be used in the forest management activities of its certified pool membership.

6.7 Chemicals, containers, liquid and solid non-organic wastes including fuel and oil shall be disposed of in an environmentally appropriate manner at off-site locations.

Criterion Level Remarks:

6.7.1 Biodegradable oil and other biodegradable products should be used when available, and an active recycling program be in place for oil and plastic products.

Conformance with Indicator: Yes No N/A

SLIMF No evidence of procedure was documented in the Policy Manual. Use of biodegradable oil was observed on candidate property in the New Glasgow Town Watershed.

NOTES: (CAR): The Policy and Procedures Manual must be updated to reference the preferred use of biodegradable oil and other biodegradable products when available.

6.8 Use of biological control agents shall be documented, minimized, monitored and strictly controlled in accordance with national laws and internationally accepted scientific protocols. Use of genetically modified organisms shall be prohibited.

Criterion Level Remarks:

Criteria and indicators	Findings
-------------------------	----------

NOTES: (CARs/Observations)

6.9 The use of exotic species shall be carefully controlled and actively monitored to avoid adverse ecological impacts.

Criterion Level Remarks:

6.9.1 An exotic tree species may be introduced only after the land manager provides clear evidence that:

Conformance with Indicator: Yes No N/A

a/ There is a known risk and low risk of invasion or adverse effects of surrounding habitat

No exotic species were planted on the pool properties inspected. Past planting of exotics had occurred on the additional property visited (i.e. Scotch Pine, Norway Spruce). The SOPs encourage plantings to native species.

b/ It is compatible with the ecosystem;

c/ It is limited to no more than 5% of an ecosite within a certified area; and.

d/ the role the exotic tree species play in the restoration of the natural forest (see FSC International definition, Maritime Regional Standards glossary definition, and Maritime Regional Standards Appendix 1).

Indicators:

The manager has undertaken a risk assessment regarding the introduction of the species, which at a minimum verifies: displacement of native communities, hybridization with native species and introduction of pathogens.

The manager can provide clear evidence that the exotic tree species is compatible with the ecosystem.

Verifiers:

Manager provides documented evidence that no displacement, hybridization or introduction of pathogens as a result of introducing an exotic species.

Management plans and field evidence indicate that exotic planting is limited to less than 5% of an ecosite within a certified area.

Criteria and indicators	Findings
-------------------------	----------

6.9.2 * Given the current state of knowledge, exotic control organisms are prohibited.

Conformance with Indicator: Yes No N/A

SLIMF. No evidence on inspected properties to indicate use of exotic control organisms.

NOTES: (CARs/Observations)

6.10 * Forest conversion to plantations or non-forest land shall not occur, except in circumstances where conversion:

- a) entails a very limited portion of the Forest Management Unit; and
- b) does not occur on High Conservation Value Forest areas; and
- c) will enable clear, substantial, additional, secure, long term conservation benefits across the Forest Management Unit.

Criterion Level Remarks: Yes No N/A

One property inspected had historic plantations, prescriptions were in place to permit the ingress of native species over time. SOP prescribes plantings such that one species does not dominant and other native species are permitted to ingress into planted areas. Natural forest areas are not be converted to plantations.

Principle 7: Management Plan

A management plan - appropriate to the scale and intensity of the operations - shall be written, implemented, and kept up to date. The long-term objectives of management, and the means of achieving them, shall be clearly stated.

NOTES: (CARs/Observations)

7.1 The management plan and supporting documents shall provide:a) Management objectives.b) Description of the forest resources to be managed, environmental limitations, land use and ownership status, socio-economic conditions, and profile of adjacent lands.c) Description of silvicultural and/or other management system, based upon the ecology of the forest in question and information gathered through resource inventories.d) Rationale for rate of annual harvest and species selection.e) Provisions for monitoring of forest growth and dynamics.f) Environmental safeguards based on environmental assessments.g) Plans for the identification and protection of rare, threatened and endangered species.h) Maps describing the forest resource base including protected areas, planned management activities and land ownership.i) Description and justification of harvesting techniques and equipment to be used.

Criterion Level Remarks: .

7.1.1 The vision and objectives of the owner/manager must be articulated clearly to employees, contractors, suppliers, customers, and the public.

Conformance with Indicator: Yes No N/A

SLIMF. Vision and objectives articulated in the plan. Plan summaries are to be made available to the public.

Criteria and indicators	Findings
<p>7.1.1.1 The management plan must assess the strengths and weaknesses of the management unit relative to the stated vision and objectives.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>
<p>7.1.2 The owned/managed lands, and the adjacent lands, must be described and mapped in adequate detail to provide the information necessary for making management decisions in accord with the other sections of this document.</p>	<p>Conformance with Indicator: Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input checked="" type="checkbox"/> SLIMF.</p>
<p>7.1.3 Management plans must document the owner's management strategies and prescriptions for meeting the objectives in the mission statement within the context of the forest's long-term sustainability.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>
<p>7.1.4 Procedures for identifying and safeguarding vulnerable, rare, threatened, and endangered species, and their habitat, must be included in the management plan, in accordance with 6.2.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>
<p>7.1.5* For all lands which do not have the physical or functional characteristics of the natural forest for that site (see Appendix I), a restoration plan must be in place which considers various options and which will be effective in moving the site toward a condition more characteristic of an appropriate natural forest type.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> Goal to restore Acadian Forest address this indicator. This situation was not encountered on the properties inspected,</p>
<p>7.1.6 Projections of growth levels, harvest values, change in relative species abundance and distribution and periodic allowable cut must be justified by clear evidence in the form of historical information, research findings or traditional wisdom.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> SLIMF. Plans were prepared by a local registered professional forester.</p>
<p>7.1.7 Access and harvest schedules and techniques must be described and justified.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>
<p>Indicators: The management plan addresses target conditions and cutting cycles, or other descriptions of cutting frequency.</p>	<p>Stand level guidelines were developed in the plans inspected.</p>
<p>7.1.8 Plan must include a detailed plan for monitoring forest changes and assessing environmental and social impacts of forest management.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> GE Policy and Procedures document sufficient for SLIMF. Site inspections are to be implemented according to level of activity and risk.</p>

NOTES: (CARs/Observations)

Criteria and indicators	Findings
-------------------------	----------

Observations

Management Plans should contain a brief description of the socio-economic context for the plan (i.e. significance of woodlot to landowner & local and regional economy).

Stand descriptions in plan should reference treatment guides in plan appendices and reference unique features (e.g. rare or threatened species) Area of concern requirements (e.g. buffers) and watercrossing requirements.

Management plans should clearly state the plan term and revision date.

7.2 The management plan shall be periodically revised to incorporate the results of monitoring or new scientific and technical information, as well as to respond to changing environmental, social and economic circumstances.

Criterion Level Remarks:

7.2.1 Indicators of progress relative to objectives must be identified and an effective and thorough plan for monitoring these indicators must be in place.

Conformance with Indicator: Yes No N/A
Qualitative indicators are suggested in the planning documents.

7.2.2 * Management plans must be current and be revised at least every five years.

Conformance with Indicator: Yes No N/A
Management plans are based on a 10 year planning period and are to be reviewed on a five year cycle or when a woodlot inspection raises questions as to the applicability or appropriateness of the plan.

NOTES: (CARs/Observations)

7.3 Forest workers shall receive adequate training and supervision to ensure proper implementation of the management plan.

Criterion Level Remarks:

7.3.1 Investment in employee and training education must be sufficient to ensure the proper and efficient implementation of the management plan. Employees should maintain currency with developing management principles and practices, including the FSC P&C.

Conformance with Indicator: Yes No N/A
GE staff is minimal. FSC initiative is spear-headed by a consultant. Interviews indicated that training will occur for staff.

NOTES: (CARs/Observations)

7.4 While respecting the confidentiality of information, forest managers shall make publicly available a summary of the primary elements of the management plan, including those listed in Criterion 7.1.

Criterion Level Remarks:

Criteria and indicators	Findings
-------------------------	----------

7.4.1 * A summary of the management plan, including management objectives, prescriptions, resource descriptions, and sources of material inputs must be made available to the public.

Conformance with Indicator: Yes No N/A
 SLIMF. Public summaries of plans are currently not made available.

NOTES: (CARs): Summaries of forest management plans must be prepared and kept on file at the NSLFFPA office and be available for public review.

Observation: The Management Plan text should contain a brief summary outlining plan term, property ownership and area, major plan activities and the identification of any special or unique attributes or features on the holding.

Principle 8: Monitoring and Assessment

Monitoring shall be conducted – appropriate to the scale and intensity of forest management – to assess the condition of the forest, yields of forest products, chain of custody, management activities and their social and environmental impacts.

8.1 The frequency and intensity of monitoring should be determined by the scale and intensity of forest management operations as well as the relative complexity and fragility of the affected environment. Monitoring procedures should be consistent and repeatable over time to allow comparison of results and assessment of change.

Criterion Level Remarks:

Indicators:

A documented monitoring program that outlines the frequency, intensity, and rationale for monitoring is in place.
 Consistent and replicable monitoring procedures for each activity are documented and implemented.
 Contractors' performance is monitored, including compliance with contract specifications.
 Staff members with responsibility for implementing monitoring programs are identified.
 Where non-compliances are identified, corrective actions are implemented.
 Records of monitoring activities are available.

Conformance with Indicator: Yes No N/A

Monitoring system has been developed by the GE based on assessment of risk and level of activity on the woodlot. Checklists to guide the monitoring activities have been developed and CARs will be issued. Records of monitoring were reviewed by the assessor.

NOTES: (CARs/Observations)

8.2 Forest management should include the research and data collection needed to monitor, at a minimum, the following Indicators:
 a) yield of all forest products harvested;
 b) growth rates, regeneration and condition of the forest;
 c) composition and observed changes in the flora and fauna;
 d) environmental and social impacts of harvesting and other operations;
 e) costs, productivity, and efficiency of forest management.

Criteria and indicators	Findings
-------------------------	----------

Criterion Level Remarks: Yes No N/A

- A) no SLIMF
- B) Yes regeneration is monitored
- C) Yes monitoring of advancement in the achievement of long term objectives
- D) Yes
- E) SLIMF, not required

8.2.1 Forest management should include the research and data collection needed to monitor species at risk, protected areas and other indicators of high biodiversity appropriate to scale. Conformance with Indicator: Yes No N/A
SLIMF. Site inspections are performed as appropriate for scale of operations.

NOTES: (CARs/Observations)

8.3 Documentation shall be provided by the forest manager to enable monitoring and certifying organizations to trace each forest product from its origin, a process known as "chain of custody".

Criterion Level Remarks: Yes No N/A
System in place. Most of wood product is sold Stora Enso so tracking of wood is simplified.

NOTES: (CARs/Observations)

8.4 The results of monitoring shall be incorporated into the implementation and revision of the management plan.

Criterion Level Remarks: Yes No N/A

Too early to determine. Commitment to FSC principles and professional plans will likely ensure that criterion is met. Policy document indicates that plans will be revised in instances where management practises were not applicable.

NOTES: (CARs/Observations)

8.5 While respecting the confidentiality of information, forest managers shall make publicly available a summary of the results of monitoring Indicators, including those listed in Criterion 8.2.

Criterion Level Remarks: Yes No N/A

Public summaries of monitoring are not available to the public

NOTES: (CARs/Observations): Summaries of results of monitoring on certified lands must be prepared and kept on file at the NSLFFPA office. These summaries are to be made available for public review.

Principle 9: Maintenance of High Conservation Value Forests

Management activities in High Conservation Value Forests shall maintain or enhance the attributes which define such forests. Decisions regarding High Conservation Value Forests shall always be considered in the context of a precautionary approach.

NOTES: (CARs/Observations) Yes No N/A

Criteria and indicators	Findings
-------------------------	----------

Assessments and stakeholder consultations are done to determine the presence of HCVF.

9.1 Assessment to determine the presence of the attributes consistent with High Conservation Value Forests will be completed, appropriate to scale and intensity of forest management.

Criterion Level Remarks: Yes No N/A

Assessments and stakeholder consultations are done to determine the presence of HCVF.

NOTES: (CARs/Observations)

9.2 The consultative portion of the certification process must place emphasis on the identified conservation attributes, and options for the maintenance thereof.

Criterion Level Remarks: Yes No N/A

The Associations' SOPs indicate that consultations will be conducted. The management plan states "only when exceptional environmental values or risks are present, will special consultation with experts be required".

NOTES: (CARs/Observations)

9.3 The management plan shall include and implement specific measures that ensure the maintenance and/or enhancement of the applicable conservation attributes consistent with the precautionary approach. These measures shall be specifically included in the publicly available management plan summary.

Criterion Level Remarks: Yes No N/A

Management plans reviewed contained a section on HCVF and indicated that the management strategy would be precautionary in nature.

NOTES: (CARs/Observations)

9.4 Annual monitoring shall be conducted to assess the effectiveness of the measures employed to maintain or enhance the applicable conservation attributes.

Criterion Level Remarks: Yes No N/A

An annual monitoring program for woodlots is in place.

NOTES: (CARs/Observations)

Criteria and indicators	Findings
-------------------------	----------

Principle 10: Plantations

Plantations shall be planned and managed in accordance with Principles and Criteria 1 - 9, and Principle 10 and its Criteria. While plantations can provide an array of social and economic benefits, and can contribute to satisfying the world's needs for forest products, they should complement the management of, reduce pressures on, and promote the restoration and conservation of natural forests.

10.1 The management objectives of the plantation, including natural forest conservation and restoration objectives, shall be explicitly stated in the management plan, and clearly demonstrated in the implementation of the plan.

Criterion Level Remarks: Yes No N/A

The plans reviewed had objectives for restoration forestry. Where plantings were proposed to augment natural regeneration mixtures of native species were proposed. Historic plantations inspected in the field did contain other species adding to site biodiversity.

NOTES: (CARs/Observations)

10.2 The design and layout of plantations should promote the protection, restoration and conservation of natural forests, and not increase pressures on natural forests. Wildlife corridors, streamside zones and a mosaic of stands of different ages and rotation periods, shall be used in the layout of the plantation, consistent with the scale of the operation. The scale and layout of plantation blocks shall be consistent with the patterns of forest stands found within the natural landscape.

Criterion Level Remarks:

Conformance with Indicator: Yes No N/A

Historic plantations inspected in the field did contain other species adding to site biodiversity. Planted areas were not large and maintained site environmental values.

NOTES: (CARs/Observations)

10.3 Diversity in the composition of plantations is preferred, so as to enhance economic, ecological and social stability. Such diversity may include the size and spatial distribution of management units within the landscape, number and genetic composition of species, age classes and structures.

Criterion Level Remarks:

Conformance with Indicator: Yes No N/A

Historic plantations of differing ages and native species.

NOTES: (CARs/Observations)

Criteria and indicators	Findings
-------------------------	----------

10.4 The selection of species for planting shall be based on their overall suitability for the site and their appropriateness to the management objectives. In order to enhance the conservation of biological diversity, native species are preferred over exotic species in the establishment of plantations and the restoration of degraded ecosystems. Exotic species, which shall be used only when their performance is greater than that of native species, shall be carefully monitored to detect unusual mortality, disease, or insect outbreaks and adverse ecological impacts.

Criterion Level Remarks:

Conformance with Indicator: Yes No N/A

Historic plantations visited in site inspections were native species and suited to site conditions.

NOTES: (CARs/Observations)

10.5 A proportion of the overall forest management area, appropriate to the scale of the plantation and to be determined in regional standards, shall be managed so as to restore the site to a natural forest cover.

Criterion Level Remarks:

Conformance with Indicator: Yes No N/A

Management objective of NSLFFPA is to restore the Acadian Forest

NOTES: (CARs/Observations)

10.6 Measures shall be taken to maintain or improve soil structure, fertility, and biological activity. The techniques and rate of harvesting, road and trail construction and maintenance, and the choice of species shall not result in long term soil degradation or adverse impacts on water quality, quantity or substantial deviation from stream course drainage patterns.

Criterion Level Remarks:

Conformance with Indicator: Yes No N/A

Species planted were native species, no adverse environmental impacts are anticipated.

NOTES: (CARs/Observations)

10.7 Measures shall be taken to prevent and minimize outbreaks of pests, diseases, fire and invasive plant introductions. Integrated pest management shall form an essential part of the management plan, with primary reliance on prevention and biological control methods rather than chemical pesticides and fertilizers. Plantation management should make every effort to move away from chemical pesticides and fertilizers, including their use in nurseries. The use of chemicals is also covered in Criteria 6.6 and 6.7.

Criteria and indicators	Findings
-------------------------	----------

Criterion Level Remarks: Yes No N/A

No insect or disease problems were observed in the plantations. A CAR is provided for Criteria 6.6.

NOTES: (CARs/Observations)

10.8 Appropriate to the scale and diversity of the operation, monitoring of plantations shall include regular assessment of potential on-site and offsite ecological and social impacts (e.g. natural regeneration, effects on water resources and soil fertility, and impacts on local welfare and social well-being), in addition to those elements addressed in Principles 8, 6 and 4. No species should be planted on a large scale until local trials and/or experience have shown that they are ecologically well-adapted to the site, are not invasive, and do not have significant negative ecological impacts on other ecosystems. Special attention will be paid to social issues of land acquisition for plantations, especially the protection of local rights of ownership, use or access.

Criterion Level Remarks: Yes No N/A

Plantations are monitored as a component of the planned monitoring program. The objective of the GE is the restoration of the Acadian Forest. Natural ingress of other species is occurring in the plantations inspected.

NOTES: (CARs/Observations)

10.9 Plantations established in areas converted from natural forests after November 1994 normally shall not qualify for certification. Certification may be allowed in circumstances where sufficient evidence is submitted to the certification body that the manager/owner is not responsible directly or indirectly for such conversion.

Criterion Level Remarks:

Conformance with Indicator: Yes No N/A

The Maloney property contains two small plantations <10 ha of plantations that were established in during or shortly after 1994. Plantations are a minor component of the woodlot, and a strategy is in place to increase in-stand (plantation) biodiversity.

NOTES: (CARs/Observations)

APPENDIX IV: Chain of Custody Standard Compliance Checklist (confidential)

Note: The following section is for the evaluation of SLIMF chain of custody in the forest and in FMO's processing facilities. Operations with complex or high risk primary and secondary processing facilities must be evaluated using the complete chain of custody standard and a separate report is required for each processing facility.

Definition of Forest Gate:

Chain of Custody Criteria	Yes	No	NA	Explanatory notes/ CAR or OBS (if applicable)	CAR
CoC 1: FMO maintains effective control of forest products from standing timber until ownership is transferred at the forest gate.	Y			System is in place to track certified wood sales.	
CoC 2: System has procedures for handling non-certified wood which originate outside the scope of this certificate. Note: If no outside wood is utilized mark as NA			N/A		
CoC 3: Risk of contamination of certified wood and Non timber forest products by non certified products is controlled.	Y			Piles are marked and coded as to certified or non-certified at the landing.	
CoC 4: A system exists that ensures that certified forest products are clearly distinguished from non-certified products through marks or labels at all stages of processing to final sales at the forest gate?	Y			Individual codes and sub-codes are assigned per woodlot. The code is to be prominently displayed by the woodlot owner (producer) on all piles. The customer will use the code in their internal system to track wood.	
CoC 5: A system exists to include FMO FSC certificate code and certified description of products on sales and shipping documentation (e.g. waybill and invoices).	Y				
CoC 6: If the FMO sells mixed products that combine certified and non certified wood, procedures exist that demonstrate compliance with FSC minimum thresholds and record keeping requirements. If no mixed products are sold mark as NA.		N		It is not certain as to whether or not mixed wood will be hauled. Currently all areas of the woodlots are certified. Contractors hauling wood will need instruction and guidance with respect to procedures and policies for COC.	7/05
CoC 7: Volume and source data on loads of raw material (certified logs) is available (i.e. scaled, inventoried, measured) in the forest, in transport, and	Y			Policy and Procedures Manual describes the process.	

at intermediate storage yards, processing and distribution centers controlled by FMO.				
CoC 8: Record keeping system exists that maintains certification related documents (sales, shipping and other applicable documentation). Documents are kept in a central location and/or easily available for inspection.	Y			
CoC 9: A system exists to ensure that all use of the FSC/SW trademarks, as well as public information related to certification is submitted to SmartWood for review and approval.	Y			Procedures indicate that Associations documentation should be reviewed by SW.
COC 10: FMO has procedures for compiling annual report on sales to SmartWood containing monthly sales in terms of volume of each certified products to each customer. For small operations copies of invoices/waybills are sufficient.	Y			Procedure in place. Declaration of volumes sold by group members is optional

Contamination Risk: Using the table below describe the risk of products from non certified sources being mixed with products from the forest area evaluated (include source or point of risk and importance) and describe the control system in place that addresses the identified risk.

Point of Possible Contamination	Description of Risk	Risk control measure
Mixing of wood in haul	Smaller volumes harvested may be mixed with non-pool wood by haul contractors	Certified wood is marked in piles and a tracking system is in place.

APPENDIX V: Group Certification Compliance (confidential)

Group Certification Requirements	Finding:	Score/CAR
GC 1: The group manager is an independent legal entity or an individual acting as a legal entity.	The NSLFFP has been a legally constituted organization since 1984.	
GC 2: The group manager has made a full disclosure of all forest areas over which the GM has some responsibility, whether as owner (including share or partial ownership), manager, consultant or other responsibility. Justification for exclusion of forestlands from certified pool has been provided.	There are more than 160 active producing members in the association. Landowners interested in inclusion in the certification pool are required to conform to the requirements of the Policies & Procedures Manual. Properties are assessed by the GE consultant to determine based on risk their applicability for inclusion in the certified pool.	
GC 3: The group manager has sufficient legal and management authority and technical and human resources (e.g. qualified staff, equipment..) to implement their responsibilities	Certification consultant has been retained by the NSLFFPA. Legal and management authority is in place to implement responsibilities. A successional plan will have to be considered for the certification consultant position as this individual is retired and not on a long-term retainer.	
GC 4: The responsibilities of the group manager and group members are clearly defined and documented, e.g., with respect to management planning, monitoring, harvesting, quality control, marketing, processing, etc.	Lines of responsibility are clearly defined in the Policy and Procedures Manual (This was the most comprehensive document for a SLIMF that the auditor had encountered to date)	
GC 5: Group membership requirements are documented and include: <ul style="list-style-type: none"> i. Procedures and rules of entry and exit from the certified pool ii. Procedures for the notification of SW of changes in membership within 30 days of changes. 	Procedures and rules for entry and exit from certified pool are outlined in the Policy and Procedures Manual. Procedures for the notification of SmartWood of changes in membership are not included in the Policy and Procedures Manual. The manual does indicate that SmartWood will be notified within 30 days.	Within one month of certification the policy and procedures manual will include a description of the procedures for the notification of SW of changes in

		membership
<p>GC 6: A 'consent form' or its equivalent has been signed by each group member The consent form at a minimum:</p> <ul style="list-style-type: none"> i. acknowledges and agrees to the obligations and responsibilities of group membership; ii. agrees to group membership for the full period of validity of the group certificate; and iii. authorizes the group manager to apply for certification on the member's behalf. iv. acknowledges SmartWood and FSC's right to access their forest for evaluation and monitoring 	This requirement was fully met.	
<p>GC 7: Group manager has provided each group member with documentation including:</p> <ul style="list-style-type: none"> i. The applicable forest stewardship standard ii. An explanation of the certification process iii. An explanation of group membership requirements 	This requirement is fully met.	
<p>GC 8: Group manager has a policy and practice for monitoring of the properties in the certified pool to ensure that they are meeting the FSC P&C and group membership requirement?</p>	This requirement is fully met.	
<p>GC 9: The group manager has a system for maintaining the following records up to date at all times:</p> <ul style="list-style-type: none"> i List of names and addresses of group members, together with date of entry into group certification scheme; ii Maps of all forest areas included in the group certification; 	This requirement is met.	

<ul style="list-style-type: none"> iii Records demonstrating tenure of group members; iv Evidence of consent of all group members, preferably in the form of a signed 'consent form' v Relevant documentation and records regarding forest management of each group member (e.g. management plans, summary information regarding silvicultural system, management operations, volume production); vi Records demonstrating the implementation of any internal control or monitoring systems. Such records shall include records of internal inspections, non-compliance identified in such inspections, actions taken to correct any such non-compliance; vii Relevant documentation regarding production and sales 		
--	--	--

CAR #: 6/05	Reference to standard:	Major: <input type="checkbox"/>	Minor: <input checked="" type="checkbox"/>
Non Compliance: Procedures for the notification of SmartWood of changes in membership are not included in the Policy and Procedures Manual.			
Corrective Action: The policy and procedures manual will include a description of the procedures for the notification of SW of changes in membership			
Deadline for completion of corrective action: Within one month of certification			

Group Assessment Requirements:	Finding:
Group member size restriction:	NSLFFPA currently has approximately 70 members and non-members whom have expressed interest in FSC Certification. Given the current flat management structure and business model of the Association some

	<p>risk is associated with a rapid expansion to that level of membership. The Association should develop a strategy (i.e. formal business plan) based on an assessment of workload requirements, cost, and human resource requirements related to its roles and responsibilities as FSC Resource Manager to determine annual entry levels to the certified pool.</p>
<p>SW Certificate auditing strategy:</p>	<p>Annual surveillance audit. Focus in first year should be documentation control, record keeping and compliance with COC requirements</p>

Certified Pool Participation List

- 1. Total # members in the certified pool: 5**
- 2. Total area in Current Pool (483.71 ha.):**

CERTIFIED POOL MEMBERSHIP TABLE

Non-pool forestlands

1. Total number of forestlands for which the candidate group manager has some management responsibilities or ownership:
2. Total area of that those forestlands represent (ha):

APPENDIX VI: List of all visited sites (confidential)

District	Compartment	Area	Auditors	Type of site / short description of site
Cape Breton	John & Linda Maloney	400 ac.	B.Byford	Site Inspection of Property
Cape Breton	Ken MacRury	215 ac	B. Byford	Site Inspection of Property
Antigonish County	Philip & Sally Clark	332	A. Boursier	Site Inspection of Property

APPENDIX VII: Detailed list of stakeholders consulted (confidential)

List of FMO Staff Consulted

Name	Title	Contact	Type of Participation
MacLeod, Chalmers	NSLFFPA Consultant		Interview & Site Visits
Bowers, Charles	Forestry Consultant		Interview & Site Visits
Stubb, Wilma	NSLFFPA Executive Director		Interview
Brown, King	NSLFFPA Newsletter Editor		Interview

List of other Stakeholders Consulted

Name	Organization	Contact	Type of Participation
Anderson, James	NSLFFPA Landowner		Interview
MacRury, Ken	NSLFFPA Landowner		Interview/Site Visit
Moloney, John	NSLFFPA Landowner		Interview/Site Visit
Gillis, Mike	Baddeck Valley Woodproducers Co-op Ltd.		Interview

APPENDIX VIII: FMO map