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**Bureau Veritas Certification
North America, Inc.
SFI Audit Report**

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PQC Code	E01E

Contract Number:	US.1215025	Certification Audit:		Re-Certification Audit:		Surveillance: (Indicate visit # or Pre-Assessment)	#2
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Audit Summary

Introduction

A surveillance audit of the Washington State Department of Natural Resources (WA DNR) was conducted on June 9-12, 2014. The audit was conducted by Gregory Bassler, Lead Auditor and Julie Stangell, Team Auditor.

Audit Scope, Objectives and Process

The scope of the surveillance audit was the Washington State Department of Natural Resources forest management operations in Western and Eastern Washington. The objective was to verify the effectiveness of the Washington DNR's SFI Forest Land Management program and conformance to the Requirements of the SFI 2010-2014 Program. All performance measures in Objectives 1, 3, 4, 6, 14 -20 and selected performance measures in Objectives 2 and 5 identified in the surveillance audit plan were audited. All indicators however; pertaining to land management of the SFI 2010-2014 Standard was subject to review.

The opening meeting of the audit was held at the Washington Department of Natural Resources Headquarters in Olympia, WA on Monday, June 9, 2014. Lislie Sayers, Program Lead, Forest Certification; Allen Estep, Assistant Division Manager-HCP and Scientific Consultation Section; Paul Bialkowsky, Assistant Division Manager-Product Sales Section; Darin Cramer, Division Manager, Product Sales; Tom Shay, Assistant Division Manager – Leasing & Business Management; Alex Nagygyor, Engineering Division Assistant Division Manager, Roads Section; David Bergvall, Assistant Division Manager-Forest Informatics and Planning Section; Angus Brodie, Forest Resources Division Manager; Candice Johnson, Assistant Division Manager-Silviculture & Monitoring Section; Greg Bassler, Team Lead Auditor and Julie Stangell, Team Auditor, were in attendance.

The audit team introduced themselves and reviewed the audit plan. Logistics of the audit plan were also discussed and the sites confirmed for the field portion of the audit to be conducted on Wednesday and Thursday. Non-conformances and the requirements for clearing them, Opportunities For Improvement, and Notable Practices were also discussed. The closing meeting time was confirmed to be held by conference call at 9:30 AM, Wednesday, June 18, 2014.

The surveillance audit was conducted under environmental auditing methodologies identified in the SFI 2010-2014 Audit Procedures and Auditor Qualifications and Accreditation (Section 9 of the Requirements for the SFI 2010-2014 Program) and standard Bureau Veritas Certification protocols and forms were applied throughout the verification. Prior to the audit, the auditor selected sites in both regions to be sampled based on management activities. The audit plan identified all Objectives, Performance Measures and Indicators of the SFI 2010-2014 Standard and all Objectives were subject to review.

Audit Plan

The document review portion of the audit began immediately following the opening meeting on Monday morning and was completed on Tuesday. The field audit of the Olympic Region was conducted on Wednesday, June 11, 2014 and the field audit of the Northwest Region was conducted on Thursday, June 12, 2014. Each team auditor visited separate sites with WA DNR staff on both field audit days. The audit plan is included in this report and is maintained on file by Bureau Veritas Certification.

Field files for each site were reviewed and used to determine effectiveness of the WA DNR forest management system and process. The Objectives, Performance Measures and Indicators were all verified through a review of documents and field verification of sites to meet the intent of the SFI 2010-2014 Standard. A debriefing was conducted at the end of each day by each team auditor.

Company Information

The Washington State Department of Natural Resources manages 5.6 million acres of forest, range, agricultural, aquatic and commercial lands for the people of Washington; 2.1 million acres are forested. To manage this work more effectively, the WA DNR has 11 Divisions focused on a specific business area and 6 Regions located throughout the state of Washington. The lands generate more than \$200 million a year, much of it to support public schools, state institutions, and county services.

Multi-Site Requirements

The WA DNR is a multi-site organization and has a central office or headquarters (Olympia, WA) at which certain activities are planned, controlled or managed and a network of regional offices or sites at which such activities are carried out. The Olympia, WA central office provides regions with information and guidance on activities. The scope and scale of activities are similar at all regions. All regions or sites operate under a common forest management system, policies and set of procedures that is managed and administered by the central office.

For multi-site certifications, a site sampling method is generally used. The number of sites to be audited is equal to the square of the number of sites x 0.8 for renewal audits. A site sampling method was used and two regions or sites plus headquarters are to be audited on an annual basis. The WA DNR is composed of six regions (Pacific Cascade, South Puget Sound, Olympic, Northwest, Northeast and Southeast) and the surveillance audit plan for 2014 was to audit the Northwest and Olympic Regions. The WA DNR manages approximately 707, 388 acres in these two regions located on the Westside of the Cascade Mountains. Each region or site is audited on a three-year basis and these two regions were last audited in 2011. The WA DNR is in conformance with all multi-site requirements.

Sites	Sites Audited During this Renewal Event
Olympia, WA (Central Office)	X
South Puget Sound Region	
Pacific Cascade Region	
Northeast Region	
Southeast Region	
Northwest Region	X
Olympic Region	X

Audit Results

The audit consisted of document and record reviews and interviews. A total of 29 sites representing a broad spectrum of activities which the WA DNR undertakes were visited during the field portion of the audit. WA DNR forestry personnel responsible for the activity and/or familiar with the sites were available for the audit. Timber sale jackets or Contract Administration field files were available for review at each site. Four active logging sites were visited and one contractor was interviewed. A listing of Objectives audited and conformance evidence follows. Objectives 8-13 of the SFI Standard are not applicable.

Objective 1, Forest Management Planning: The WA DNR is currently completing the Strategic Plan for 2014-2017. The Milestones Progress Report of the current plan and the new plan has not yet been released. The plan contains specific initiatives to be developed and/or implemented to reach stated goals. The DNR released a draft OESF (Olympic Experimental State Forest) HCP Planning Unit Forest Land Plan Revised draft EIS (Environmental Impact Statement) in October 2013. Public comment regarding sediment delivery and retention of old forest was incorporated into the revised plan.

The DNR has an inventory program and uses FRIS to calculate growth and yield. There has been great progress in refining the new inventory system that uses LiDAR (Light Detection and Ranging) and NAP (National Agriculture Imagery Program) imagery set against ongoing field sampling. They are currently finalizing the new inventory system with remote sensing data with a “go-live” date Summer of 2014. They are beginning work on ecoginition for mapping edge using remote sensing and finalizing LiDAR contracts for west and east side collections. By the end of the biennium, the DNR plans to have 80% of the data collected for the east side. The DNR has finalized the initial stand stratification for the east side as well as habitat assessments for the Ahtanum and developed a new field protocol for remote sensing inventory plots. The DNR is currently in the process of recalculating their sustainable harvest level for both the eastside and westside.

DNR’s Planning and Tracking System (P&T) is well maintained and provides excellent documentation of forest practices. The Timber Sales Document Center (TSDC) tracks planned, sold and completed timber sale documents since 2009. It also includes a forest management document library and functions as a central clearing house for all timber sale related documents. Sold volume for the 20 western Washington sustainable harvest units has been below the calculated sustainable harvest level of 5.5 MMBF (millions of board feet of timber) for the past 2 fiscal years. The DNR has documented annual harvest trends and harvest has not exceeded sustainable harvest levels.

Objective 2, Forest Productivity: The WA DNR’s policy is to use the minimum amount of chemical necessary to accomplish control objectives. Spray work is conducted by licensed contractors under the supervision of DNR foresters that are licensed applicators. All chemicals applied are registered and labeled for use in the States of Washington. DNR pesticide application records provide evidence application was done in compliance with label and legal requirements. No overspray or drift was observed.

Use of herbicides in the Olympic Region is minimal. Hand crews (Camp Crew) are utilized for vegetation management where possible. Where herbicides are required to achieve management objectives, hand backpack spraying of site preparation and release herbicide mixes is used. The least toxic and lowest application rate required to control target species is used. The Northwest Region’s use of herbicides is more due to a higher presence shrubs and invasive weeds. Growing population and recreational pressure has exasperated the problem. Both aerial and hand backpack application methods are used. The least toxic and narrowest spectrum herbicide is issued to achieve vegetative control. All BMP’s associated with chemical use were implemented in both regions. The Regions continually seeking to implement IPM (Integrated Pest Management) strategies. Examples include planting alternate species (red alder) in root rot problem areas and hand slashing in lieu of chemical application in select areas.

WA DNR has several systems which contains soils metadata and soils layers. The Planning and Tracking system (P&T) contains a soils report. WA State has soil inventory maps and the quick data loader has a soils and slope stability layer. Foresters are required to pull up information on soils in P&T and then appropriate methods for protection identified in the SEPA (State Environmental Policy Act) process. This is then communicated in the FPA (Forest Practices Application), Timber Sale Contract and Pre-Harvest Checklist.

Down woody debris is required to be retained on site and where lacking. There are skid trail requirements and specific contract clauses preventing excessive soil disturbance. Contracts have provisions for skid trail layout with forester in-charge approvals to minimize the number of trails and impacts. Road construction contracts have clauses to minimize impacts. No evidence of accelerated erosion and rutting were observed. Excellent protection of residual trees noted throughout.

Objective 3, Protection of Water Resources: The WA DNR follows and exceeds mandatory requirements of

the Washington States Forest Practices Rules and comprehensive set of standards (BMPs) designed to protect soil, air, water and wildlife resources. The Washington Forest Practices Rules in conjunction with the Habitat Conservation Plan identify all of the water quality-related rules and best management practices. Specific to Westside lands, Forest Practices Rules for Northern Spotted Owl, Marbled Murrelet, and riparian areas have been replaced by the Habitat Conservation Plan rules as explained in the HCP. Contracts require the purchaser to comply with all laws including BMP's. Each timber sale contract addresses special considerations for wet weather (seasonal closures, rutting), if necessary. Contract clauses H-130/H-140 identify conditions to protect roads against seasonal damage from wet weather. The Contract Administrator specifically ensures that harvests comply with the Forest Practices Application. The Forest Practices Program also conducts statewide compliance monitoring. Forest Practices Foresters evaluate active sales specifically for riparian and road issues as well as for other potential Forest Practices violations. HCP Implementation Monitoring is also conducted annually. The HCP Riparian Forest Restoration Strategy contains the implementation procedures for developing/maintaining riparian desired future condition with target thresholds. Lands not included in the HCP are covered by the Forest Practices Rules for riparian areas and wetlands. The DNR maintains a complete water mapping (hydrography) that identifies all water types for both the Forest Practices Rules and the Habitat Conservation Plan. The GIS layer is updated regularly. All of the water typing information is included in the timber sale contract maps. The Managing Wetlands Field Guide reviews the rules and other guidance documentation for managing wetlands on State lands. The DNR has also produced a Field Guide for recognizing wetlands.

Objective 4, Conservation of Biological Diversity: The Policy for Sustainable Forests states the DNR will identify special ecological features on state trust lands. Once identified, these areas are to be protected through transfer out of trust status, deferral, or other means. All special areas are mapped and identified by the Natural Heritage Program. All timber sale polygons are screened through the Natural Heritage Program to flag any identified special ecological areas. The bulk of the Habitat Conservation Plan covers preservation of rare, threatened, and endangered species and habitats. Specific strategies for protection of spotted owl, marbled murrelet, etc. are incorporated into the HCP. The HCP also covers federally-listed plant species that may include specific prescriptions. The Natural Heritage Program website has several web tools for mapping and looking up identified special sites and species including rare plants and animals. Natural Heritage is currently working on a 2014 update.

Management of Forest Stand Cohorts documents stand-level requirements. Prior to unit layout every unit is assessed for snags and down woody debris.

The Forest Land planning process includes a spatial assessment, collaborative planning, and public scoping process to identify unique areas, species, or other issues. The department defers from harvest of old growth stands as defined in the Definition and Inventory of Old Growth document. Individual and scattered old growth trees are also protected unless the Board approves harvest for special circumstances. An old growth assessment pathway has been developed for determining old growth characteristics and function in the field. Field guides for identifying Eastside and Westside old growth characteristics have been developed.

State RCWs (Revised Code of Washington) require control of noxious weeds through integrated pest management practices. Jurisdictions and duties have been granted to county noxious weed boards.

The Cooperative Monitoring, Evaluation, and Research Committee (CMER) and the Forest Resources Conservation Division Adaptive Management Program are working on research and adaptive management strategies. Research results information is incorporated into the forest management planning process. Adaptive Management is a systematic process to inform decisions on or changes to management practices. The Adaptive Management Program is the clearing house of best available scientific information and a continual assessment to improve the way ecosystems are managed.

Objective 5, Management of Visual Quality and Recreational Benefits: The DNR considers whether there are visual impacts of management activities and designs appropriate mitigation strategies based on whether impacts are of local or regional significance. The DNR has policies and guidelines addressing aesthetic considerations in areas of visual concern.

The DNR has policies and procedures in place regarding green-up requirements. The WAC requires that at least 90% of the unit's perimeter is in stands of trees that have survived on site a minimum of five growing seasons or if not, have reached an average height of four feet. Green up requirements has been met throughout.

Objective 6, Protection of Special Sites: Both the Natural Heritage Program and Natural Areas Program assist in identifying and selecting sites for protection. The Large Data Overlay is a compilation of all the GIS data layers available including old growth, spotted owl, soils, landslide hazards, local knowledge issues, heritage, cultural/historic sites, etc. The Landslide Hazard Zonation mapping program has spatially identified potentially unstable slopes. DNR routinely consults with local, state, Tribal, and federal agencies on matters related to potential special sites.

Objective 14, Legal Compliance: A logging or silvicultural contract cannot be issued without an FPA (Forest Practices Application) permit. The WA DNR utilizes site visits and follows BMP Procedures to ensure compliance. These visits note compliance with laws and regulations. The USFWS (United State Fish and Wildlife Service) monitoring of HCP compliance has not raised any conformance issues. The DNR self-reports any suspected deviations, conduct root-cause analysis and institute corrective actions as needed. The WA DNR has a formal Health and Safety program designed to ensure applicable federal and state requirements are met. Health and Safety requirements are posted in various locations as prescribed by law.

Objective 15, Forestry Research: The DNR has contributed and is involved with numerous research projects. It has also setup numerous research sites for various research areas (silviculture, growth & yield, riparian management, ecology, genetics and pathology). This may involve collecting data, baseline direct funding, direct technical support covering research related to fish, wildlife and forest management. The majority of DNR's research is on the HCP and conducted in the OESF. The DNR OESF website contains information on past and present research projects. Riparian status and trends research started in 2012.

The WA DNR has prepared a draft document on Adapting to Changing Climate which discusses anticipated impacts and effects on Agency work. It also provides Climate Change Adaption recommendations. The WA DNR staff is very knowledgeable on climate change impacts and is preparing a document which discusses anticipated impacts to the agency lands and recommended adaptations for climate change.

Objective 16, Training and Education: The WA DNR's commitment to the SFI program is evident through the budget process and is well-documented. Numerous training modules are completed each year for both DNR foresters and purchasers (WCLA Master Loggers Program). The schedule is dynamic and documented throughout the year on the Human Resources and State Lands Training Calendars. WA DNR requires stumpage sale purchasers to use trained contractors based on SIC recommendation. Washington Contract Loggers Association completes the recognized training program. The WA DNR is an active participant in the Washington SIC, which regularly reviews the WCLA training programs to ensure all required topics are covered.

Objective 17, Community Involvement: The WA DNR provides in-kind support to the SIC in lieu of dues. Lislle Sayers serves on the SIC Board as secretary and Duane Emmons maintains the WA SIC website. The DNR has developed or provides support for informational publications, field guides, etc. for forest landowners. The WA SIC publishes a publication- "Sustainable Forestry Practices for Landowners in Washington"- that is available on the WA SIC website which addresses special sites and biodiversity issues.

All of the WA DNR processes include stakeholder involvement. The WA DNR is well versed in regional conservation planning and working with a broad range of local stakeholders. DNR has multiple ways and processes to receive and respond to public inquiries. During the SEPA Process, the public is invited to public meetings and provide comment on planned activities. All inquiries are documented and addressed. The public can provide comments and complaints to the Commissioner via the website which are reviewed and redirected to the appropriate Regional and/or Division office and personnel. The WA SIC also has a process for reporting inconsistent practices.

Objective 18, Public Land Management Responsibilities: The Policy for Sustainable Forest requires the WA DNR to conduct forest land planning in units of similar geographic scale as the Habitat Conservation Plan. The objective of the forest land planning process is to identify landscape management strategies that achieve the policy goals outlined in the Policy and the HCP. These strategies help direct managers during the planning and execution of timber sales and other activities. The forest land planning process is intended to draw upon local stakeholders, Tribes, the public, and WA DNR resources for information that will help make informed decisions. Forest land planning processes include a public scoping phase to address appropriate stakeholder and public input and additional data collection. Special meetings are held with stakeholders representing beneficiaries, the timber industry and conservation community, at least annually to discuss upcoming sales,

scoping for land planning processes, and other issues. The Commissioner has hosted two Tribal Summits to discuss all types of tribal issues including access to public lands, culturally modified trees, aquatics, etc. The WA DNR works with indigenous peoples to allow access to State lands for training on cultural practices such as cedar stripping or gathering of traditional foods.

Objective 19, Communications and Public Reporting: The 2013 WA DNR Audit Report is posted on the SFI Website. All records necessary for reporting to SFI are maintained electronically and were reviewed as part of this audit.

Objective 20, Management Review and Continuous Improvement: Currently, the WA DNR has three programs or committees that evaluate and monitor programs and procedures for effectiveness. The Adaptive Management Steering Committee was formed several years ago to implement an adaptive management monitoring program and identify specific areas or issues (work plan). The committee prepared a list of issues and prioritized those to work on and conduct research. The committee meets two or three times per year.

The Implementation Monitoring Program is tasked with conducting HCP monitoring which is required to be reported annually. HCP monitoring is on-going and the Fiscal Year 2013 monitoring report was completed.

A Silviculture Monitoring Program is in place to monitor silvicultural activities. A summary of activities was provided. These three programs in addition to regular monitoring of Forest Practices and BMP's is an effective system to evaluate effectiveness and conformance to the SFI Standard. Forest Practices monitors operations and summarizes findings on an annual basis.

The Division Manager has weekly meetings with all Division Assistants and quarterly meetings with Teams. Division and Region Managers have quarterly meetings with the Department Supervisor. There is good communication with Executive Management on all issues, monitoring results and improvement goals. In summary, the WA DNR has a good, reliable internal audit program and monitoring system carried out at headquarters to determine conformance at all regions or sites and to implement corrective actions when appropriate. There is good coordination and communication between the central office and each region. A minor Non-conformance was uncovered during the field review portion of the audit. A small gap between concrete bridge deck slabs on two recently installed bridges were allowing sediment to enter into typed waters. Matting was placed on the bridge deck during the winter haul season to prevent sediment delivery however; no matting was observed during current active hauling operations.

WA DNR did not have any substitutions or modifications to any of the Indicators. A review of previous audits was conducted to verify the effectiveness of previous audit findings and to evaluate WA DNR's past performance. There were no trends in the SFI implementation of the field audit or document review that would indicate that any particular area needs special attention. An SF61 was completed and contains specific information and audit notes.

Findings

Previous non-conformances:

The 2013 surveillance audit of DNR-managed lands focused on forest management operations in the Northeast and Southeast Regions. One minor non-conformance was identified regarding recalculation of the sustainable harvest level for the sustainable harvest units in Eastern Washington (PM 1.1, Ind. 4). Closure was verified with this audit through a detailed discussion of correction action implementation notes and documentation. Work continues on updating the model and local knowledge layers.

Non-conformances: One minor non-conformance was issued in regards to protection of water resources and monitoring best management practices.

1. *PM 3.1, Ind. 4: A small gap between concrete bridge deck slabs on two recently installed bridges was allowing sediment delivery to occur into typed waters. An SF02 nonconformity report was completed and is included as part of this audit report.*

Opportunities for Improvement: OFI's are areas or opportunities (environmental, operational efficiency, cost effectiveness) to improve. One opportunity for improvement was issued during the surveillance audit.

1. *PM 2.1, Ind. 3: The current silvicultural practices guidelines for release are adequate but could be improved or clarified to determine when stands are free to grow.*

Notable Practices:

NP's are innovative practices and actions that indicate a strong commitment to the SFI intent and to improving environmental performance. Two Notable Practices were identified during the surveillance audit.

1. **PM 3.1, Ind. 4:** *While there are numerous research projects being conducted on the Olympic Experimental State Forest (OESF), the observed Long-Term Ecosystem Productivity (LTEP) research program is an innovative study to examine the management effects on ecosystem productivity, soil-productivity surrogates and biodiversity. Different successional treatments will be evaluated over a designed 200-year study.*
2. **PM 5.4, Ind. 1:** *The WA DNR is commended for their tenacity and commitment to implement the clean-up, restoration and construction of off-road trails at the Reiter Foothills Forest Recreation Planning Area. The stakeholder group has secured funding to restore stream banks and construct an ATV park that is professionally designed for a variety of off-road users.*

Logo/label use:

Logo and label use was reviewed and Washington State Department of Natural Resources does not use the SFI label or logo other than for promotional purposes. Use of the logo/label was approved and in conformance with all logo/label use rules. The WA DNR does not use the Bureau Veritas Certification logo.

SFI reporting:

A review of the SFI, Inc. website provided evidence that the previous audit of the Washington State Department of Natural Resources SFI forest management program was submitted and posted as required for public notification.

Conclusions

The Closing Meeting for the surveillance audit was held on Wednesday, June 18, 2014 via conference call. Gregory Bassler, Lead Auditor, and Julie Stangell, Team Auditor, presented and reviewed the audit findings. Confidentiality of the audit results was assured. The Washington State Department of Natural Resources was recommended for continued certification. To clear the Non-conformance, a corrective action plan and actions must be submitted to Bureau Veritas and the Lead Auditor for review and approval within 30 days of the closing meeting date (July 18, 2014).

Surveillance Audit Schedule**Date: Monday, June 9, 2014****WA DNR Headquarters (NRB) in Olympia, WA**

Time	Activity	BVC Repr.	Company Repr.
10:00 AM	Opening Meeting at DNR Headquarters in Olympia	Greg Bassler Julie Stangell	Lislie Sayers Allen Estep
10:45 AM	Begin Document Review of Objectives 1-7 and 14- 20	Bassler/ Stangell	Sayers/ Estep
4:45 PM	Debriefing on document review	Bassler/ Stangell	All
5:00 PM	Depart site		

Date: Tuesday, June 10, 2014

WA DNR Headquarters (NRB) in Olympia, WA

Time	Activity	BVC Repr.	Company Repr.
8:00 AM	Continue Document Review of Objectives 1-7 and 14- 20	Greg Bassler Julie Stangell	Lislie Sayers Allen Estep
Noon	Lunch		
1:00 PM	Resume document review		
4:00 PM	Complete document review and review site selection and field audit schedule		
4:30 PM	Debriefing on document review	Bassler/ Stangell	All
5:00 PM	Depart for Forks, WA		

Date: Wednesday, June 11, 2014

Olympic Region – Field Audit

Time	Activity	BVC Repr.	Company Repr.
7:30 AM	Opening Meeting –Forks, WA	Greg Bassler Julie Stangell	Lislie Sayers & Allen Estep
3:30 PM	Conclude field audit and provide daily debriefing	Bassler / Stangell	All
4:00 PM	Depart site, Travel to Sedro Woolley, WA		

Date: Thursday, June 12, 2014

Northwest Region – Field Audit

Time	Activity	BVC Repr.	Company Repr.
7:30 AM	Opening Meeting – Sedro Woolley, WA	Greg Bassler Julie Stangell	Lislie Sayers & Allen Estep
4:00 PM	Conclude field audit and provide daily debriefing	Bassler/ Stangell	All
4:30 PM	Depart sites		

Note: Closing meeting to be held via conference call on Wednesday, June 18.

SEE SF61 FOR AUDIT NOTES

Summary of Audit Findings:						
Audit Date(s):	From: June 9, 2014			To: June 18, 2014		
Number of SF02's Raised:	Major:		0		Minor:	1
Is a follow up visit required:	Yes	No	X	Date(s) of follow up visit:		
Follow-up visit remarks:						
Team Leader Recommendation:						
Corrective Action Plan (s) Accepted	Yes	No	Date:			
Proceed to/Continue Certification	Yes	X	No	Date:	June 18, 2014	
All NCR's Cleared	Yes	No	X	Date:		
Standard audit conducted against:						
1)	SFI 2010:2014	3)				
2)		4)				
Team Leader (1):	Team Members (2, 3, 4...)					
Gregory Bassler, EMS-LA	2) Julie Stangell, Team Auditor					
	3)					
	4)					
	5)					
Scope of Supply: (scope statement must be verified and appear in the space below)						
Washington State Department of Natural Resource's forest management operations in Western and Eastern Washington.						
Accreditation's	ANAB					
Number of Certificates	1					
Proposed Date for Next Audit Event						
Date	June 2015					
Audit Report Distribution						
Client: WA DNR-Lislie Sayers, Program Lead, Forest Certification, lislie.sayers@dnr.wa.gov						
BVC – Customer Service Representative – Melani Potts, melani.potts@us.bureauveritas.com						

Clause	Audit Report
Opening Meeting	<p>Participants: Lislle Sayers, Program Lead, Forest Certification; Allen Estep, Assistant Division Manager-HCP and Scientific Consultation Section; Paul Bialkowsky, Assistant Division Manager-Product Sales Section; Darin Cramer, Division Manager, Product Sales; Tom Shay, Assistant Division Manager – Leasing & Business Management; Alex Nagygyor, Engineering Division Assistant Division Manager, Roads Section; David Bergvall, Assistant Division Manager, Forest Informatics and Planning Section; Angus Brodie, Forest Resources Division Manager; Candice Johnson, Assistant Division Manager-Silviculture & Monitoring Section; Greg Bassler, Team Lead Auditor and Julie Stangell, Team Auditor, were in attendance.</p> <ul style="list-style-type: none"> ➤ Introductions ➤ Scope of the audit ➤ Audit schedule/plan ➤ Nonconformance types – Major / Minor ➤ Review of previous non-conformances - 1 ➤ Process approach to auditing and audit sampling ➤ Confidentiality agreement ➤ Termination of the audit ➤ Appeals process ➤ Closing meeting timing
Closing Meeting	<p>Participants: Lislle Sayers, Program Lead, Forest Certification; Allen Estep, Assistant Division Manager-HCP and Scientific Consultation Section, Greg Bassler, Team Lead Auditor and Julie Stangell, Team Auditor were in attendance via conference call.</p> <ul style="list-style-type: none"> ➤ Introductions and appreciation for selecting Bureau Veritas Certification ➤ Review of audit process - process approach and sampling ➤ Review of OFIs and System Strengths ➤ Non-conformances - 1 ➤ Date for next audit ➤ Reporting protocol and timing



SF02/NA NONCONFORMITY REPORT

Company Name and Site:			<u>SF02#:</u>
Washington State Department of Natural Resources			01
Contract #:	Department / Process:	Team Leader:	
US1215025	Natural Resources	Gregory Bassler	
Date:	Standard and Clause #:	Team Member:	
May 30, 2013	SFI 2010:2014, 1.1.4	Gary Ellingson	
Major	Minor	Other Documents (if applicable):	Company Representative:
	X		Lislie Sayers

REQUIREMENT OF AUDITED STANDARD:

Periodically update forest inventory and recalculation of planned harvests.

OBSERVED NONCONFORMITY:

The sustainable harvest level for the sustainable harvest units in Eastern Washington have not been recalculated on a decadal basis as required by WA DNR Policy PO14-004.

ROOT CAUSE ANALYSIS AND CORRECTIVE ACTION PLAN
(To be completed by the Company. Plan to be submitted in 30 days)

Corrective Action Plan Date:	June 30, 2013	Company Representative:	Lislie Sayers
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Root Cause Analysis and Corrective Action

Root Cause(s) - Four issues are found to be the root cause of the delay to calculate the eastside sustainable harvest:

1. Lack of adequate forest inventory data for lands on the eastern slopes of the Cascades range.
2. Lack of data on local operational constraints.
3. Complex set of policy objectives within an environment containing complex natural disturbances dynamics (pests, disease and fire).
4. Lack of resources to gather adequate data and information and to conduct appropriate analysis.

Corrective Action Plan - Three actions are planned for Fiscal Year(FY) 2014 (July 1, 2013 - June 30, 2014):

1. The Department has reinitiated the funding for its forest inventory program, has and is hiring new staff. The current focus of the inventory program is to explore the use of remote sensing data sources (LiDAR, ortho-photography, radar, etc.) to provide accurate and timely forest inventory data for the sustainable harvest calculation. Current efforts are focused on the Ahtanum Landscape in Central Washington. LiDAR was flown for this landscape in 2006. Ground sampling is expected to be completed by end of December 2013. Analysis and modeling of forest inventory and wildlife habitat attributes is expected to be completed by April 2014. Based on this work, an initial stratification of the forest inventory for eastern Washington will be completed by June 30, 2014.
2. Data collection of local operation constraints has been initiated with region staff (June 2013) and is expected to be completed by the end of December 2013.
3. A second iteration of forest estate models for the Klickitat sustainable harvest unit, including modeling of all current policies, wildlife habitats and forest health hazards is expected to be completed by June 2014.

ROOT CAUSE AND CORRECTIVE ACTION PLAN ACCEPTANCE REPORT

(To be completed by Bureau Veritas Certification – Verify effective identification of Root Cause and acceptance of Corrective Action Plan)

Root Cause: The root cause analysis correctly identified the factors leading to the non-conformance.									
Corrective Action Plan: The corrective action plan if successfully implemented will achieve conformance.									
Plan Accepted:	Yes	X	No		Comments:	Corrective action plan implementation will be checked at the next surveillance audit.			
Auditor:	Gregory Bassler					Date:	June 30, 2013		
CORRECTIVE ACTION IMPLEMENTATION									
(To be completed by Company – Provide objective evidence. Must be completed by the next surveillance)									
Corrective Action Completion Date:	June 9, 2014		Company Representative:			Lislie Sayers			
Corrective Action Implementation: The forest inventory program has and is hiring additional staff. LiDAR and ground sampling has been completed. The initial stratification work has been completed with exception of some minor clean-up work. The Field Protocol for Remote-Sensing Inventory Plots manual was recently revised. The initial data collection of local operation constraints has been completed and is on-going. Yield tables are currently being updated in preparation for running the model later this month.									
Method used to verify effectiveness of action taken: The effective of the corrective actions implemented was verified through a thorough discussion of implementation notes and documentation provided.									
CORRECTIVE ACTION IMPLEMENTATION ACCEPTANCE REPORT									
(To be completed by Bureau Veritas Certification – Acceptance of Corrective Action taken)									
Accepted:	Yes	X	No		Nonconformance Downgraded:	Yes		No	X
Follow Up Comments:	The WA DNR has completed implementation of the corrective action plan however; the refinement is on-going as more data is collected and updated.								
Auditor:	Gregory Bassler					Date:	June 9, 2014		



SF02/NA NONCONFORMITY REPORT

Company Name and Site:		<u>SF02#:</u>	
Washington State Department of Natural Resources, SW Texas Timber Sale		02	
Contract #:	Type of audit (e.g., initial, surveillance):	Team Leader:	
US.1215025	Surveillance #2	Gregory Bassler	
Date:	Standard and Clause #:	Team Member:	
6/11/14	SFI 2010:2014, 3.1.4	Julie Stangell	
Major	Minor	Other Documents (if applicable):	Company Representative:
	X		Lislie Sayers
REQUIREMENT OF AUDITED STANDARD:			
Program participants shall meet or exceed all applicable federal, provincial, state and local water quality law, meet or exceed best management practices and monitor overall best management practices implementation.			
OBSERVED NONCONFORMITY AND, for FSC only, CORRECTIVE ACTION REQUEST:			
A small gap between concrete bridge deck slabs on two recently installed bridges was allowing sediment delivery to occur into typed waters.			
ROOT CAUSE ANALYSIS AND CORRECTIVE ACTION PLAN (To be completed by the Company. Plan to be submitted in 30 days)			
Corrective Action Plan Date:	7/11/2014	Company Representative:	Lislie Sayers
Root Cause Analysis and Corrective Action			
Root Cause: A bridge design flaw by the bridge manufacturer was not caught by the District Engineer during plan review and installation.			
Corrective Action Plan:			
<ol style="list-style-type: none"> 1). Provide a temporary fix to avoid sediment delivery during active hauling and wet weather. 2). Consult with the bridge manufacturer to determine a permanent solution. 3). Implement measures to be taken to fill the gaps. 4). Periodically inspect bridges to make sure gaps are sealed and no delivery is occurring. 5). Review and revise DNR's statewide road plan template. Revisions will include requirements that all bridges be designed and constructed in a manner that bridge decks are continuous without openings. 			
ROOT CAUSE AND CORRECTIVE ACTION PLAN ACCEPTANCE REPORT (To be completed by Bureau Veritas Certification – Verify effective identification of Root Cause and acceptance of Corrective Action Plan)			
Root Cause: The root cause was properly identified as a design flaw in the bridge manufacturer's drawings.			
Corrective Action Plan: A temporary fix was immediately implemented and the manufacturer contacted for a permanent solution. Good response on the WA DNR's part to identify and implement corrective actions.			
Plan Accepted:	Yes	X	No
Comments:			
Auditor:	Gregory Bassler	Date:	7/16/2014
CORRECTIVE ACTION IMPLEMENTATION			
To be completed by Company – Provide objective evidence. Not to exceed: 1 year SFI <input checked="" type="checkbox"/> .			
Corrective Action Completion Date:		Company Representative:	
Corrective Action Implementation:			
Method used to verify effectiveness of action taken:			
CORRECTIVE ACTION IMPLEMENTATION ACCEPTANCE REPORT (To be completed by Bureau Veritas Certification – Acceptance of Corrective Action taken)			
Accepted:	Yes	No	Nonconformance Closed:
			Yes
			No
Follow Up Comments:			

Auditor:		Date:	
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