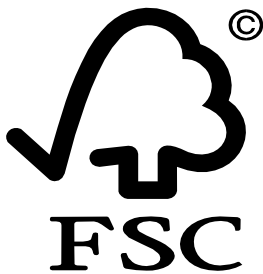


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SmartWood

Practical conservation through certified forestry

Forest Management Certification Assessment Report for:

State of Wisconsin Department of
Natural Resources
Managed Forest Law Tree Farm
Group
in
Madison, WI USA

Certificate code:	SW-FM/CoC-003626
Auditors:	Christopher A. Nowak, Lead Auditor and Forester Stephen C. Grado, Socio-economist Kevin R. Russell, Ecologist Scott Berg, Forester
Audit Dates:	March 3-7, 2008
Precondition Verification (PCV) Auditor:	Brendan Weiner, Forester
PCV Audit Dates:	October 29-30, 2008
Report Finalized:	November 7, 2008
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INTRODUCTION

This report presents the findings of an independent certification assessment conducted by a team of specialists representing the SmartWood Program of the Rainforest Alliance. The purpose of the assessment was to evaluate the ecological, economic and social performance of State of Wisconsin Department of Natural Resources' Managed Forest Law Tree Farm Group (WI DNR MFL Group) forest management as defined by the Forest Stewardship Council.

This report contains four main sections of information and findings and several appendixes. The whole report plus appendix I 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.

Standard Conversions

1 acre = 0.405 hectares
1 foot = 0.3048 Meters
1 mile = 1.60934 Kilometers

1 mbf = 5.1 m³
1 cord = 2.55 m³
1 Gallon (US) = 3.78541 Liters

1. SCOPE OF THE CERTIFICATE

1.1. Scope of the certificate

The WI DNR MFL Group includes 2,166,271 acres owned under 40,702 MFL designation orders. Ownerships are “family forests,” defined broadly as nonindustrial private forest land not part of large forest industry, certain tribal, Real-Estate Investment Trust (REIT) or Timber Investment Management Organization (TIMO) ownerships. Since none of the individual parcels exceed 1,000 ha (2,471 acres), WI DNR requested that the assessment be conducted according to FSC policies and procedures for Small or Low Intensity Managed Forests (SLIMF). A complete list of WI DNR MFL Group members is available at the SmartWood office.

See more detailed information about the areas covered by the certificate in Section 4 and Appendix I.

1.2. Exclusion of areas from the scope of certificate

X	Applicability of FSC partial certification and excision policy
<input type="checkbox"/>	All forest land owned or managed by the FME is included in the scope of this evaluation.
<input checked="" type="checkbox"/>	FME owns and/or has management involvement in other forest land/properties (forest management units) not being evaluated. Provide description of other forests below:
<input checked="" type="checkbox"/>	Is any portion of the forest management unit (s) under evaluation for certification being excluded? If yes, complete all sections below.
Comments / Explanation for exclusion:	Of key interest here are those lands in the MFL that will be excluded from the group certificate. There are two main bodies of existing MFL participants that are to be excluded from the certificate: 1) the large ownerships (currently 28 covering 777,632 acres), and 2) those individuals whose ownerships are less than 1,000 ha (2,471 acres) in size who opted out of the American Tree Farm Group certificate and/or the FSC Group certificate (901 MFL Orders covering 46,872 acres as of Oct. 27, 2008). Large ownerships were mainly excluded so as to maintain opportunity for a SLIMF certificate. Individuals who opted out of the American Tree Farm Group are excluded because WI DNR desires that the ATFG match the FSC certified group. Note: WI DNR does not have a system in place to define the group (major CAR 11/08) so there may be additional properties excluded once they have defined the group.
Control measures	WI DNR has not developed a COC system that includes control measures to make sure that timber and other certified forest products from certified and non-certified land is not mixed, and that non-certified wood is not sold as certified (see major CAR 09/08). See Precondition Verification Audit. WI DNR has developed a COC system and the major CAR has been closed. The documented COC system includes the following control measures: All landowners enrolled in the WI DNR MFL program are required to complete a Cutting Notice before harvesting operations begin. If landowners want to market their wood as FSC-certified, WI DNR will confirm on the Cutting Notice that the land is enrolled in the certified group and the products being sold are eligible for certified status. The MFL Certified Group CoC certificate number will be provided on the Cutting Notice if these requirements are met. As part of MFL certified group membership, landowners are required to keep certified and non-certified materials separate during harvests if the product is being marketed as certified.

Other Forest area	Location	Size (acres)
Private lands still enrolled under the old Forest Crop Law	Throughout Wisconsin	244,403
State and County Forests	Throughout Wisconsin	3,900,000
MFL "large owner" orders (>1,000 ha or 2,471 acres) – complete list is available at SmartWood office	Throughout Wisconsin	777,632
MFL "family forest" orders who have opted out of the certified group (<1,000 ha or 2,471 acres) – complete list is available at SmartWood office	Throughout Wisconsin	46,872

2. ASSESSMENT PROCESS

2.1. Certification Standard Used

The FSC Standard used for this assessment was: Revised Final Lake States-Central Hardwoods (USA) Regional Forest Stewardship Standard, Version LS V3.0, as revised February 10, 2005. This Standard is available at: http://www.fscus.org/standards_criteria/regional_standards.php

2.2. Assessment team and qualifications

Christopher A. Nowak, Ph.D. (Auditing role: FSC Lead Auditor, Forester) – Associate Professor. Ph.D., M.S., and B.S. in Forest Resources Management from SUNY College of Environmental Science and Forestry-Syracuse; A.A.S. in Forest Technology from SUNY College of Environmental Science and Forestry-Wanakena. Experience: Associate Professor of Forestry at SUNY College of Environmental Science and Forestry (9½ years, current); 5½ years as a Research Forester at U.S. Forest Service’s Forestry Sciences Laboratory, Irvine, PA; 6 years as a Research Scientist with Research Foundation of SUNY, Syracuse, NY; 2 years as a land surveyor in western NY. FSC certification experience since 1997: peer reviewer, auditor, assessment team member, or lead assessor/team leader for 37 FSC Forest Management assessments or audits across the eastern hardwood region. Team leader for assessments and audits for over 4,000,000 acres from Wisconsin to Maine. TRAINING: Team Leader Training, Forest Certification Assessment, SmartWood, June 1-2, 2001, Minneapolis, MN; SmartWood US Auditor Procedure Training, SmartWood Audit Procedures, September 29, 2005 (distance learning, web and conference call).

Stephen C. Grado, Ph.D. (Auditing role: Socio-Economist) – Society of American Foresters (SAF) Certified Forester/Forest Certification Auditor #1155 and Fellow, a Professor of Forestry and holder of the George L. Switzer Professorship in the Department of Forestry at Mississippi State University. He received a Ph.D. in Forest Resources in 1992, a M.S. in Forest Resources and Operations Research in 1984, and a B.S. in Forest Science in 1979 at The Pennsylvania State University, State College, Pennsylvania. He also has a B.A. in Political Science from Villanova University near Philadelphia, Pennsylvania. Dr. Grado has served as a socio-economic assessor/auditor on 16 SmartWood pre-assessments and assessments, 3 USDA Forest Service Test Evaluations (one with SGS), and numerous annual field audits. In addition, he has served as an assessor/auditor for innumerable SmartWood chain-of-custody assessments/audits, and also served as a peer reviewer of FSC certification assessment reports.

Kevin R. Russell, Ph.D., CWB (Auditing role: Ecologist) – TWS Certified Wildlife Biologist, Professor. Ph.D. in Forest Wildlife Management, Clemson University; MS in Zoology, Clemson University; and BS in Zoology, University of Idaho. Experience: Current position is Assistant Professor of Wildlife Ecology and Management, University of Wisconsin – Stevens Point (5½years). Prior to this position he worked as a wildlife research biologist and manager for a major forest products company in the Pacific Northwest (4 years). Overall, 16 years experience as a wildlife researcher and manager. Dr. Russell has served as the wildlife ecologist/ecologist on six SmartWood assessments in Lake States representing over 2 million acres and also has served as an FSC assessment peer reviewer.

Scott Berg, (Auditing role: Forester) – Principle in the international forest certification consulting firm of R.S. Berg & Associates, Inc. Over the past eight years, he has prepared over one hundred and twenty 120 forestry organizations for FSC, SFI, ISO 14001 and Group Tree Farm certification. He has conducted 25 external and internal audits to the SFI and FSC Standards. He has been involved in five dual FSC/SFI Preliminary Assessments and Audits. He was the Lead Auditor for the Wisconsin and Indiana Group Tree Farm audits. He is a past Co-chair of the SAF Task Group on Forest Certification. He has taken the three-day ISO Internal Auditor and five-day Lead Auditor Training Courses. He has a Masters of Forest Resources from the University of Washington in 1981 and a Bachelors of Science from Southern Illinois University in 1976.

Precondition Verification Auditor:

Brendan D. Weiner, Forester and SmartWood Auditor. M.S. Natural Resources, Ecological Planning Program, University of Vermont ; B.A. Economics, Connecticut College, English minor. Experience: Consulting forester and research forester at Vermont Family Forests (VFF) in Bristol, VT. Over 8 years of professional experience in forestry and natural resource management, including management planning, forest inventory, harvest administration and ecological assessments. Served as auditor on 2 SmartWood SmartLogging audits and 3 FSC/SmartWood forest management audits.

2.3. Report peer reviewers

Forester – B.S.F. Forest Resource Management. Experience: over 15 years experience on forestry issues including sustainability and certification as well as forest management, certification and sustainability issues in state government.

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

Date	Location /main sites	Main activities
January 1, 2008	Mailing / email / web	Public briefing
January 14, 2008	Teleconference, desk review	Pre-assessment
February 25, 2008 ¹ February 28, 2008 ²	Mailings; Cooperating Forester-Private Lands Forester Survey and MFL Landowner Survey, respectively.	Stakeholder surveys
March 2, 2008	Hotel	SmartWood team meeting
March 3, 2008	WI DNR Headquarters, Madison, Wisconsin (morning)	SmartWood introductory and organizational meeting with WI DNR
March 3, 2008	WI DNR Headquarters, Madison, Wisconsin (afternoon)	Staff interviews
March 3, 2008	Southern Wisconsin (afternoon)	Field site visits
March 4, 2008	Central and northern Wisconsin	Field site visits
March 5, 2008	Central and northern Wisconsin	Field site visits
March 6, 2008	Central and northern Wisconsin	Field site visits
March 7, 2008	WI DNR Headquarters, Madison, Wisconsin (morning)	SmartWood team meeting
March 7, 2008	WI DNR Headquarters, Madison, Wisconsin (afternoon)	SmartWood debriefing with WI DNR
March-April	Telephone, email	Stakeholder consultations
October 29-30	Desk audit	Document review for closing preconditions

Total number of person days used for the audit:28 = number of auditors participating 4 times total number of days spent for the audit 6.5 + 2 person days for precondition verification audit

¹ Sent by the WI DNR via e-mail.

² Sent by SmartWood auditor via mail.

2.5. Evaluation strategy

2008 Assessment:

Evaluation began with the pre-assessment and associated review of select WI DNR management system documents. Soon after the pre-assessment, WI DNR and SmartWood worked together to develop a field visitation plan for the full assessment. Sampling strategy was consistent with FSC guidance: *“For large populations (typically more than 100 members) the evaluation team should concentrate on deciding the number of samples needed to produce a reliable assessment, rather than working with a fixed percentage. Sequential random sampling systems sufficient to demonstrate conformance with the FSC P&C across the full range of strata in the population are acceptable.”* For WI DNR, a total of 90 properties (by order number, which is the tracking number that WI DNR uses to track properties as they are entered into the MFL program) were originally chosen for field assessment using a stratified random sampling scheme: 10 each in four counties in northern Wisconsin, four counties in central Wisconsin and one county in southern Wisconsin. The nine counties were randomly chosen within each region of Wisconsin (northern, central and southern). Each property was expected to have multiple stands to examine in any one site visit. SmartWood directed WI DNR to pick a route to join as many of the properties together as possible so as to optimize field time visiting each county. Since access was limited to many of the properties due to poor road conditions (unplowed roads), and permission was not granted by the landowner for some of the properties, WI DNR had to replace two-thirds of the randomly selected properties with other MFL properties along the travel route. The plan was to spend one team day in each of the nine counties, with a goal of visiting eight (8) properties per county. SmartWood auditors divided into teams which ranged in size from one to three auditors, though most of the assessment was conducted with two-auditor teams. A plan was developed to visit 72 properties. In actuality, 66 properties and over 100 individual stands were visited across Wisconsin.

SmartWood was accompanied by the WI DNR foresters responsible for a harvest area. A cadre of other WI DNR personnel (three to five additional people from WI DNR at each property) was present at each property as either regional or state representatives of the organization. An MFL or Forest Stewardship Plan was provided to SmartWood at the time of site visit. The property was usually entered via the most accessible landing or forest road. After examination of the property map, the team of SmartWood and WI DNR personnel developed a visitation scheme so as to complete the property visit in 1 to 2 hours time. Areas of ecosystem (i.e., timber harvest section of stand, marked stand, landings, skid trails, stream crossings, riparian areas, wetlands) or socioeconomic (i.e., boundary lines, areas of unauthorized use) risk were focal points on each site visit. If a logging contractor, consulting forester or landowner was present, significant visit time was dedicated to interviewing these stakeholders.

In addition to field visits, the WI DNR management system was evaluated using interviews (pre-assessment teleconference, introductory meeting during the field assessment week,

employee interviews during property visits and driving time), document reviews, and extensive stakeholder consultation process (see Section 2.6 below).

2008 Precondition Verification Audit

A precondition verification audit was conducted in October 2008 to verify several preconditions (major CARs) that were issued during the assessment. The audit was a desk audit and focused on reviewing documentation to close preconditions (major CARs).

List of management aspects reviewed by assessment team:

Type of site	Sites visited	Type of site	Sites visited
Road construction	10	Illegal settlement	0
Soil drainage	7	Bridges/stream crossing	4
Workshop	0	Chemical storage	0
Tree nursery	0	Wetland	12
Planned Harvest site	9	Steep slope/erosion	1
Ongoing Harvest site	12	Riparian zone	13
Completed logging	54	Planting	4
Soil scarification	0	Direct seeding	1
Planting site	2	Weed control	2
Felling by harvester	8	Natural regeneration	24
Felling by forest worker	11	Endangered species	1
Skidding/Forwarding	10	Wildlife management	27
Clearfelling	35	Nature Reserve	1
Shelterwood management	1	Key Biotope	0
Selective felling	14*	Special management area	0
Sanitary cutting	6	Historical site	0
Pre-commercial thinning	5	Recreational site	25
Commercial thinning	34	Buffer zone	9
Overstory removal	7	Logging camp	0
Seed Tree	1	Local community	0

*As named by WI DNR.

2.6. Stakeholder consultation process

Stakeholder consultation was used to supplement information relative to WI DNR’s performance in the MFL program. It was also used as an effective means to identify difficult or controversial forest stewardship issues and gain an understanding of how stakeholders believe issues should be resolved. Stakeholder consultation occurred prior to, during, and after the on-site assessment visit.

SmartWood distributed a public notice to several hundred individuals and organizations prior to the assessment explaining the process and timeline. This notice was also posted on the SmartWood Web site (www.smartwood.org). WI DNR also distributed the public notice to their employees.

For assessment purposes, WI DNR provided SmartWood with numerous digital stakeholder lists with names, addresses, telephone numbers, and/or e-mail addresses. These lists included Cooperating Foresters (132), MFL program landowners (28,275) covering 37,709 MFL landholdings (from a 2006 database), and WI DNR private lands foresters (116). The

SmartWood team supplemented all lists via stakeholder outreach throughout the assessment process.

Two stakeholder cover letters and two surveys were developed and reviewed, pre-distribution, by the WI DNR and SmartWood. One survey was developed for private lands foresters and Cooperating Foresters and the second survey was for MFL program landowners. The surveys, along with the cover letters were distributed by mail and e-mail to these stakeholders prior to the SmartWood team’s assessment field and office visit. All the private lands forester and Cooperating Forester stakeholder lists were surveyed in their entirety via e-mail with the exception of 11 mailings by the SmartWood auditor to Cooperating Foresters who did not have e-mail addresses. The SmartWood auditor requested that WI DNR distribute the cover letter and survey to their own employees. SmartWood also surveyed a random selection of 500 MFL program landowners via the mail. The mail surveys yielded return rates of 38.8% and 18.2% for WI DNR private lands foresters (45) and Cooperating Foresters (24), respectively. The overall return rate was 27.8%. For MFL program landowners, the overall return rate was 34.1% (166), after accounting for non-deliverables (13).

Prior to, during, and after the field and office assessment visit, the SmartWood team also conducted interviews with WI DNR employees; MFL program landowners; and Cooperating Foresters (i.e., contractors, forestry consultants, forest industry owners/employees) and other interested or relevant parties to ensure the assessment addressed stakeholder concerns and interests in WI DNR’s forest management in the MFL program. Individual stakeholders were contacted, either in person, by telephone, or e-mail. In addition, several stakeholders submitted unsolicited information concerning WI DNR’s MFL program. Stakeholder inputs were summarized by the SmartWood team and incorporated into the assessment report. The following table includes all contacts made by stakeholder type, as well as stakeholder type feedback.

Stakeholder Type	Stakeholders Notified (#)^a	Stakeholders consulted who provided input (#)^{c, d}
Contractors	11, 9	4, 9
Forest Industry	22, 2	3, 2
Forestry Consultants	96, 11	17, 11
Government	2	1
MFL Program Landowners	487, 14	166, 14
NGOs	6	4
Tribal Representatives	8	3
WI DNR Private Lands Foresters; Other Employees	116, 53 ^b	45, 53 ^b

^a In cases where there are two numbers, the first represents contact via e-mail and/or mail surveys and the second represents contacts via all other methods (i.e., telephone and e-mail contacts; face-to face interviews).

^b The first number represents WI DNR private lands foresters and the second number represents WI DNR private lands foresters and other employees.

^c In cases where there are two numbers, the first represents inputs via e-mail and/or mail surveys and the second represents inputs via all other methods (i.e., telephone and e-mail contacts; face-to face interviews, unsolicited inputs).

^d Note: There is some double counting for those who provided inputs in a multitude of ways. Confidentiality on returned surveys prevented separating these individuals out of the other category. For example, if an

interview was conducted in the field; it was unknown as to whether the interviewee returned a survey as well.

3. ASSESSMENT FINDINGS AND OBSERVATIONS

3.1. Stakeholder comments received

The stakeholder consultation activities were organized to give participants the opportunity to provide comments according to general categories of interest based upon the assessment criteria. The table below summarizes the issues identified by the assessment team with a brief discussion of each based upon specific interview and/or public meeting comments. *Note: The table was completed during the 2008 assessment and not modified during the 2008 precondition/major CAR review.*

FSC Principle	Stakeholder comment	SmartWood response
<p>P1: FSC Commitment and Legal Compliance</p>	<p>1. Unauthorized activities are reportedly common on MFL lands. Sixty four percent (64%) of survey respondents reported a significant incidence in at least one of the following unauthorized used categories: timber theft, boundary dispute, dumping, vandalism, trespass, and poaching.</p> <p>2. Many landowners responded, through mail surveys and on-site interviews that the State Legislature should not pass amendments to the MFL program, thus changing the original legal contract, without allowing landowners to opt out of the requirements without penalty. A key recent change to the MFL program was referenced in landowner surveys – the prohibition against landowner leasing of lands enrolled in MFL. These MFL members indicated that the leasing restriction was not part of the program when they signed on, yet many of these members are obliged to go along with the changes so as to avoid paying large withdrawal fees.</p> <p>3. Stakeholders were generally supportive of WI DNR’s endeavor to have MFL properties certified under FSC standards. One stakeholder commented that “management of these lands (MFL lands) under guiding principles of forest certification systems is critical to sustainable forestry practices in Wisconsin.”</p>	<p>1. Interviews with landowners and WI DNR Foresters indicated that security systems are in place that should limit the incidence of theft and poaching. The presence of the DNR Foresters and the MFL Program sends a clear signal that violators of the MFL and other laws have a high risk of being caught and prosecuted. While there are incidences of unauthorized uses on MFL lands, these do not seem to be above norms for Midwestern forests and may require more landowner involvement to further provide control.</p> <p>2. SW understands the concerns of the MFL landowners and their frustration with periodic changes to MFL requirements that appear to be changes in the original program (legal agreement) without a fair system of response nor compensation to the landowner; however, these changes are made by the Wisconsin Legislature within the bounds of the law.</p> <p>3. Stakeholder support is consistent with WI DNR goals to have the MFL-Tree Farm Group certified under FSC standards.</p>
<p>P2: Tenure & Use Rights & Responsibilities</p>	<p>1. Landowners responded, through mail surveys and on-site interviews, that recreational opportunities along with timber production on their lands in the</p>	<p>1. Private landowners operating under the MFL program do a good job providing customary recreational opportunities of the forest for the public and for family and</p>

	<p>MFL program are major uses of their properties. Under MFL, public access was allowed, at least in part, by 33% of landowners surveyed, which translates into a lower tax rate. There is also a diversity of recreational activities pursued on lands closed to public access, at a higher tax rate, such as hunting, fishing, and wildlife watching. Firewood for personal use is also a key activity.</p> <p>2. No evidence was found, either from WI DNR or through stakeholder engagement (i.e., land owner survey responses, on-site interviews, mail and e-mail surveys), that disputes of substantial magnitude involving a significant number of interests exist or that there were any long-term issues related to tenure and use rights.</p> <p>3. MFL landowner participants stated that 82% of their enrolled properties were posted with boundary lines.</p>	<p>friends. This is appropriate when considering the private, nonindustrial nature of the land base and the fact that a number of landowners live on their forest land.</p> <p>2. Interactions with the WI DNR private lands foresters revealed some minor disputes that have occurred related to tenure or use rights. Attempts were made by these forester or consultants, acting as agents for landowners, to settle disputes in their earliest stages. In cases where trespass is a major concern, landowners sought assistance from local authorities.</p> <p>3. No response needed.</p>
<p>P3 – Indigenous Peoples’ Rights</p>	<p>1. There were no comments of substance, on the part of landowners, relating to Indigenous Peoples issues. WI DNR private land foresters indicated they have access to archaeological and indigenous people-related information acquired from tribal contacts and other agency information.</p>	<p>1. No response needed</p>
<p>P4: Community Relations & Workers’ Rights</p>	<p>1. The principle managing entities in the MFL program, the private lands foresters and the Cooperating Foresters were viewed in a positive light, as expressed in landowner surveys. In contrast, private lands foresters and Cooperating Foresters stated that they had difficulties with landowners in the MFL Program.</p> <p>2. Landowners indicated in the surveys that they have had few disputes with the WI DNR in the past. In fact, an overwhelming majority of landowners (94%) were quite satisfied with the property tax reductions afforded by the MFL program. In another indication of satisfaction, landowners viewed the WI DNR private lands foresters as credible sources of information (91%). Lastly, 80% said they had never experienced any difficulties with the WI DNR.</p> <p>3. From the mail survey and interviews, landowners met with their private lands foresters a reasonable number of times.</p>	<p>1. Field interviews fully supported these positive responses. Comments from the mail and e-mail surveys found that while most problems with landowners, while legitimate, were mostly about understanding the MFL program itself (e.g., complex and sometimes changing the requirements for MFL participation).</p> <p>2. No response needed.</p> <p>3. The WI DNR’s private lands foresters and Cooperating Foresters attempt to spend a good deal of time interacting with landowners. However, Cooperating Foresters are going to be playing a larger role in MFL forest management and planning given that there are almost 30,000 landowners in the program. Relative to the number of foresters this could limit the frequency of future contacts or information being provided.</p> <p>4. The sample sizes for this aspect of the program were small and WI DNR has been working to improve the relationship between</p>

	<p>From the mail survey, landowners felt that WI DNR and its private lands foresters did a credible job in providing information to assist them in forest management, planning and referrals for other services (e.g., forest consultants). However, a number of them stated that the foresters were too busy to address all of their needs.</p> <p>4. E-mail and mail surveys did indicate that Cooperating Foresters and private lands foresters were having some difficulties. For Cooperating Foresters, 61% stated they had trouble with private lands foresters and, for private lands foresters, 70% stated they had problems with Cooperating Foresters.</p> <p>5. WI DNR provides considerable support for forestry-related program(s) put on by University of Wisconsin Extension, landowner organizations, or others. Those who attended found the programs to be quite useful.</p>	<p>DNR and Cooperating Forester. WI DNR needs to continue to address the issues causing some concern (OBS 02/08).</p> <p>5. No response needed.</p>
<p>P5: Benefits from the Forest</p>	<p>1. Landowners report a rich array of uses of their properties, commonly including hunting and other recreation. Timber production, while a required element of participating in the MFL program, was only infrequently reported by MFL program participants as a use of their forest land. Timber harvesting was reported by 60% of landowners as having occurred on their MFL lands in last 10 years.</p> <p>2. Landowners and other stakeholders recognize that the MFL program has promoted the use of silviculture on MFL lands. One landowner remarked that the MFL program “protects enrolled lands from high-grading and other detrimental practices, which are still far too common on private lands outside MFL in the state.”</p> <p>3. Many landowners, and some WI DNR personnel, charge that MFL is too strongly focused on timber production. One landowner stated that: “the entire program is based on the DNR Silvicultural Handbook, and the handbook prescriptions state specifically that they assume the management objective is the maximization of timber.”</p>	<p>1. No response needed.</p> <p>2. SW concurs that the MFL program has promoted the near exclusive use of silviculture on program lands.</p> <p>3. The MFL program does have a focus to “encourage a stand containing the greatest quality and quantity of timber”, but with a broad accounting of the sustainability of the system (the “guide in no way lessens the need for technical skill and sound silvicultural judgment when selecting proper practices to achieve the intended integrated resource management objectives, such as aesthetics, wildlife, endangered resources, biological diversity, the production of timber, and the protection of soil and water quality”).</p>
<p>P6: Environmental Impact</p>	<p>1. Stakeholder comments indicate that, in general, silvicultural practices prescribed for MFL practices are perceived to be</p>	<p>1. Field assessments conducted by the audit team confirm that an array of silvicultural approaches is being applied to MFL</p>

	<p>sound and sustainable. However, some stakeholders expressed concern that WI DNR's mandatory silvicultural practices are too heavily focused on development of old, uneven-aged, large-diameter trees. In contrast, another stakeholder indicated that there is little attempt to develop structurally diverse, uneven-aged stands on MFL properties, and that the silviculture applied is not ecologically sound. In particular, the stakeholder felt that the WI DNR's silviculture handbook is too simplistic, and insufficient flexibility exists within the handbook and within the larger MFL program to apply locally adapted, ecologically-based forestry.</p> <p>2. Mail surveys indicated that private foresters and consulting foresters had much greater awareness of the presence of rare, threatened, and endangered species, habitats, and sensitive sites on MFL properties than did the owners of those properties.</p> <p>3. Field interviews of WI DNR foresters and landowners suggested that pesticides and other chemicals were rarely applied to MFL properties. However, mail surveys indicated that 15% of landowners had applied pesticides to MFL properties (an additional 22.3% of landowners did not answer the question regarding pesticide use).</p> <p>4. Several stakeholders noted that a benefit of the MFL program is the incentives to maintain enrollment in the program, which discourage conversion of forestlands to other uses.</p> <p>5. During phone interviews some stakeholders commented that adherence to Best Management Practices for water quality on MFL lands could be more consistent and better monitored for compliance.</p> <p>6. Most stakeholders felt that MFL properties make a positive contribution to the diversity of wildlife habitats in Wisconsin.</p>	<p>properties, and that these approaches are scientifically sound. Even-aged management is specified as a mandatory practice when suited to the existing cover type and stand conditions. However, a large number of management plans reviewed by the audit team identified management objectives for structurally diverse, uneven-aged northern hardwood stands as the primary management objective.</p> <p>2. WI DNR and cooperating foresters need to more effectively communicate with MFL landowners regarding the presence and appropriate protection of sensitive sites, special management areas, and rare, threatened, and endangered species on MFL properties (OBS 06/08).</p> <p>3. WI DNR needs to develop a process for tracking applications of pesticides and other chemicals on MFL properties. (CAR 05/08; CAR 06/08).</p> <p>4. SmartWood concurs.</p> <p>5. With few exceptions, reviews of numerous sites by the audit team indicated that compliance with BMPs was generally high. However, WI DNR could more effectively monitor BMP compliance during active operations so that potential problems can be addressed in a more timely fashion (OBS 09/08).</p> <p>6. SmartWood concurs.</p>
<p>P7: Management Plan</p>	<p>1. In general, landowners have found their experience in forest management planning and related experience to be mostly positive. Only 20% of landowners</p>	<p>1. SW concurs that, in general, the MFL program is positive and effective.</p> <p>2. Variability in some elements of the MFL</p>

	<p>rated their experiences in these aspects of MFL as negative to neutral, and 80% as above neutral to positive.</p> <p>2. Regional variability was noted by landowners and cooperating foresters on how WI DNR administers the MFL program, which draws into question how well forest management plans can be administered and conducted in consistent, high quality manner.</p> <p>3. Concerns were expressed by some stakeholders on the general qualifications of forest workers. One stakeholder wrote: "Contrary to criteria 7.3.a our members report they are seldom required to show proof of their qualifications as a professional logging contractor. It seems appropriate that Master Logger Certification should be the standard of excellence for FSC." This stakeholder further commented that: "logging contractors are seldom given a copy of the forest management plan or participate in a detailed review of the management objectives of the intended timber sale."</p> <p>4. Eighty-eight percent (88%) of surveyed landowners indicated that their management objectives were reflected in the management plan, 10% indicated not, and 2% did not respond to the survey question.</p>	<p>program was noted among the regions by the SW auditors during the field assessment (OBS 06/08).</p> <p>3. SW concurs and noted the potential benefits of exclusively working with cooperating foresters and certified loggers.</p> <p>4. No response needed.</p>
P8: Monitoring & Assessment	<p>1. Landowner perception is that WI DNR Private Lands Foresters are involved in 61% of timber sales. WI DNR Private Lands Forester visitation patterns to MFL properties varies considerably across the State, ranging from annual visits to visits only associated with timber sales. One WI DNR forester reported the following for property visits, which is apparently somewhat normal for the agency: "This ranges from 0 to 4 times per year depending on the project. Estimate of 2 times for plans, 3 times for timber sales. Usually no visits when nothing is scheduled in their plan."</p>	<p>1. It is SW's understanding that a WI DNR forester is involved in a timber sale in three ways: (i) initial approval of the forest management plan; (ii) approval of the cutting notice, including a field inspection of the stands marked for a timber sale; and (iii) approval of the timber harvest closeout and the cutting report. It is likely that (ii) and (iii), which are directly related to a timber sale, can have WI DNR forester involvement without landowner awareness.</p>
P9: Maintenance of High Conservation Value Forest	<p>1. Several stakeholders commented that despite their small size, MFL properties should play a role in protecting HCVFs and old-growth in particular.</p>	<p>1. Although it is unlikely that significant acreages of unmanaged old-growth exist on MFL properties given their land use histories, WI DNR screens MFL properties for the presence of old-growth HCVFs on MFL properties.</p>
P10 - Plantations	<p>1. No substantive comments received.</p>	<p>1. No response needed.</p>

3.2. Main strengths and weaknesses

Note: The table was completed during the 2008 assessment and not modified during the 2008 precondition/major CAR review.

Principle	Strengths	Weaknesses
P1: FSC Commitment and Legal Compliance	Wisconsin DNR has provided a leadership role in the Lake States promoting FSC certification of public lands and FSC chain of custody in forest industries.	Field audits found lapses in safety precautions among some employees not wearing hard hats on active logging jobs and for some contractors on active harvesting sites (CAR 01/08). WI DNR has not officially documented its commitment to FSC Principles and Criteria (CAR 02/08).
P2: Tenure & Use Rights & Responsibilities	Despite the size and breath of the MFL program, the WI DNR has legal backing and exceptional resources to identify, track, and resolve problems of significant magnitude in the MFL program.	No weaknesses were identified.
P3 – Indigenous Peoples’ Rights		The program wide policy on tribal consultation has not been implemented on MFL properties (CAR 03/08). WI DNR has not provided training to private lands and cooperating foresters regarding identification and protection of cultural resources (CAR 04/08).
P4: Community Relations & Workers’ Rights	Relations between landowners, consulting foresters, and MFL private lands foresters were seen as being strong and cooperative as experienced during field observations.	WI DNR has not provided training to private lands and cooperating foresters regarding identification and protection of archeological resources (CAR 04/08). Field audits found lapses in safety precautions among some employees not wearing hard hats on active logging jobs and for some contractors on active harvesting sites (CAR 01/08).
P5: Benefits from the Forest	The MFL program has promoted the exclusive use of silviculture on participant forests, which is commendable given the level of high grading and other exploitative cuts that can occur on small, nonindustrial private forests outside the MFL program. Regeneration through both even-aged (e.g., clearcuts, small patch cuts, often with reserves) and uneven-aged (conversion using small group openings) methods is commonplace on MFL lands, and yet rare on NIPFs not in the MFL program. These regenerated forests are consistent with WI DNR’s commitment to sustainable forest management.	No weaknesses were identified.

<p>P6: Environmental Impact</p>	<p>Application of silviculture to achieve desired future conditions on MFL properties contributes to diversity of forest species composition, age class, and structural attributes in Wisconsin.</p> <p>Strong adherence to BMPs regarding protection of soil and water resources, advance regeneration, and retention of residual trees during harvest operations.</p> <p>At a statewide level, WI DNR is committed to Integrated Pest Management (IPM) in all of its program areas, including MFL properties.</p> <p>WI DNR's MFL program provides strong incentives to landowners for retaining properties in forested condition and applying silvicultural techniques while discouraging conversion to degraded or non-forest conditions.</p>	<p>WI DNR does not have measure to enforce policy regarding use of FSC Highly Hazardous Pesticides (prohibited pesticides) on MFL property (CAR 05/08).</p> <p>MFL property owners and cooperating foresters have not been provided specific guidance or direction about use of prohibited chemicals. Written prescription, monitoring and reporting systems have not been developed for pesticide use (CAR 06/08).</p> <p>WI DNR does not have measures to encourage implementation of control measures for invasive, non-native plant species, if necessary (CAR 07/08).</p>
<p>P7: Management Plan</p>	<p>Operational-scale processes as represented by Cutting Notices and Cutting Reports has been an affective means for WI DNR private lands foresters to keep engaged in the management of MFL lands.</p>	<p>Management plans developed before ~1990 are missing many required elements of current MFL and Stewardship Forest Plan standards, and are incomplete with regard to FSC standards (CAR 08/08).</p>
<p>P8: Monitoring & Assessment</p>	<p>In association with the American Tree Farm System Group Certification, WI DNR has conducted annual internal audits (2006 and 2007) to determine landowner compliance with the MFL program and the Tree Farm standards. This is an important monitoring metric that, coupled with the use of root cause analyses, enable WI DNR to work on continuous improvement with the MFL program.</p>	<p>Monitoring programs are generally adequate for the scale of the operations, except for culturally-sensitive sites (CAR 03/08).</p>
<p>P9: Maintenance of High Conservation Value Forest</p>	<p>At a statewide level, WI DNR has identified, mapped, and protected a number of globally, regionally, and locally scaled HCVF-like attributes.</p>	<p>No weaknesses were identified.</p>
<p>P10 - Plantations</p>	<p>Not applicable.</p>	<p>Not applicable.</p>
<p>Chain of custody</p>	<p>No strengths were identified.</p>	<p>WI DNR does not have a chain-of-custody system in place (major CAR 09/08).</p>
<p>Group Certification Requirements</p>	<p>No strengths were identified.</p>	<p>WI DNR has not yet developed documents and procedures required of the FSC group certification policy (major CAR 10/08).</p> <p>A defined group of landowners in MFL have not received required documentation regarding group membership nor have they signed a group membership consent form or equivalent (DNR has not completed the</p>

		<p>agreed upon certification opt-out offer to MFL Group members) (major CAR 11/08).</p> <p>WI DNR does not have a monitoring program to ensure all MFL properties that are included in the FSC group certification are in conformance with FSC standards and requirements (CAR 12/08).</p>
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3.3. Identified non-conformances and corrective actions

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

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

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

Each non-conformance 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.

CAR 01/08		Reference Standard & Criteria: 1.1.a; 4.2.a
Nonconformance		Field audits found non-compliance with OSHA safety laws and regulations among some WI DNR employees and contractors on active harvesting sites.
Major <input type="checkbox"/>	Minor <input checked="" type="checkbox"/>	
Corrective Action Request: WI DNR’s MFL program shall implement measures to promote implementation of staff safety policies; provide guidance to MFL landowners on OSHA requirements during timber harvesting; and develop reporting policies for observed OSHA violations.		
Timeline for conformance:		By the next annual audit
Evidence to close CAR:		Pending
CAR Status:		OPEN
Follow-up Actions (if app.):		

CAR 02/08		Reference Standard & Criteria: 1.6.a
Nonconformance		WI DNR MFL Program has not officially documented its commitment to FSC Principles and Criteria.
Major <input type="checkbox"/>	Minor <input checked="" type="checkbox"/>	

Corrective Action Request: WI DNR shall develop a documented statement of commitment to the FSC Principles and Criteria.	
Timeline for conformance:	By the next annual audit
Evidence to close CAR:	
CAR Status:	
Follow-up Actions (if app.):	

CAR 03/08	Reference Standard & Criteria: 3.2.b, 3.3.a, 8.2.d.3	
Nonconformance		
Major <input type="checkbox"/>	Minor <input checked="" type="checkbox"/>	WI DNR has not implemented WI DNR's policy on tribal consultation on lands in the MFL group.
Corrective Action Request: WI DNR's MFL program shall implement existing policies and procedures on consultation with tribes.		
Timeline for conformance:	By the next annual audit	
Evidence to close CAR:		
CAR Status:		
Follow-up Actions (if app.):		

CAR 04/08	Reference Standard & Criteria: 3.3.a, 4.4.b	
Nonconformance		
Major <input type="checkbox"/>	Minor <input checked="" type="checkbox"/>	Private lands foresters and Cooperating Foresters have not been trained on the identification and protection of cultural and archeological sites to identify unmapped or unreported sites
Corrective Action Request: WI DNR shall implement measures to train foresters working on properties in the MFL group in cultural resource identification and protection.		
Timeline for conformance:	By the next annual audit	
Evidence to close CAR:	Pending	
CAR Status:	OPEN	
Follow-up Actions (if app.):		

CAR 05/08	Reference Standard & Criteria: 6.6.a	
Nonconformance		
Major <input type="checkbox"/>	Minor <input checked="" type="checkbox"/>	WI DNR includes at least two FSC Highly Hazardous Pesticides (FSC prohibited) on list of chemicals recommended for use, including on MFL lands. The document indicates these chemicals cannot be used on certified land. WI DNR has no measures to enforce the requirement that these FSC prohibited chemicals are not used on FSC certified lands
Corrective Action Request: WI DNR shall to develop and implement measures to enforce the prohibited use of FSC highly hazardous chemicals (until/unless a derogation is in place) on properties to be included in the WI DNR MFL group certification.		
Timeline for conformance:	By the next annual audit	
Evidence to close CAR:	Pending	
CAR Status:	OPEN	
Follow-up Actions (if app.):		

CAR 06/08		Reference Standard & Criteria: 6.6.a, 6.6.d, 6.6.f, 6.6.g
Nonconformance		MFL property owners and cooperating foresters have not been provided specific guidance or direction regarding the FSC pesticide policy. Systems for reporting, monitoring and prescriptions for pesticide use on MFL properties have not been developed.
Major <input type="checkbox"/>	Minor <input checked="" type="checkbox"/>	
Corrective Action Request: WI DNR shall develop and implement measures to ensure all group members, staff and Cooperating Foresters are aware of the FSC pesticide policy and that all chemical applications are in compliance with the policy and Criterion 6.6 including a written prescription, monitoring and reporting.		
Timeline for conformance:		By the next annual audit
Evidence to close CAR:		Pending
CAR Status:		OPEN
Follow-up Actions (if app.):		

CAR 07/08		Reference Standard & Criteria: 6.9.d
Nonconformance		WI DNR has developed guidance on invasive species identification and control but it is unclear how these guidelines and control measure are being implemented on MFL group properties.
Major <input type="checkbox"/>	Minor <input checked="" type="checkbox"/>	
Corrective Action Request: WI DNR shall develop and implement measures to encourage MFL group landowners to conduct control measures for invasive exotic species found on their properties, when appropriate.		
Timeline for conformance:		By the next annual audit
Evidence to close CAR:		Pending
CAR Status:		OPEN
Follow-up Actions (if app.):		

CAR 08/08		Reference Standard & Criteria: 7.1.a.2, 7.1.b.1, 7.1.b.2, 7.1.b.3, 7.1.b.5, 7.1.f
Nonconformance		Not all the MFL management plans contain the elements required in the FSC Standard. Particularly, older management plans are missing key elements. WI DNR has the authority to require management plan updates when a Cutting Notice is submitted but not all plans are updated at that time.
Major <input type="checkbox"/>	Minor <input checked="" type="checkbox"/>	
Corrective Action Request: WI DNR shall develop and implement measures for updating all MFL group management plans prior to any management activities so that they are in full conformance with FSC Criterion 7.1.		
Timeline for conformance:		By the next annual audit
Evidence to close CAR:		Pending
CAR Status:		OPEN
Follow-up Actions (if app.):		

CAR 09/08		Reference Standard & Criteria: 8.3, CoC 1, CoC 3, CoC 4, CoC 7
Nonconformance		WI DNR does not have a chain-of-custody system in place.
Major <input checked="" type="checkbox"/>	Minor <input type="checkbox"/>	
Corrective Action Request: WI DNR shall develop and document procedures for group member chain-of-custody to cover all the CoC Criteria.		
Timeline for conformance:		Prior to certificate issuance
Evidence to close CAR:		See 2008 Precondition Verification Audit
CAR Status:		CLOSED
Follow-up Actions (if app.):		

CAR 10/08		Reference Standard & Criteria: GC-4, GC-5
Nonconformance		WI DNR has not yet developed all documents and procedures required of the FSC group certification policy.
Major <input checked="" type="checkbox"/>	Minor <input type="checkbox"/>	
Corrective Action Request: WI DNR shall develop and implement documented group management procedures which include the following elements: <ul style="list-style-type: none"> ▪ Definition of responsibilities for group manager and group members in relation to compliance with certification standards and requirements GC 4), and ▪ Procedures for admission and removal of members from the certified group and reporting of changes in group membership to SmartWood (GC 5). 		
Timeline for conformance:		Prior to certificate issuance
Evidence to close CAR:		See 2008 Precondition Verification Audit
CAR Status:		CLOSED
Follow-up Actions (if app.):		

CAR 11/08		Reference Standard & Criteria: GC-6, GC-7
Nonconformance		A defined group of landowners in MFL have not received required documentation regarding group membership nor have they signed a group membership consent (or equivalent) form.
Major <input checked="" type="checkbox"/>	Minor <input type="checkbox"/>	
Corrective Action Request: WI DNR shall demonstrate that all certification group members have received the required documentation and have signed a consent form (or equivalent) that meets the requirement of GC-7.		
Timeline for conformance:		Prior to certificate issuance
Evidence to close CAR:		See 2008 Precondition Verification Audit
CAR Status:		CLOSED
Follow-up Actions (if app.):		

CAR 12/08		Reference Standard & Criteria: GC-8
Nonconformance		WI DNR has monitoring systems in place for the American Tree Farm group certification of the MFL program but has not developed a monitoring program to ensure FSC group members are in conformance with the FSC standard and requirements.
Major <input type="checkbox"/>	Minor <input checked="" type="checkbox"/>	

Corrective Action Request: WI DNR shall develop and implement a monitoring program to ensure all FSC group members are in conformance with the FSC standard and applicable requirements.	
Timeline for conformance:	By the next annual audit
Evidence to close CAR:	Pending
CAR Status:	OPEN
Follow-up Actions (if app.):	

3.4. Observations

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

OBS 01/08	Reference Standard & Requirement: 4.1.a
Some stakeholders have pointed out that not all counties provide equal and fair solicitation practices in accordance with established practices relative to bids for forest work.	
Observation: WI DNR should evaluate the equality and fairness of solicitation practices relative to bids for forest work across the State.	

OBS 02/08	Reference Standard & Requirement: 4.5.a
Despite past efforts by WI DNR, stakeholder input indicated that there are some challenges regarding the relationship between Cooperating Foresters and WI DNR private lands foresters.	
Observation: WI DNR should continue efforts and take necessary measures to improve relations between Cooperating Foresters and private lands foresters.	

OBS 03/08	Reference Standard & Requirement: 4.5.b
WI DNR foresters do not regularly look at contracts between landowners and loggers; however, there needs to be some accountability and monitoring in this area to ensure there are no liability issues.	
Observation: WI DNR should develop a system to verify and present credible evidence that private foresters and loggers associated with the MFL program have adequate liability insurance.	

OBS 04/08	Reference Standard & Requirement: 6.1.c
Significant lag times (e.g., 10-12 years) may exist between plan writing and the initiation of silvicultural treatments on the property. During this interval, mobile species (e.g., raptors) may subsequently occupy the property, and the possibility exists that updated versions of the NHI database may include occurrences of such species that were not detected during the initial screening.	
Observation: Prior to management activities, a new NHI screening should be conducted.	

OBS 05/08	Reference Standard & Requirement: 6.2.a
At one property a WI DNR field forester was unaware of an extremely large stick nest in a recently cut stand (likely that of a bald eagle) or appropriate prescriptions for its protection. Interviews with loggers and landowners indicated that they also were unaware of any process for reporting RT&E raptor occurrences or the importance of protecting active stick nests of these species.	
Observation: WI DNR should develop and implement a program to increase awareness among WI DNR foresters regarding identification and protection of rare, threatened and endangered species, especially raptors.	

OBS 06/08	Reference Standard & Requirement: 7.3.a
Variability in some elements of the MFL program was noted among the regions by the auditors during the field assessment. While observations were that workers are generally qualified to implement the management plan, it was apparent that in some cases forest workers were not fully qualified	
Observation: WI DNR should develop a more complete system for assuring that forest workers are qualified to implement the management plan, including personnel from WI DNR and the consulting forester and logger pools.	

OBS 07/08	Reference Standard & Requirement: 8.2.a.1; 8.2.b.1
There is no formal system for monitoring NTFP.	
Observation: WI DNR should develop and implement measures to inventory and monitor NTFPs on MFL group lands.	

OBS 08/08	Reference Standard & Requirement: 8.2.b.1
There is no formal system for monitoring regeneration. Many of potential group lands have stands that are being regenerated and there is a growing deer browse problem in some areas.	
Observation: WI DNR should develop and implement a system to inventory and monitor regeneration on MFL.	

OBS 09/08	Reference Standard & Requirement: 8.2.d.1
WI DNR foresters have the capacity to hold the consulting forest and/or associated logging contractor to high levels of compliance with BMPs, but only after the timber harvest is complete. WI DNR forester only visits the property at the beginning and end of the timber harvest operation.	
Observation: WI DNR should develop and implement a system to ensure consistent monitoring and mitigation of regarding the application of best management practices.	

3.5. Certification Recommendation

Based on a thorough review of FME performance in the field, consultation with stakeholders, analysis of management documentation or other audit evidence the SmartWood assessment team recommends the following:

Certification requirements met, certificate should be issued	<input checked="" type="checkbox"/>
Certification requirements not met, major CARs must be met prior to certificate	<input type="checkbox"/>

issuance.		
FME has demonstrated that their described system of management is being implemented consistently over the whole forest areas covered by the scope of the evaluation	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
Comments: None.		
FME'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	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
Comments: Major CARs issued during 2008 assessment have been closed – see 2008 Precondition Verification Audit.		
Issues identified as controversial or hard to evaluate.	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
Comments: None.		
Certificate type recommended:	<input checked="" type="checkbox"/> Forest management and Chain of custody <input type="checkbox"/> Forest management only (no CoC)	

A FSC/SmartWood Forest Management and Chain of Custody (FM/COC) Certification will be issued based upon completion of the major CARs.

Once the major CARs are met and a certification is issued, in order to maintain certification, the FME will be audited annually on-site and required to remain in conformance with the FSC principles and criteria as further defined by regional guidelines developed by SmartWood or the FSC. The FME will also be required to fulfil the corrective actions as described below. Experts from SmartWood will review continued forest management performance and conformance with the corrective action requests described in this report, annually during scheduled and/or random audits.

3.6. Follow-up actions by client to meet certification

Subsequent to the 2008 field audit and report, WI DNR has developed and implemented a number of procedures to address the pre-conditions/major CARs issued. Specific steps that WI DNR has taken to address the preconditions/major CARs are described in the 2008 Preconditions Verification Audit report.

4. CLIENT SPECIFIC BACKGROUND INFORMATION

4.1. Ownership and land tenure description

The Wisconsin Department of Natural Resources (WI DNR) Managed Forest Law (MFL) program is one of the primary incentives offered by the state of Wisconsin to encourage responsible management of private forest land. The Wisconsin legislature enacted the MFL program in 1985. It replaced two older forest property tax incentive programs, the Forest Crop Law (FCL) and the Woodland Tax Law (WTL) that originated in the 1920's and 1950's. About 300,000 acres of private woodland in Wisconsin are still enrolled under the old Forest Crop Law (FCL), a property tax incentive program that preceded MFL. FCL originated in 1927 and was closed to new enrollments in 1984. The program is being phased out as the last of the 50-year agreements expire or land is converted to the MFL program. FCL land is excluded from the scope of the current FSC assessment.

The purpose of MFL "is to encourage the management of private forest lands for the production of future forest crops for commercial use through sound forestry practices, recognizing the objectives of individual property owners, compatible recreational uses, watershed protection, development of wildlife habitat and accessibility of private property to the public for recreational purposes" (Section 77.80, Wis. Statutes). State Administrative Code also requires consideration of forest aesthetics, endangered and threatened resources, and cultural resource protection.

An owner of 10 or more contiguous forest acres may apply for entry into the MFL program. As of April 28, 2004, the land can be in any municipality (previously, land in cities could not be enrolled). If the DNR finds that at least 80% of the parcel is producing or capable of producing at least 20 ft³ of merchantable timber per acre per year, and that the land is not developed in a way incompatible with the practice of forestry, the WI DNR issues an order entering the land under the program. Landowners sign 25- or 50-year agreements and they must follow a forest management plan that is developed in cooperation with a WI DNR forester or a Cooperating Forester, known as a Certified Plan Writer (CPW), who is qualified to write plans. In general, they also must permit public access for hunting and recreation if they opt for the lower of two tax rates being offered for participation in the program. However, landowners can close up to 160 acres to public access (of which no more than 80 acres can be on land for which MFL orders took effect before April 28, 2004) by paying an annual closure fee.

The average program annual enrollment since 2000 has been 140,789 acres from 2,459 applications per year. New MFL enrollments peaked in 2004 at over 234,000 acres. Also, the State legislature changed the tax incentive formula and required landowners to obtain a forest stewardship plan at their own expense. Since 2005, tax incentives are now calculated at a 95% average gross reduction for land enrolled as open to public access or a 75% gross reduction for land enrolled as closed to public access. WI DNR foresters can no longer prepare MFL plans free of charge, and so most plan writing has shifted to CPWs.

At the time of the field audit, the MFL Group included 2,180,673 acres owned under 40,983 MFL designation orders. Ownerships are "family forests," defined broadly as nonindustrial private forest land not part of large forest industry, certain tribal, Real-Estate Investment Trust (REIT) or Timber Investment Management Organization (TIMO) ownerships. Since none of the individual parcels exceed 1,000 ha (2,471 acres), WI DNR requested that the assessment be conducted according to FSC policies and procedures for Small or Low Intensity Managed Forests (SLIMF).

4.2. Legislative and government regulatory context

The WI DNR and participants in the MFL program are subject to a myriad of federal and state laws and administrative codes. Major pieces of relevant federal legislation include the Endangered Species Act of 1973 as amended in 1978, National Historic Preservation Act of 1966 as amended through 1992, Archaeological Resource Protection Act (ARPA) of 1979, and Clean Water Act of 1972 as amended through 2002 (in particular Section 404). Wisconsin's forestry best management practices (BMPs) were developed in response to Section 208 of the 1997 Clean Water Act and Section 319 of the 1987 Water Quality Act. In terms of safety issues, Occupational Safety and Health Administration (OSHA) guidelines are followed. The WI DNR also coordinates federal, state, and local aid programs of the USDI Fish and Wildlife Service, the USDA Forest Service, the Environmental Protection Agency and other federal agencies and administers federal funds available for outdoor recreation, thereby taking a lead role in planning state outdoor recreation facilities. It administers state aid programs for local outdoor recreation and pollution abatement.

There are a number of Wisconsin statutes that have great bearing on forest management and planning in the State and the MFL program. Chief among these are Chapter 26, Stats.- Protection of Forest Lands. This includes S. 26.03, Stats.-Cutting Forest Products which requires that a cutting notice be filed with the county clerk before any cutting can take place in the forest. Also important are Chapter 94, Stats.-Pesticides; Chapter 292, Stats. Remedial Action; and Chapter 348, Stats. Vehicles: Size, Width and Load. Wisconsin Administrative Codes (Administrative Rules) are also relevant in the State and the MFL program. Key Rules are Chapter ATCP 29, Wis. Adm. Code-Pesticide Use; Chapter 27, Wis. Adm. Code-Endangered and threatened Species; and Chapter NR 103, Wis. Adm. Code-Water quality Standards for Wetlands, to name just a few.

In 1967, the Wisconsin legislature created the WI DNR. It brought together closely related traditional conservation functions and combined them with newly emerging environmental protection programs. The agency has 2,703.68 full time equivalent (FTE) positions based on FY 05-07 records and an annual budget of about \$512 million. The WI DNR coordinates the preservation, protection, and regulation of the natural environment. Included in its responsibilities, and guided by federal laws and State Statutes and Codes, are water and air quality protection, water supply regulations, solid and hazardous waste management, contamination cleanup, protecting biodiversity, fish and wildlife management, forest management and protection, providing parks and outdoor recreation opportunities, lake management, wetland, shore land and floodplain protection, and law enforcement.

The Division of Forestry, created by 1999 Wisconsin Act 9, is responsible for the administration and implementation of programs that protect and manage the State's forests. The Division is involved with the management of about 16 million acres of public and private forest land and millions of urban trees. Foresters provide assistance to private woodlot owners; offer expertise in urban forestry; manage and monitor forest insects and diseases; operate three tree nurseries; provide public education and awareness activities; and work in partnership with county foresters, the timber industry, and environmental groups. The Division administers grants and loans to county forests, urban forestry grants to communities, forest landowner grants to woodland owners, and forest fire protection grants to fire departments. The fire management program is responsible for forest fire protection on 18 million acres of forest, brush, and grassland and coordinates with local fire departments to prevent and control forest fires.

About 9.7 million acres (60% of the state's forest land) consist of family forest parcels of 10 acres or more, owned by about 178,000 landowners. WI DNR operates a private forestry assistance program in partnership with University of Wisconsin Extension, local governments, conservation organizations, businesses and professional resource managers across the State. There are 454 permanent FTE positions in the Division of Forestry, and about 210 of them have at least some private forestry assistance duties in their job descriptions. Time report analysis indicates about 94 FTEs are dedicated to "service forestry" activities, of which about 38 FTEs go into field administration of the MFL program.

4.3. Environmental Context

Wisconsin falls within both the Laurentian Mixed Forest and Eastern Broadleaf Forest Provinces. The Mixed Forest Province encompasses roughly the northern half of the state and a narrow eastern zone along Lake Michigan as far south as Milwaukee. The Eastern Broadleaf Province encompasses approximately the southern half of the state. The division between Provinces is known as the "Tension Zone" in Wisconsin. Along this Zone, northern coniferous-deciduous forests transition gradually into southern oak forest/savannas and the former prairie region. Topography, soils, and hydrological features in both Provinces were strongly influenced by glaciation. Most of northern Wisconsin is a gently rolling plain, punctuated by steeper glacial features, a few ancient pre-glacial escarpments, and one of the highest concentrations of freshwater lakes in the world. Most soils in northern Wisconsin developed from glacial till and loess and include fertile loams and silts. Areas of sandy, infertile, and droughty soils originated as glacial outwash. Along Lakes Michigan and Superior, fertile and moist clay soils developed because of the lakes' influence. During the last glaciation (25,000-10,000 years ago), glaciers also covered approximately the eastern half of southern Wisconsin, resulting in steep moraines, deep kettles, droughty outwash plains, and layered glacial lake deposits. However, the western half of southern Wisconsin, known as the Driftless Area, remained unglaciated and is characterized by coulee topography including limestone cliffs, deep winding valleys, and the steep Baraboo Hills. Soils in southern Wisconsin are typically fertile, although there is significant variability in Driftless Area soils related to the topography. Additionally, a large area of sandy soils in central Wisconsin ("Central Sands") is included in the Eastern Broadleaf Forest Province. These soils originated from glacial outwash from the north and tend to be droughty and infertile.

Wind is a major disturbance agent in Wisconsin's forests, ranging from regular, individual tree windthrow to periodic, catastrophic events associated with tornados. Fire was also an important component of natural disturbance regimes, particularly within southern Wisconsin and on the sandy, droughty soil types in the central and northwestern portions of the state. Fires ranged from occasional stand-replacing events to more common understory burns. Fires and native ungulate grazing (e.g., bison) also served to maintain significant areas of southern Wisconsin in prairie, barren, and savanna habitat types. As early as 11,000 years ago, Native Americans hunted, fished, and gathered a variety of natural resources within the state's forests. Native Americans may also have regularly used fire for various land management objectives.

At the time of European settlement (1825–1880), forests covered approximately 22-30 million acres (63%-86%) of Wisconsin's land area. Historically, sugar maple, hemlock, and yellow birch dominated the mesic forests of northern Wisconsin. Red pine and eastern white pine also were important cover types in the region. Aspen and white birch were important successional species that followed natural disturbance across northern Wisconsin. Acidic tamarack/spruce bogs were significant ecosystems in northern Wisconsin forests. Jack pine forests and barrens were

important on the sandy soils of central and northwestern Wisconsin. In the southern part of the state, oak-hickory and maple-basswood forests were especially prevalent. The southern and western parts of the state also supported oak savanna and prairie habitats. Forested and non-forested wetlands were found throughout the state.

Wisconsin's current forests are simplified in species composition, structure (e.g., age classes), and functional components (e.g., fire rotations) from those of the early 1800s. This simplification is a result of the young age of these forests, reduction in seed sources for certain conifer species (e.g., eastern hemlock) due to past logging and effects of deer herbivory on tree regeneration and ground flora. The current forests of Wisconsin resulted from European settlement, including a large-scale "Cutover" of northern and central forests from the late 1800s through the early 1930s for timber and agricultural conversion. Large and frequent wildfires associated with the Cutover allowed species like quaking aspen and paper birch to become prevalent, encouraging large populations of white-tailed deer and other early-successional wildlife. Much of the southern half of the state, including barrens, savannas, and prairies was converted for agriculture. Fire control and attempts at reforestation began in the 1930s, to which many of the upland forests in the state date their origination. Fire suppression in the southern half of the state has also resulted in succession of some former prairies and barrens to forest cover. Jack pine, a colonizing species in dry sandy soils and a major component of pine barrens, has been greatly reduced in area and volume in the sandy areas of the central counties and the northwest from fire suppression and conversion (e.g., to red pine plantations). Between 1983 and 1996, Wisconsin's forest cover increased by 640,000 acres, a continuing trend that began in the 1960s and is mostly the result of marginal agricultural land converting back to forests.

Currently, over 70% of Wisconsin's forests occur in the north half of the state, with approximately 52% ownership by NIPFs. Sugar maple-basswood is the most common forest type (37%) in this region. Quaking aspen, paper birch, red maple, northern red oak, yellow birch, and white pine are also common species in this type. The second most abundant forest type in northern Wisconsin is aspen-birch (27%), followed by spruce-fir (12%), elm-ash-cottonwood (9%), oak-hickory (8%), and pine (7%). In contrast, <30% of the state's forests are found in southern Wisconsin, primarily because of potential forest land used for agriculture or urban development. NIPFs own approximately 85% of the state's southern forests. The largest blocks of remaining forest occur in the Central Sands and Driftless Area regions. Currently, the most common forest type in the southern half of Wisconsin is oak-hickory (46%), with primary species including northern red oak, white oak, burr oak, northern pin oak, black oak, red maple, aspen, shagbark hickory, basswood, white pine and black cherry. Sugar maple-basswood is the second most abundant forest type (25%), followed by elm-ash-cottonwood (12%), pine (9%), aspen-birch (7%), and spruce-fir (1%). Recreation and development pressures are resulting in increasing parcelization of the large ownerships that were once held by private industries in northern Wisconsin, resulting in numerous, smaller ownerships with diverse objectives for the property. Often, these objectives include developing a cabin or second home. Pressures on southern Wisconsin forests include continued urbanization, especially in the eastern area. Wisconsin's forests provide habitat for 650 vertebrate species and 1,800 native vascular plant species. Game species that thrive in early-successional and edge habitats, including wild turkey, ruffed grouse, and white-tailed deer are abundant or overabundant (deer). Currently there are 33 threatened and 34 endangered forest species listed on either the Wisconsin or federal endangered and threatened lists. There are seven federally-threatened or endangered species in Wisconsin that could be affected by forest management: Canada lynx (currently considered only transient and non-breeding in WI), Kirtland's warbler, Karner blue butterfly, Hine's emerald dragonfly, Fassett's locoweed, dwarf lake iris, and northern wild monkshood. Bald eagles were

removed from the federal ESA in 2007 but remain protected by the U.S. Bald and Golden Eagle Protection Act. Savannas, barrens, and advanced successional stages are natural communities that are extremely rare in the state. Non-native, invasive insect and plant species in Wisconsin are numerous and have the potential to further alter terrestrial and aquatic plant communities.

4.4. Socioeconomic Context

Wisconsin's capital is Madison, and its largest city is Milwaukee. As of 2006, the state population was 5,556,506 (U.S. Census Bureau). The population is 90.0% white, 6.0% black, 0.9% Native American, and just over 3% other. According to the 2004 U.S. Bureau of Economic Analysis report, Wisconsin's gross state product was \$211.7 billion. The per capita personal income was \$32,157 and the median income was \$47,220 which is 15th in the United States.

Of Wisconsin's 35 million acres of land (65,498 mi²), about 16 million are forested and this is about 46% of the land base. About 1.7 million acres are urban forest or 4.7% of the State land base. Individual, private nonindustrial forest (NIPF) landowners own 57% of the State's forests. The State owns 5% and the federal government 10%. Counties and municipalities own 15%, forest industry 7%, private corporations (7%), and tribal lands are 2%. The demographics of forest ownership have changed drastically in recent years. There is a large increase in second homes and non-resident homeowners, which has led to a fragmentation of the forest and smaller parcel ownerships. According to the WI DNR Forest Management Guidelines, NIPF owners increased 20% to 262,000 between 1984 and 1997. Every year, an average of 3,385 new parcels are created from the forest.

Wisconsin's economy was originally founded on farming, mining, and forestry. Large-scale industrialization began in the 1800s in the southeastern part of the State, most within the city of Milwaukee. In the later part of the 1900s, tourism became important and one of the leading industries in the State. This includes many forms of outdoor recreation (e.g., hunting, fishing, hiking, cross-country skiing). In recent decades, service industries, especially medicine and education, have become dominant. The development and manufacture of health care devices and software are growing sectors of the State's economy. Despite the increase in service industries and tourism, the economy is still driven by manufacturing, and agriculture. Major products are automobiles, machinery, furniture, paper, beer, and processed foods.

While not among one of the top economic sectors in the State, forestry and the forest products industry still play an important role in Wisconsin. According to the WI DNR Forest Management Guidelines, State forests provide wood for homes, offices, furniture, paper, the pharmaceutical industry, paints, plastics, and recreation. The State has more than 1,850 wood-using companies that produce goods and services that produce \$20 billion of forest products annually. More than 300,000 Wisconsin jobs are in the forest products industry, not including recreation. Wisconsin's forest products industry creates high paying jobs with average wages for forest industry jobs at \$38,000 annually, compared to the state average of \$30,000. Paper mill workers earn \$49,000 annually (Mace et. al. 2003). Wisconsin's forests support an eco-tourism and recreation based economy, generating an additional \$5.5 billion annually (Mace et. al. 2003).

According to the 2007 Wisconsin Department of Administration (WDA) document "Tribes of Wisconsin" there are approximately 69,386 total Native Americans in Wisconsin, which is 1.29% of its total population. This ranks 16th among states on a percentage basis of total state populations. Most Native Americans in Wisconsin live on tribal lands. There are 11 tribes with land holdings throughout the state and include the: Bad River Band of Lake Superior Tribe of

Chippewa Indians, Forest County Potawatomi Community, Ho-Chunk Nation, Lac Courte Oreilles (LCO) Band of Lake Superior Chippewas, Lac du Flambeau (LdF) Band of Lake Superior Chippewas, Menominee Nation, Mohican Nation, Stockbridge Munsee Band, Oneida Tribe of Indians of Wisconsin, Red Cliff Band of Lake Superior Chippewas, St. Croix Band of Chippewa Indians, and Sokaogon Chippewa Community.

In Wisconsin, the Great Lakes Inter-Tribal Council (GLITC) is a non-profit organization founded in 1965 to support Tribal self-sufficiency. All Tribes in Wisconsin are members except the Ho-Chunk Nation. While GLITC serves an important function by providing a broad input, they do not speak for Tribal governments. In Wisconsin, there is also the Legislative Council Committee on State-Tribal Relations. While the Committee serves an important legislative function it does not speak for Tribal governments.

Each state has a unique legal relationship with each sovereign American Indian Tribal government, as affirmed and described in federal law. This relationship is set forth in the U.S. Constitution, treaties, statutes, laws and court decisions. In 2004, then Governor Doyle issued Wisconsin Executive Order #39, recognizing the government-to-government relationship between Wisconsin and tribal governments and requiring strengthening of the working relationship between the two (WDA 2007). This led to the creation of the State-Tribal Consultation Initiative. As a result, nearly all agencies in the Governor's Cabinet have created consultative policies which established a framework for tribal interaction. The WI DNR abided this order with a consultative policy titled "Consultation Policy with Wisconsin's Indian Tribes." The policy's intent was to improve planning and delivery of natural resource management services to Tribal governments, Tribal communities, and Tribal people by developing principles and a process for consultation on natural resource policies in Wisconsin. This was important considering the role forestry and other natural resource related enterprises play in the state. Both the WI DNR and the Tribes have a responsibility for managing natural resources within their respective jurisdictions.

Tribes contribute greatly to the economy of Wisconsin in other ways. Gaming has aided Tribal governments and members with additional monetary resources. The Federal Indian Gaming Regulatory Act (IGRA) of 1988 mandated that states negotiate Gaming Compacts with Tribes to identify what types of Class III games (casino-type games of chance) will be conducted on Tribal lands and define how such games will be regulated (WDA 2007). Electronic and traditional bingo or pull-tabs are regulated by the Tribes and the federal government. All 11 federally-recognized Tribes in Wisconsin have entered into Class III compacts with the State to operate a combined total of 23 gaming locations. Positive effects from gaming extend beyond reservation or trust land borders as Non-Native Americans have found employment in the gaming industry, often located in rural and economically challenged areas. Outside contracts generated from the gaming industry further fuel these economic impacts. The tourism industry has also benefited substantially from the existence of gaming facilities and the resort-related amenities that go along with this industry.

APPENDIX I: Public summary of the management plan

Main objectives of the forest management are:

Primary priority: income from harvesting and sales of roundwood

Secondary priority: biodiversity and increasing of nature values

Other priorities: recreation and outdoor activities; Providing hunting possibilities; prod. of firewood and other material for self

Forest composition:

Productive Forest Cover Types - Acres from 2007 Recon Data

Aspen	313,642	
Black Spruce	13,315	
Bottomland Hardwoods	42,807	
Central Hardwoods	142,913	
Cedar	37,266	
Fir-Spruce	23,833	
Hemlock-Hardwoods	16,070	
Jack Pine	25,490	
Northern Hardwoods	457,994	
Oak	440,845	
Red Maple	42,145	
Red Pine	113,525	
Scrub Oak	24,471	
Swamp Conifer	18,119	
Swamp Hardwoods	98,191	
Tamarack	21,663	
Walnut	5,715	
White Birch	18,774	
White Pine	65,814	
White Spruce	4,583	
Sub-Total, Productive Forest Types	1,927,175	

Other Identified Cover Types Acres

Aspen-Offsite	343	
Food Plots	712	
Upland Grass	12,666	
True Grasses	16,185	
Herbaceous Vegetation	9,061	
Low Growing Shrubs	711	
Marsh	3,907	
Muskeg Bog	2,851	
Emergent Vegetation	4,960	
Lowland Grass	13,918	
Herbaceous Vegetation	807	
Water	773	
Lowland Brush	5,589	
Lowland Brush Alder	25,347	

Bog Birch	5
Red Dogwood	590
Lowland Brush Willow	3,161
Minor Lake	5,030
Stream	1,941
Upland Brush	9,354
Rock Outcrop	684
Offsite Spruce	3,832
Right of Way	2,598
Sub-Total, Other Cover Types	125,025

Description of Silvicultural system(s) used:	
Silvicultural system	% of forest under this management
Even aged management	70 %
Clearfelling (clearcut size range 28 a. avg.; 2 to 50 a. range)	620,396 acres
Shelterwood	724,094 acres
Uneven aged management	30 %
Individual tree selection	539,878 acres
Group selection (group harvested of less than 1 ha in size)	42,807 acres
Other types of management (explain) Passive	200,000 acres

Harvest methods and equipment used: According to a University of Wisconsin study, only about a third (36%) of timber producers in the state relies on chainsaw-based operations. The rest (64%) are fully mechanized (Rickenbach, et al 2005). Of those operators who are mechanized, 61% are using an advanced cut-to-length (CTL) system. Twenty-three percent of the mechanized operators use the tree length system and the 14% remainder use a combination of CTL and tree length or other equipment.

Estimate of maximum sustainable yield for main commercial species: The Wisconsin MFL program averages 105,000 acres (42,492 Ha.) of timber harvests per year. The sales generate an estimated 713,000 cords of pulpwood and 47.6 million board feet of sawtimber annually. About 70% of these harvests occur on MFL Group land. DNR does not calculate an "allowable cut" for SLIMFs in the MFL Group, but statewide inventory figures indicate Wisconsin forests are growing 1.5 times more timber than is being harvested each year.

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.
Harvest figures are averages from 2000-2007 cutting reports.

FME organizational structure and management responsibilities from senior management to operational level (how is management organized, who controls and takes decisions etc.)
The Division of Forestry, created by 1999 Wisconsin Act 9, is responsible for the administration and implementation of programs that protect and manage the state's forest, including the MFL Group. Four hundred and fifty four (454) permanent, FTE positions are in the Division of Forestry, and about 210 of them have at least some private forestry assistance duties in their job descriptions. Time report analysis indicates about 94 FTEs are dedicated to "service forestry" activities, of which about 38 FTEs go into field administration of the MFL Group.

The organizational structure of the Division of Forestry is explained in the Forestry Operations Handbook (2420.5). Wisconsin is divided into five administrative regions. The

regional structure is designed to make it easier for the public to receive assistance from numerous service centers and to aid program supervision. Each DNR Region has a Regional Forester who serves on a statewide Forestry Leadership Team (FLT) and Area Foresters and Team Leaders who serve on a statewide Forestry Operations Team (FOT). Both FLT and FOT also have central office delegates from the Division of Forestry.

Certified Plan Writers (CPWs) prepare the majority of new MFL forest stewardship plans since the adoption of 2005 Wisconsin Act 25, although previous to that change about 95% of MFL plans were written by DNR foresters. A CPW is a private consulting forester certified by the DNR to write MFL plans. There are roughly 76 CPWs working throughout the state.

MFL plan writing and entry packet preparation follow protocols laid out in the Forest Tax Law Handbook. Foresters are provided detailed check lists to assure that all required plan components and related forms necessary for accurate property tax administration are included. The Department spends an average of six hours reviewing each MFL packet according to a 2007 internal issue brief.

While DNR foresters review and approve plans and cutting notices, each landowner is ultimately responsible for conformance to their forest management plan and MFL regulations. Failure to comply with requirements can result in significant fees assessed against the landowner and possible withdrawal from MFL.

Structure of forest management units (division of forest area into manageable units etc.) Each SLIMF parcel enrolled in the MFL Group stands on its own. To aid management planning based on ecosystem principles, however, DNR recognizes 16 ecological habitat types with 41 sub-classes which are described in the Ecosystem Management Handbook. Administrative functions are organized by Regions, Areas and Teams as noted above with county boundaries being the most common units.

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)
Forest reconnaissance data for all MFL Group parcels is collected in the field and summarized in the MFL recon database. Sub-systems known as PlanTrac and WISFIRS are used to monitor scheduled practices and update of stand data as practices are implemented or conditions change as a result of fire, drought, wind, insects or other factors.

DNR does not revisit group member parcels on any fixed time schedule. Instead, reinspections of individual tracts occur when scheduled mandatory practices come due or if the landowner requests cost-sharing assistance for mandatory or optional practices included in the forest management plan. Parcel information and forest data are updated if land is transferred to new owners who request modifications to meet their objectives. Large-scale catastrophic events such as tornados and pest outbreaks also trigger plan revisions.

Beyond the parcel level, DNR conducts numerous landscape-scale and regional studies related to broader environmental, social and economic issues. Examples include the Statewide Forest Strategic Plan, the Wildlife Action Plan, the Wisconsin Land Legacy Report, the Wisconsin Forest Sustainability Framework, Best Management Practices for Invasive Species, Use of Woody Biomass Task Force, Deer Impacts on Forest Ecology and Management Task Force, Wisconsin Ecological Landscapes Project, Endangered Resources Review and Planning, Statewide Forest Inventory and Analysis, Best Management Practices for Water Quality Monitoring and other DNR programs. DNR funds additional research projects conducted by the University of Wisconsin. DNR also partners

with external NOGs such as the Nature Conservancy, Wisconsin Wetlands Association, Wisconsin Audubon Society and many others on biotic monitoring. These are services that DNR can perform as a group manager that would be impossible or impractical for individual group members.

Environmental protection measures, e.g. buffer zones for streams, riparian areas, etc., protection measures for Rare Threatened and Endangered Species and habitat Forest management under the Managed Forest Law must conform to "sound forestry practices" including BMPs for Water Quality standards, Wisconsin Forest Management Guidelines, state and federal endangered species laws and administrative codes, and all other applicable environmental protection regulations.

The process and rationale used to determine the size and extent of representative samples: The group manager (WI DNR) has applied two general mechanisms, relevant to MFL properties, which assess, protect, and reserve ecologically viable representative areas. First, state NHI databases are queried during development of management plans for each MFL property and in selected cases immediately before harvest activities to determine known occurrences of RT&E species and natural communities on and adjacent to the property. Guidance for the protection of RT&E species and natural communities is included in management plans or associated documents when they are known to occur on the property. Selected management plans examined during the assessment, particularly those developed most recently, also include guidance for the protection of RT&E species and natural communities that potentially could occur on the property based on their presence within the surrounding landscape. This mechanism is appropriate to the scale of MFL properties (i.e., satisfied for small forests by meeting standards of Criteria 6.2 – see findings for 6.4.b below). Additionally, ≤20% of an MFL property may be excluded from active silviculture if deemed “unproductive” (e.g., non-forested wetlands, rock outcrops, prairies and other openings), effectively allowing these natural community types to be designated as reserves. Passive management areas are identified and mapped during management plan development. If greater precautionary measures than would be allowed under constraints of MFL productivity regulations are dictated, the option exists to exclude exceptionally sensitive forest areas from MFL designation. Many MFL properties also have important, effective reserves in wetland or riparian areas that have been conserved via mandatory application of water quality BMPs.

Second, WI DNR has a well-developed, program-wide system to protect and restore over 75 representative natural community types distributed across all 16 ecological landscapes of the state through its State Natural Area (SNA) program. SNAs are designed to protect 1) outstanding natural communities, 2) critical habitat for rare species, 3) ecological benchmark areas, 4) significant geological or archaeological features, and 5) exceptional sites for natural area research and education. Currently, there are over 400 protected SNAs distributed across 70 of Wisconsin’s 72 counties totaling over 150,000 acres. Therefore, many if not most MFL properties are in proximity to one or more SNAs. SNAs are protected by state statutes, administrative rules, and guidelines. An additional 229 areas across the state that have been deemed high priorities for conservation and protection have been identified through WI DNR’s Land Legacy Program. WI DNR also has conducted an analysis to determine the proximity of MFL lands to all public lands (county, state, federal) in the state.

High Conservation Value Forests: Various ecological and social assessments are developed for the planning and management of Wisconsin forests. Several are directly related to determining the presence of attributes consistent with HCVF.

Environmental databases utilized at various scales include: historic, current, and potential natural vegetation; historic and current fauna; invasive species; historic and current disturbance regimes; soils; geology and geomorphology; elevation and topography; hydrology and hydrography; climate; and human land use and cultural ecology.

The Wisconsin Natural Heritage Inventory (WNHI) identifies and inventories endangered, threatened, and special concern species, and classifies and documents rare community types.

Ecological classification systems applied to assessments include: National Hierarchical Framework of Ecological Units and Forest Habitat Type Classification System.

Broad-scale ecological and social assessments include: the Statewide Forest Plan and the Ecological Landscapes Handbook. Also, the Forest Stewardship Spatial Analysis Project, Wisconsin Bird Conservation Initiative, the Wisconsin Wildlife Action Plan and the Wisconsin Land Legacy Report provide assessments of important areas.

Specific assessments applied to the delineation of HCVF are: Regional Ecological Assessment, Community Restoration and Old-growth Assessment, and Biotic Inventory. Potential sites are evaluated and ranked by integrated teams of topical experts and managers. Management proposals for each specific area are developed. HCVF can be designated as state natural areas, native community areas, wild resource areas, and wild and wilderness lakes. If management guidelines for HCVF areas specifically recommend against disturbances caused by active forest management, the parcels would not typically be recommended for MFL designation if passive management would be needed on more than 20% of the parcel area.

Management guidelines are detailed in many of the aforementioned assessments, and also in DNR handbooks, including: Silviculture, Old-growth and Old Forests, and Ecological Landscapes.

Wisconsin forest areas that are generally designated HCVF include:

- Habitat containing endangered species.
- Rare ecosystems - forested
 - Relict Forest (reserved old forest)
 - Old-growth Forest (reserved old forest, managed old forest)
 - Mesic Cedar Forest
- Rare ecosystems – non-forested or sparsely forested
 - Pine Barrens
 - Oak Savannas
 - Prairies
 - Bedrock Glade, Felsenmeer, and Talus Forest
 - Coastal Plain Marsh
- Forests critical to watershed protection to maintain the supply and quality of water for human consumption.
- Forests critical to local communities' traditional cultural identity (e.g. archaeological sites, burial sites).

Other Wisconsin forest areas often considered for HCVF include:

- Habitat containing threatened species, special concern species, and other species of

greatest conservation need.

- Ecosystems and features of significant importance, special concern, and conservation need.

- Old Forest (reserved old forest, managed old forest, extended rotation forest)

- Hemlock Dominated Forest (especially old forest)

- White Pine – Red Maple Swamp (especially when old forest or nearly so)

- Natural Red Pine Forest (especially when old forest or nearly so)

- Near Boreal Forest (natural upland forests dominated by white spruce and balsam fir, with white pine, white birch, aspen, balsam poplar, or white cedar)

Forested Seeps

- Large blocks of contiguous forest

- > -To provide forest interior habitat

- > -In predominantly non-forested landscapes

- > -Near population centers

Note that active forest management practices may be consistent with some of these HCVF types.

Other Sections may be added by the FME (i.e. determination of representative samples)

APPENDIX II: FSC Reporting Form: Detailed FME information (Confidential)

Forest management enterprise information:

FME legal name:	Wisconsin Department of Natural Resources – Managed Forest Law Group
FME legal jurisdiction:	State of Wisconsin
Contact person (public)	Paul E. Pingrey, Forest Certification Coordinator
Address	WI DNR – Division of Forestry PO Box 7921 101 South Webster St Madison, WI 53707
Tel/FAX/email	Desk: 608-267-7595 FAX: 608-266-8576 paul.pingrey@wisconsin.gov

SCOPE OF CERTIFICATE

Type of certificate: group		SLIMF Certificate Low intensity SLIMF	
Group or Multiple FMU	Number of group members (if applicable): 40,702		
	Total number of Forest Management Units FMUs: 40,702 (if applicable, list each below):		
	FMU size classification within the scope:		
		# of FMUs	total forest area FMU group
	< 100 ha	40,471	2,070,346 acres
	100 – 1000 ha	231	95,925 acres
1000 – 10 000 ha		ha	
> 10 000 ha		ha	
	SLIMF FMUs	40,702	2,166,271 acres
List of each FMU included in the certificate:			
FMU	FMU Owner	Area	Forest Type
List available separately from SmartWood			

FSC Product categories included in the FM/CoC scope

<input checked="" type="checkbox"/>	Main Class	Sub Class 1	Subclass 2 or details
<input checked="" type="checkbox"/>	Logs/Wood in the rough	0311 - Logs of coniferous wood	
<input checked="" type="checkbox"/>	Logs/Wood in the rough	0312 - Logs of non-coniferous wood	
<input checked="" type="checkbox"/>	Logs/Wood in the rough	0313 - Fuel wood, in logs/other non proc forms	
<input type="checkbox"/>	3451 - Wood charcoal	34510 - Wood charcoal	
<input type="checkbox"/>	311 - Wood, sawn or chipped	3110 - Wood, sawn or chipped lengthwise,	

<input type="checkbox"/>	lengthwise, sliced or peeled, of a thickness exceeding 6 mm; railway or tramway sleepers (cross-ties) of wood, not impregnated	sliced or peeled, of a thickness exceeding 6 mm; railway or tramway sleepers (cross-ties) of wood, not impregnated	
<input type="checkbox"/>	312 - Wood continuously shaped along any of its edges or faces; wood wool; wood flour; wood in chips or particles	3123 - Wood in chips or particles	
<input type="checkbox"/>	Non Wood Forest Products	0392 - Plant parts/not flower-ornamental purposes	Parts of plants
<input type="checkbox"/>	Non Wood Forest Products	0193 - NTFP plants/parts for cosmetic, pharmacy, Essential Oils	0193b pharma
<input type="checkbox"/>	other		0193a perfume
Total Sales/ Turnover (3.3)		\$18,770,895.00 US\$	
Volume of certified product sold as FSC certified (3.2) (previous calendar year)		m3	
Value of certified product sold as FSC certified (3.2b) (previous calendar year)		US\$	

FME INFO		
Location of certified forests	Latitude: N 44 degrees 26.0 minutes Longitude: W 89 degrees 45.8 minutes	
Forest zone (2.3)	Temperate	
Certified Area under Forest Type (3.4)	Natural	
• Natural	876,677 hectares	
• Plantation	hectares	
• Semi-natural, mixed plantation and mixed forest	hectares	
Stream sides and water bodies (2.4)	3,200 Linear Kilometers	
Workers		
Number of workers including employees, part-time and seasonal workers:		
Total workers (3.6)	3154 workers (of which – provide detail below)	
• Local Full time employees (a:b)	Male	Female
• Non - Local Full time employees (c:d)	Male	Female
• Local Part time workers (e:f)	Male	Female
• Non- local part time workers (g:h)	Male	Female
Worker access to potable water on the work site (3.7)	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> NO
Full time employees making more than \$2 a day (3.10)	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> NO
Number of serious accidents (3.8)	116 total	
Number of fatalities (3.9)	1 total	

Species and annual allowable cut**

Botanical name	Common trade name	Annual allowable cut	Actual harvest (2005)	Projected harvest for next year
		m3	m3	m3

		m3	m3	m3
		m3	m3	m3
		m3	m3	m3
Total AAC (3.1)		m3	m3	m3
**Annual allowable cut is not calculated. Sustainability of timber harvests is based on managing stands using silviculture, including the use of volume control methods to partition partial cuts (e.g., thinnings).				
Total annual estimated log production:		1,922,237 m3		
Total annual estimates production of certified NTFP:		m3		
(list all certified NTFP by product type)		m3		

FOREST AREA CLASSIFICATION

Total certified area		2,166,271 acres
Total forest area in scope of certificate		2,166,271 acres
Ownership Tenure		Private ownership
Management tenure: (3.5)		private management
Forest area that is:		
Privately managed (3.5)	2,166,271 acres	
State managed (3.5)	ha	
Community managed (3.5)	ha	
Concession (3.5)	ha	
Area of production forests (areas where timber may be harvested)		1,932,932 acres
Area without <u>any</u> harvesting or management activities: strict forest reserves (2.1)		233,339 acres
Area without timber harvesting and managed only for production of non-timber forest products or services		ha

Area or share of the total production forest area regenerated naturally		1,793,917 acres
Area or share of the total production forest area regenerated by planting or seeding		139,015 acres
Area or share of the total production forest are regenerated by other or mixed methods (describe)		ha

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

Code	HCV TYPES ¹	Description: Location on FMU	Area (ha)
HCV1	Forest areas containing globally, regionally or nationally significant concentrations of biodiversity values (e.g. endemism, endangered species, refugia).		
HCV2	Forest areas containing globally, regionally or nationally significant large landscape level forests, contained within, or containing the management		

¹ The HCV classification and numbering follows the ProForest HCVF toolkit. The toolkit also provides additional explanation regarding the categories. Toolkit is available at <http://hcvnetwork.org/library/global-hcv-toolkits>.

	unit, where viable populations of most if not all naturally occurring species exist in natural patterns of distribution and abundance.		
HCV3	Forest areas that are in or contain rare, threatened or endangered ecosystems.		
HCV4	Forest areas that provide basic services of nature in critical situations (e.g. watershed protection, erosion control).		
HCV5	Forest areas fundamental to meeting basic needs of local communities (e.g. subsistence, health).		
HCV6	Forest areas critical to local communities' traditional cultural identity (areas of cultural, ecological, economic or religious significance identified in cooperation with such local communities).		
TOTAL HCVF AREA (2.2)			0
Number of sites significant to indigenous people and communities (3.11)			0

Highly Hazardous Pesticide Use		
FME has a valid FSC derogation for use of a highly hazardous pesticide	<input type="checkbox"/> YES (if yes, fill in below) <input checked="" type="checkbox"/> NO	
HH Pesticide (used in the last calendar year)	Amount used (in liters)	Hectares Treated
Number of FSC highly hazardous pesticides used in last calendar year (1.2)		
Liters of FSC highly hazardous pesticides (1.1a)	liters	
Number of hectares treated with FSC highly hazardous pesticides (1.1b)	hectares	

APPENDIX III: Certification standard conformance 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 conformance with all the requirements of the FSC P&C, except those already complied with at the group level. Based on the evaluation of conformance with each indicator, a conformance determination has been assigned. Conformance with indicators is determined by the entire assessment team through a consensus-based process. Where nonconformance 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:

Major CAR	Requirements that FME must meet <u>before</u> certification by SmartWood can take place.
Minor CAR	Requirements that FME must meet, within a defined time period (usually within one year), during the period of the certification,
Observation	Observations are very minor problems or the early stages of a problem which does not of itself constitute a nonconformance, but which the auditor considers may lead to a future nonconformance if not addressed by the client. An observation may be a warning signal on a particular issue that, if not addressed, could turn into a CAR in the future (or a pre-condition or condition during a 5 year re-assessment).

For each indicator presented below, the assessment team’s determination of conformance and relevant findings are presented. Where applicable, CARs or observations are referenced under the indicator and detailed in the note section of the applicable criterion. Note: where comments have been received from stakeholders about the client’s conformance related to a defined criterion, please include reference to related finding under the explanatory notes.

Lake States Standard v3.0

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.	
<i>Criteria and Indicators</i>	<i>Findings</i>
1.1. Forest management shall respect all national and local laws and administrative requirements	
Criterion Level Remarks: Minor nonconformance	
1.1.a. Forest management plans and operations comply with applicable Federal, state, county, tribal, and municipal laws, rules, and regulations.	Conformance with Indicator: Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A <input type="checkbox"/> Review of Management Plans demonstrated compliance with applicable laws and regulations applicable to the WI DNR and its MFL Program. Interviews with DNR field staff, consultants, landowners and loggers and field site visits demonstrated legal compliance. No county or municipal laws are in place due to a Wisconsin “Right to Practice Forestry” law.

	Non-compliance with OSHA safety laws and regulation by loggers were observed on two sites (CAR 01/08).
1.1.b. Forest management plans and operations comply with state Best Management Practices (BMPs) (see Appendix for references) and other government forest management guidelines applicable to the forest, both voluntary and regulatory (see also Criterion 6.5).	Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> Inspection of 66 field sites demonstrated overall compliance with forest management plans and Wisconsin Forest Management Guidelines. BMPs were apparently followed on potential group lands (see findings associated with Criterion 6.5 for a few exceptions found on three sites), but inspection of BMPs was limited due to heavy snow cover. This should be addressed in more detail in subsequent audits.
1.1.c. Forest management plans and operations meet or exceed all applicable laws and administrative requirements with respect to sharing public information, opening records to the public, and following procedures for public participation.	Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> All forest management plans under the MFL Program are public information and are available for public inspection from each County Forestry office.
NOTES: CAR 01/08: WI DNR's MFL program shall implement measures to promote implementation of staff safety policies; provide guidance to MFL landowners on OSHA requirements during timber harvesting; and develop reporting policies for observed OSHA violations. .	
1.2. All applicable and legally prescribed fees, royalties, taxes and other charges shall be paid	
Criterion Level Remarks: Conformance.	
1.2.a. Taxes on forest land and timber, as well as other fees related to forest management, are paid in a timely manner and in accordance with state and local laws.	Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> Inspection of WI DNR correspondence with landowners demonstrated that the DNR notifies the landowner in writing of the amount of Yield Tax that is to be paid, the date the payment is due and where it is to be sent. Contact information of the Forest Tax Administrative Assistant is provided. A Cutting Notice is required to be filed 30 days in advance of the harvest and sent to the respective County. Interviews indicated that if back-taxes have not been paid, they are assessed as part of the current timber sale.
NOTES: None.	
1.3. In signatory countries, the provisions of all the binding international agreements such as CITES, ILO conventions, ITTA, and Convention on Biological Diversity, shall be respected.	
Criterion Level Remarks: Conformance.	
1.3.a. Forest management operations comply with all binding treaties or other agreements to which the U.S. is a party, including treaties with American Indian tribes.	Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> The Audit Team determined that compliance with U.S. Federal Law constitutes compliance with the international agreements listed above. No violations of national laws related to international conventions were identified. The WI DNR and MFL owners are not commercializing species listed under CITES and is not in contravention of the Focal Areas of the Convention on Biological Diversity. The United States is a signatory country to these international agreements and has

	built safeguards into local, state, and national laws. By following the law, MFL owners are respecting international treaties and conventions.
1.3.b Forest owners or managers comply with ILO Labor Conventions impacting forest operations and practices and the ILO Code of Practice on Safety and Health in Forestry Work.	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>The Fair Labor Standards Act is considered a suitable substitute in the U.S. for ILO Conventions. The ILO Code of Practice on Safety and Health in Forestry work is addressed by the U.S. Occupational Health and Safety (OSHA) laws. See findings associated with Criterion 4.2 addressing compliance with OSHA rules and regulations.</p>
NOTES: None.	
<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><i>Applicability note to Criterion 1.4: When the certifier (i.e., the FSC-accredited certification body) and the forest owner or manager determine that compliance with laws and the FSC Principles cannot be simultaneously achieved, the matter is referred to FSC.</i></p> <p>Criterion Level Remarks: Conformance.</p>	
1.4.a. Where conflicts between laws and FSC Principles and Criteria occur, they are referred to the appropriate FSC body.	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>No conflicts between laws, regulations and the FSC P&C were identified while assessing the MFL properties.</p>
NOTES: None.	
<p>1.5. Forest management areas should be protected from illegal harvesting, settlement, and other unauthorized activities.</p> <p>Criterion Level Remarks: Conformance.</p>	
1.5.a. Forest owners or managers implement measures to prevent illegal and unauthorized activities in the forest.	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>The primary protection methods used by WI DNR and Cooperating Foresters to prevent illegal harvesting and other unauthorized activities on group properties is to clearly mark and paint property boundaries. The WI DNR supplies landowners and contractors with site maps showing stand and boundary locations, and discusses specific job requirements in pre-harvest meetings and walks with the landowner, cooperating forester and/or logging contractors. Periodic property visits during timber harvests by WI DNR foresters aids in being sure that timber harvest activities occur within property boundaries. No other unauthorized activities on MFL managed lands were observed during the assessment. Interviews indicated that timber trespass on MFL properties has been very limited. Survey results of potential group property landowners indicated that unauthorized use, in general, was common. Sixty four percent (64%) of survey respondents (total n=166) reported a significant incidence in at least one of the following unauthorized used categories: timber theft (n=14), boundary dispute (n=22), dumping (n=36), vandalism (n=23), trespass (n=69), and poaching (n=26). This issue, while</p>

	prevalent, needs to be continually addressed with an expectation that elimination of this problem is unrealistic.
NOTES: None	
1.6. Forest managers shall demonstrate a long-term commitment to adhere to the FSC Principles and Criteria.	
<i>Applicability note to Criterion 1.6: This criterion is guided by FSC Policy and Guidelines: Partial Certification for Large Ownerships (BM19.24), May 2000.</i>	
Criterion Level Remarks: Minor nonconformance.	
1.6.a. Forest owners or managers provide written statements of commitment to the FSC Principles and Criteria. The commitment is stated in the management plan [see 7.1], a document prepared for the certification process, or another official document.	Conformance with Indicator: Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A <input type="checkbox"/> WI DNR has not developed an official written statement of commitment to the FSC Principles and Criteria (CAR 02/08).
1.6.b Forest owners or managers document the reasons for seeking partial certification.	Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> WI DNR has stated that the FSC group will be the same, or nearly so, as the existing American Tree Farm Group of MFL lands (as described in this report). WI DNR presented descriptions of managed lands that would be excluded from the group certificate in the pre-assessment report (also see Appendix V). Lands to be excluded include: those MFL participants who opted out of the American Tree Farm group, those who opt out of this FSC group certification, large ownerships, Forest Crop Law participants, and all county and state forests. These exclusions hold self evident reasons for being excluded.
1.6.c Forest owners or managers document strategies and silvicultural treatments for several harvest entries that meet the FSC Principles and Criteria (see Principle 7).	Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> Inspection of MFL Plans demonstrated that managers document planned future silvicultural practices for several harvest entries. Future practices are reviewed prior to the activity and updated as part of the Cutting Notice.
NOTES: CAR 02/08: WI DNR shall develop a documented statement of commitment to the FSC Principles and Criteria.	

PRINCIPLE 2. TENURE AND USE RIGHTS AND RESPONSIBILITIES - Long-term tenure and use rights to the land and forest resources shall be clearly defined documented and legally established.	
<i>Criteria and Indicators</i>	<i>Findings</i>
2.1 Clear evidence of long-term forest use rights to the land (e.g. land title, customary rights, or lease agreements) shall be demonstrated. Forest managers shall demonstrate a long-term commitment to adhere to the FSC Principles and Criteria.	
Criterion Level Remarks: Conformance.	
2.1.a. Forest owners or managers document the legal and customary rights associated with the forest. These rights include both those held by the party seeking certification and those held by other parties.	Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> The WI DNR MFL program has documented the legal and customary rights associated with its member private forest ownerships. Legal ownership must be

	<p>clearly established as a requirement for landowner entry into the MFL program. Program requirement documentation was provided to the auditor.</p> <p>Under the MFL program, private lands can be open to the public for recreation (e.g., for hunting, fishing, cross-country skiing, sight seeing, and hiking) and taxed at a lower rate than lands closed to the public. Although closed lands also receive a reduced rate, it is higher than the rate for open lands. This documentation was established in the statute related to MFL and described in all forest management plans provided to the auditors.</p>
<p>2.1.b. Affected land boundaries are clearly identified on the ground by the forest owner or manager prior to commencement of management activities.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>As confirmed by auditor observations, boundary lines on active or recently completed forest management activities were either flagged or painted to delineate an area.</p>
<p>NOTES: None.</p>	
<p>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.</p> <p><i>Applicability Note: For the planning and management of publicly owned forests, the local community is defined as all residents and property owners of the relevant jurisdiction.</i></p>	
<p>Criterion Level Remarks: Conformance.</p>	
<p>2.2.a. The forest owner or manager allows legal and customary rights to the extent that they are consistent with the conservation of the forest resource and the objectives stated in the management plan.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>By law MFL program lands can now be closed to public access up to 160 acres per municipality (80 acres in entries dated 2004 and earlier).</p> <p>Under the MFL program, private lands can be open to the public for recreation (e.g., for hunting, fishing, cross-country skiing, sight seeing, and hiking) and taxed at a lower rate than lands closed to the public.</p> <p>While legal and customary activities may be permitted on forested properties in the MFL program, the landowner and their resources are protected by State statutes. These laws provide for a layer of protection for the resources as well as for achievement of the forest management plan objectives. There are two sets of laws used to prevent trespassing and fall under the Wisconsin Trespass Laws. One is the State civil or tort laws that allow landowners to sue trespassers for damages they cause while trespassing. The other is the statutory trespass rules that can impose a fine on trespassers. In cases where there may be burial sites on a landowner's property, the landowner is under no obligation to permit visitation to this site. However, Wisconsin's Burial Sites Law does place restrictions on how these sites should be handled, for example, in the case of site disturbing activities.</p>

	In addition, there are processes in place under this law for handling burial sites upon discovery.
<p>2.2.b. On ownerships where customary use rights or traditional and cultural areas/sites exist, forest owners or managers consult with concerned groups in the planning and implementation of forest management activities.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Consultation with individuals and groups are left to individual landowners, or their designated representatives (e.g., Cooperating Foresters), who will accommodate them within the strictures of the MFL program. In general, there are few claims of traditional or cultural uses on small, nonindustrial land ownerships in the MFL program and no consultation is necessary.</p> <p>There are cases where the tribes are directly connected to the MFL program. As a result, the WI DNR employees and the WI DNR Tribal Liaison and staff have made a concerted effort to work with tribes in a number of areas. Documentation was provided to the auditor on several of these communications and these relationships. For example, the Lac Courte Oreilles (LCO) Band of Lake Superior Chippewas Tribe has participated in the tax law program for at least 15 years. This came about when the Tribe began purchasing miscellaneous private nonindustrial and industrial Forest Crop Law and MFL properties within LCO tribal boundaries. The MFL private lands forester working out of the Hayward DNR office was assigned the responsibility for working with the Tribe on these lands.</p> <p>Relationships have gone beyond consultation. For example, a member the Ho Chunk Nation attended the Certified Plan Writer (CPW) training in August-October 2007. This person has submitted their paperwork for review to be certified. He went through the program to write MFL plans for the tribal lands.</p>
NOTES: None.	
<p>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.</p>	
<p>Criterion Level Remarks: Conformance.</p>	
<p>2.3.a. The forest owner or manager maintains relations with community stakeholders to identify disputes while still in their early stages. If disputes arise, the forest owner or manager initially attempts to resolve them through open communication, negotiation, and/or mediation. If negotiation fails, existing local, state, Federal, and tribal laws are employed to resolve claims of land tenure (see Glossary).</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>There are a number of tools the WI DNR and State have at their disposal for dealing with disputes of considerable or important magnitude that relate to unresolved and/or ongoing disputes over tenure and use rights for properties under the MFL program. The State has clearly defined and well developed case law and statutes regarding real property ownership and title (Wis. Stats. Chapters 840 and 841), including trespass to land (Wis. Stats. s. 943.13), adverse possession (Subchapter III of Wis. Stats. s. 893) and recreational liability limitations for property owners (Wis. Stats. s. 895.52), Ch. 840 (Real Property Actions) and Ch 841 (Declaration of Interest in Real Property) to show the process</p>

	<p>used in Wisconsin. This statutory framework informs all landowners in Wisconsin, including MFL landowners, of their respective rights and liabilities regarding landownership, and establishes a clear forum for resolving tenure and use rights. WI DNR wisely uses Wisconsin's justice system and legal framework to ensure that liens, encumbrances, ownerships, and use rights issues are, in fact, resolved. Additionally, the risk that liability or subsequent adverse ownership interests would interfere with the sound practice of forestry is significantly mitigated as a result of designation into the MFL program. This interest. "runs with the land," and begins to acquire a significant withdrawal tax incentive for the continued sound practice of forestry. Should a landowner be exposed to a liability beyond their assets, a significant withdrawal tax would mitigate against the land being withdrawn from the MFL program, since this would result in additional past tax liability falling on the already asset starved landowner.</p> <p>The MFL program foresters and its Cooperating Foresters maintain relationships with member landowners on a fairly regular basis. This was supported through field interviews with landowners and mail survey results. These contacts forge relationships that often lead to amicable strategies to resolve problems between the agency and landowner. Disputes are first handled on a face-to-face basis usually with the landowner and/or their representative. If disputes involve the landowner and the Cooperating Forester or another landowner, the WI DNR forester then may be asked to intervene but only for advice on how to resolve any disputes. The WI DNR and its foresters can not by law act as an agent for an individual in a dispute, nor can they negotiate for them as well. If there is a landowner dispute with another landowner there are traditional dispute resolution processes in place. For example, if the disputes revolve around boundary lines or adverse possession the circuit courts are equipped to handle these issues. In the case of trespass, the Wisconsin Trespass Laws serve to protect landowners.</p> <p>If issues arise between the WI DNR and the Tribes the document "State of Wisconsin, Consultation with Wisconsin's Indian Tribes" Section V. contains a section on problem resolution. Protocols are laid out in Sections <i>V.A. Initial Discussions</i>, <i>V.B. Issues Requiring Higher Level Involvement</i>, and <i>V.C. Issues Affecting More Than One Tribe</i>.</p>
<p>2.3.b. The forest owner or manager provides information to the certification body regarding unresolved and/or ongoing disputes over tenure and use-rights.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Unresolved or ongoing disputes on private lands enrolled in the MFL program are tracked in a number of ways. Aside from CCA (Wisconsin Circuit Court Access) found at http://wcca.wicourts.gov/index.xsl, which gives information for all pending circuit court cases in Wisconsin, there is no general real estate claim tracking system. However, for the purposes of MFL, the transfer form/acceptance along</p>

with copies of the deed is intended to verify cases of interest. The transfer form (http://dnr.wi.gov/forestry/ftax/forms/attachment_revised_2-05.pdf) requires, via the WI DNR's statutory authority found under Wis. Stats. s. 77.882) (d) 1. that the new landowner attaches the deed showing the current landowner, which will show any encumbrances on the property. This allows the WI DNR to use an extensive property record system that exists throughout all jurisdictions of the State. The WI DNR also keeps updated lists of all contested cases and civil litigation regarding various aspects of compliance and withdrawal of landowners within the MFL program.

The WI DNR provided information to the auditor regarding unresolved and/or ongoing disputes over tenure and use rights in regard to the MFL program. The first involves Leasing Prohibition. The 2007 Wisconsin Act 20 provided specific statutory provisions that prohibit the leasing of MFL program lands by landowners for recreational activities. The legislature's intent was to increase public access by removing the incentive for landowners to close those properties. As a result of this statutory change, the WI DNR has received a number of questions from various citizens and stakeholder groups within the MFL program regarding the application of these statutory changes to existing MFL designees, and some negative reactions. While the legality of the new statutory provisions is on solid ground, the public perception of the State "changing the terms" of what they view as a "contract" has led to public concerns about the equity of the new provision.

A second area concerns disputes that have existed with tribes in regard to public access. The WI DNR believes that tribes are aware of their requirement to provide public access, but the public may be staying clear of some tribal lands because of the perception that tribal lands cannot be accessed. The issue with the Stockbridge-Munsee lands where bear hunters were baiting was the most public issue that eventually did get resolved. This is no longer an issue. WI DNR legal staff and wildlife biologists met with tribal members and provided information on bear harvesting statistics. The tribe was mostly concerned about baiting and over-harvesting of bear. WI DNR was able to provide harvest statistics on age of bears harvested, size, and numbers. WI DNR explained that if over-harvesting of bears was taking place there would be smaller and younger bears harvested instead of what was currently being harvested. This statistical data seemed to satisfy the tribes and has not come up as an issue in 2007 or 2008.

A third area of contention arose over tax payments. This is a new issue that has come up after a 6th Circuit federal court of appeals ruling in Michigan (Wisconsin is in the 7th Circuit) in 2007 and is an issue that WI DNR is getting additional guidance on. The 6th Circuit ruling stated that all lands owned in fee simple (as

	<p>opposed to “trust lands” which are actually part of the reservation) by a tribal member is exempt from property taxes if within reservation boundaries. WI Department of Revenue has stated that they were not willing to challenge that application, and have come out with an interpretation exempting from property tax assessment all lands owned in fee simple ownership by tribal members within reservation boundaries. The WI DNR's position is that as long as lands are entered into the MFL program all landowners will be taxed and treated equally, meaning that tribal members who own MFL lands will be taxed and treated like other MFL landowners, although the WI DNR is evaluating this stance. Some tribes are paying their acreage share payments, but many tribal members of the Chippewa have returned their tax statements to the local municipality stating that they are tax exempt. Tribal leadership have begun a dialogue with WI DNR to ask whether they are tax exempt and what WI DNR's position is on the tax status of tribal member lands. In addition, the Tribes are exploring removal of these lands from the program if tax issues are not resolved.</p>
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NOTES: None.

<p>PRINCIPLE 3. INDIGENOUS PEOPLE'S RIGHTS - The legal and customary rights of indigenous peoples to own, use and manage their lands, territories, and resources shall be recognized and respected.</p>	
<p><i>Applicability Note to Principle 3: The terms "tribes", "tribal" or "American Indian groups" in indicators under Principle 3 include all indigenous people in the US, groups or individuals, who may be organized in recognized or unrecognized tribes, bands, nations, native corporations, or other native groups.</i></p>	
<p>Criteria and Indicators</p>	<p>Findings</p>
<p>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.</p>	
<p>Criterion Level Remarks: Conformance.</p>	
<p>3.1.a. On tribal lands, forest management and planning includes a process for input by tribal members in accordance with their laws and customs.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>While the MFL program deals with private lands, nothing precludes membership of tribal lands into the program. In fact, there are tribal lands enrolled in the MFL program. Tribal members can interact with WI DNR foresters and/or Cooperating Foresters to infuse their inputs into the forest management plan and its objectives. In one case a tribal member is seeking to become a Cooperating Forester and a CPW tied to the program. A member of the Ho Chunk Nation attended CPW training in August-October 2007. This person has submitted their paperwork for review to be certified. He went through the program with the intent of writing MFL plans for tribal lands. In this way tribal input on forest management and planning can also be incorporated into the program.</p>
<p>3.1.b. Forest management on tribal lands is delegated or implemented by an authorized tribal governing body.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>The MFL program is a private lands endeavor, thus no forest management occurs</p>

	on tribal lands unless they are enrolled in the MFL program. However, there are tribal lands in the MFL program and tribal representatives can enlist others to administer forest management plans or contractual work or do it themselves.
NOTES: None.	
3.2 Forest management shall not threaten or diminish, either directly or indirectly, the resources or tenure rights of indigenous peoples.	
Criterion Level Remarks: Minor nonconformance.	
3.2.a. Forest owners or managers identify and contact American Indian groups that have customary use rights or other legal rights to the management area and invite their participation in the forest planning processes, appropriate to the scale and intensity of the operation. (see also Criterion 4.4.)	Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> WI DNR has an extensive American Indian stakeholder list. Contacts by WI DNR and its Tribal Liaison and staff have been made with these individuals on a number of issues and for general communications. Documentation of these contacts was provided to the auditor. WI DNR employees and tribal representative have worked together and also worked to resolve any disputes when they arise.
3.2.b. Steps are taken during the forest management planning process and implementation to protect tribal resources that may be directly affected by certified operations such as adjacent lands, bodies of water, critical habitats, and riparian corridors as well as other resource uses such as rights to hunt, fish, or gather.	Conformance with Indicator: Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A <input type="checkbox"/> While statutes exist, and in some cases cultural resources have been protected and educational activities initiated in this regard, only a few MFL forest management plans have addressed tribal resources on a site-specific basis in forest management planning. WI DNR has developed a tribal consultation policy. However, it is unclear if it has been implemented on MFL group properties. Stakeholder consultation with tribal contacts indicated they have not been in contact with WI DNR regarding the MFL group. Additionally, the list of tribal contacts provided to the team contained outdated and incorrect information which indicated the consultation has not been implemented for the MFL program. (CAR 03/08). All indications are that when cultural, historical, and other sensitive sites are known all appropriate steps are taken by the WI DNR and its Cooperating Foresters to protect them from site disturbing activities, both as a matter of procedure and to comply with state and federal laws. In addition, adjoining ownerships, water bodies, and habitats in this regard, while not addressed directly in forest management plans, are indirectly protected through MFL program compliance with state and federal laws (e.g., BMPs, Clean Water Act).
NOTES: CAR 03/08: WI DNR's MFL program shall implement existing policies and procedures on consultation with tribes.	
3.3 Sites of special cultural, ecological, economic or religious significance to indigenous peoples shall be clearly identified in cooperation with such peoples, and recognized and protected by forest managers.	
Criterion Level Remarks: Minor nonconformance.	
3.3.a. Forest owners or managers make systematic efforts to identify areas of cultural, historical, and/or religious significance.	Conformance with Indicator: Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A <input type="checkbox"/>

<p>They invite participation of tribal representatives (or other appropriate persons, where tribal entities are lacking) in the identification of current or traditionally significant sites within the forest proposed for certification.</p>	<p>The Wisconsin Field Archaeology Act requires the WI DNR to contact the Wisconsin Historical Society if the WI DNR's actions may impact an archaeological site, burial site, or historic structure listed in cultural resource inventories. WI DNR's Bureau of Facilities and Lands, Archaeological and Cultural Resources makes use of the Wisconsin Historical Society inventories.</p> <p>Few historical or cultural sites were known to exist on the MFL program's small, nonindustrial, forest land ownerships. All MFL properties are screened for historical and archeological sites as per the procedure. Any archaeological sites are identified in the management plan. The MFL Management Plan Packet Review Checklist includes a check for this. This is adequate for sites that have already been identified. Private lands foresters and Cooperating Foresters have not been trained on the identification and protection of cultural and archeological sites to identify unmapped or unreported sites (CAR 04/08).</p> <p>WI DNR has developed a tribal consultation policy. However, it is unclear if it has been implemented on MFL group properties and if tribes have been contacted directly regarding identification and protection of potential sites of significance to them (CAR 03/08).</p>
<p>3.3.b. Forest owners and managers consult with tribal leaders (or other appropriate persons, where tribal entities are lacking) to develop mechanisms that ensure forest management operations protect from damage or interference those areas described in 3.3.a. and incorporate these special places into forest management and operational plans.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>WI DNR's Tribal Liaison and staff and other employees have consulted with tribal entities to develop strategies to protect from damage or interference those areas of cultural or historical interest. Documentation was provided on this. When these sites are known, the MFL program foresters and Cooperating Foresters will comply as a both as a matter of procedure and to comply with state and federal laws.</p>
<p>3.3.c. Confidentiality of disclosures is maintained in keeping with applicable laws and the requirements of tribal representatives.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>WI DNR's MFL program is committed to maintaining confidentiality in keeping with applicable laws and requests made by tribal representatives. The auditor was provided with a document from WI DNR's Forest Lands Section, Bureau of Forest Management, Division of Forestry that speaks of need for confidentiality by the Tribal Liaison in regard to sensitive information shared with tribes.</p>
<p>NOTES: CAR 04/08: WI DNR shall implement measures to train foresters working on properties in the MFL group in cultural resource identification and protection.</p> <p>See CAR 03/08 in Criterion 3.2</p>	
<p>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 is formally agreed upon with their free and informed consent before forest operations commence.</p>	

Criterion Level Remarks: Conformance.	
3.4.a. Forest owners or managers respect the confidentiality of tribal knowledge and assist in the protection of tribal intellectual property rights.	Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> The WI DNR MFL program does not use tribal knowledge unless the tribes utilize their knowledge on their lands enrolled in the MFL program. In this case, the confidentiality of tribal knowledge and any intellectual property rights would be protected if it was shared with the WI DNR forester.
3.4.b. A written agreement is reached with individual American Indians and/or tribes prior to commercialization of their indigenous intellectual property, traditional knowledge, and/or forest resources. The individuals and/or tribes are compensated when such commercialization takes place.	Conformance with Indicator: Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input checked="" type="checkbox"/> The WI DNR MFL program does not engage in the commercialization of indigenous peoples' intellectual property rights, traditional knowledge, and/or forest resources. As a result there were no written agreements to this effect and compensation was not applicable.
NOTES: None.	

PRINCIPLE 4. <u>COMMUNITY RELATIONS AND WORKERS' RIGHTS</u> - Forest management operations shall maintain or enhance the long-term social and economic well being of forest workers and local communities.	
<u>Criteria and Indicators</u>	<u>Findings</u>
4.1 The communities within, or adjacent to, the forest management area should be given opportunities for employment, training, and other services.	
Criterion Level Remarks: Conformance.	
4.1.a. Opportunities for employment, contracting, procurement, processing, and training are as good for non-local service providers as they are for local service providers doing similar work.	Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> The WI DNR does not discriminate for the purposes of employment between locals and those from other areas. Opportunities in its employment programs, services, and functions are guided by an Affirmative Action Plan. Training opportunities are available to all employees when it is justified and state budgets can support it. This was validated through an extensive number of interviews with WI DNR employees affiliated with MFL. Through the MFL program's statewide presence there are opportunities for local goods and service providers to bid on forestry-related contract work and provide services (e.g., development of forest management plans). Cooperating Foresters associated with the MFL program consist of a cadre of contractors, industry employers/employees, and forestry consultants and, as a result, have numerous work opportunities available to them. The CPWs are also permitted to write forest management plans when contracted by landowners. WI DNR has produced a booklet titled "Conducting a Successful Timber Sale, A Primer for Landowners." Section 4 is titled "Solicit bids and select winning bid."

	<p>This document provides some measure of consistency in terms of educating landowners and their agents on solicitation practices. However, some stakeholders have indicated out that not all counties provide equal and fair solicitation practices in accordance with established practices relative to bids for forest work (OBS 01/08).</p>
<p>4.1.b. Forest work is packaged and offered in ways that create quality work opportunities for employees, contractors, and their workers.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>The “2008 Directory of Foresters, DNR and Cooperating Foresters Serving Wisconsin Landowners” contains extensive lists of services offered by Cooperating Foresters (i.e., consulting and industrial foresters). Consulting foresters represent private landowners through contracts, while industrial foresters, employed by wood-using industries, provide assistance to private landowners to promote acceptable forest practices. These foresters operate under the MFL program guidelines and with the approval of the WI DNR. This has the effect of providing long-term and stable relationships among all parties.</p> <p>WI DNR private land foresters have a number of diverse tasks to perform requiring varying skills. Most apparent is their need to understand the details and procedures necessary to help enroll and facilitate private landowner participation in the MFL program. There is a need to also understand all related legislation key to the success of this program. They need to be skilled foresters to determine how well Cooperating Foresters and landowners are working together to manage the forest. WI DNR foresters also perform many other tasks which include technical and administrative assistance for cost sharing programs, timber sale marking (if declined by Cooperating Foresters), and referrals to Cooperating Foresters for various services.</p> <p>Each county in Wisconsin has a forester whose job is to serve private landowners. In many cases this involves facilitation of the MFL program. These positions provide opportunities for foresters to relocate when vacancies occur. In addition, these foresters are eligible to advance to the level of Area Forestry Leader and Regional Forestry Leader. There are also opportunities to advance to other positions within the WI DNR. The fact that a number of WI DNR foresters have been long employed is an indication of a level of satisfaction and also provides stability to the MFL program. Interviews with foresters confirmed their ability to upgrade their positions when opportunities present themselves.</p> <p>The WI DNR, Bureau of Forestry, training program is organized to provide basic and in-service training to all forestry employees. The “Forestry Training Handbook” outlines training and recordkeeping procedures. Beyond special requests to seek out specific training related to forest management, planning, and facilitation, there</p>

	<p>were a number of WI DNR training opportunities available in the realm of employee education and human dimensions. New employees are required to participate in the New Employee Orientation program. Also, on the human resource side all permanent employees are required to take, within five years of employment, a workshop on Perspective Communications and one on Perpetual Thinking Patterns. A course called Crucial Conversations, which is a best management practices in communication course, is available in-house at the WI DNR four times a year. Also available is the WI DNR Leadership Academy and the WI DNR Aspiring Supervisor Assessment Program. The breadth and depth of these programs are important to the success of the MFL program due to the high level of communications required with the public (i.e., private landowners) and the business world (e.g., forestry consultants, wood using industries, merchants, other landowners).</p>
<p>4.1.c. Forest owners or managers contribute to public education about forestry practices.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>The WI DNR, as a public agency engages in a wide variety of public education programs. A number of publications are produced to provide information to MFL participants and the general public. These publications and forms are listed in the WI DNR Forestry Publications Index. The WI DNR Forestry Publication Catalog also lists offerings that contribute to this public education effort.</p> <p>The WI DNR also supports the research-based educational outreach programs of the University of Wisconsin, in particular University of Wisconsin Extension (UWEX). UWEX offers a variety of programs, many of which involve forestry and wildlife related topics.</p> <p>The WI DNR produces the Emmy Award winning children’s television program titled “Into the Outdoors.” Another educational opportunity that utilizes the forest for education is the Wisconsin Environmental Education Board’s (WEEB) Grant Program Forestry Category. These grants are a part of many statewide initiatives to promote forestry education. One area where grants can be applied, with relevance to the MFL program, is to conduct workshops on private woodland management.</p> <p>The WI DNR also sponsors recreational safety education classes to educate the public on how to be safe, knowledgeable, and responsible in their recreational pursuits. The Law Enforcement Safety Education Program includes introductory classes on boating, snowmobile, ATV, hunter, and bow hunter education.</p>
<p>4.1.d. Forest owners or managers participate and invest in the local economy and civic activities.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>MFL is invested in the local economies of towns and counties in the State. There</p>

	<p>are MFL private land foresters in every State county and nearly 30,000 landowner participants in the MFL program, covering almost 40,000 land holdings. Due to requirements for managing the forest and, in some cases, the provision of recreational opportunities on these lands, many rural areas benefit greatly from the MFL program. The economic impacts generated from the program affect, in a positive way, all sectors of the county economies. For example, a good deal is spent on non-forestry related purchases such as insurance and recreational related accessories. Also adding to this are purchases made to support offices and facilities maintained by the WI DNR.</p> <p>An indirect investment to the local economies of the State can be attributed to the tax savings landowners receive from the MFL program. The average property tax savings are significant, about an 83% average <i>net</i> reduction compared to general property taxes according to a 2007 Wisconsin Department of Revenue (DOR) report. That translates to a net tax savings of over \$56 million annually for all MFL participants (about 70% of the tax reductions accrue to members of the MFL-American Tree Farm Certified Group).</p> <p>Interviews with WI DNR foresters associated with counties sampled during the audit, also provided an indication that many of them are involved in professional (e.g., SAF) and civic activities that benefit these towns and counties. Also involved in these types of activities are the Regional and Area Forestry Leaders. Specifically, Division of Forestry employees are assigned as liaisons to important MFL stakeholder groups. Central office specialists regularly attend meetings of the Wisconsin Woodland Owners Association, Wisconsin Family Forests, Woodland Leaders Institute, Wisconsin Tree Farm Committee, and others who provide input on MFL administration. At a local level, WI DNR private land foresters are technical members of county Land Conservation Committees, Farm Service Agency working groups, and many local conservation organizations. WI DNR foresters involved with the MFL program also attend County Board, County Forestry Committee, and Town Board meetings.</p>
<p>4.1.e. Employee compensation and hiring practices meet or exceed the prevailing local norms for work within the forest industry that requires equivalent education, skills, and experience.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Employee compensation (e.g., remuneration, benefits) meets or exceeds the prevailing local norms for work within the forest industry that requires equivalent education, skills, and experience. Since WI DNR is a state agency, compliance with laws, and the avoidance of discrimination in these areas is minimized. Opportunities in its employment programs, services, and functions are guided by an Affirmative Action Plan. Employees receive comparable pay and benefits for similar work in the region. An interview with a human resource employee described the process for hiring and determining salaries for new foresters. In addition</p>

<p>4.1.f. Forest owners or managers assure that contractors, subcontractors, intermediaries, and persons hired by them are covered and protected by all state and Federal labor laws regarding discrimination, wages, benefits, and other conditions of employment.</p>	<p>documentation on the process was also provided to the auditor.</p> <p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>The WI DNR does not have direct control over contractors but can exert its influence on contractor activities by monitoring compliance on the part of the landowner with MFL program regulations. Contractors negotiate with landowners and not the WI DNR; however, private lands foresters attempt to monitor compliance with all state and federal laws related to contractors. The WI DNR also relies on federal and state statutes, administrative codes, and licensing requirements to ensure contractor compliance. The WisFIRS program will greatly assist in the monitoring of all activities in the MFL program.</p> <p>Contractors are bound by a number of Wisconsin State Statutes. Examples include Chapter 94, Stats.-Pesticides, which regulates the sale, handling, and use of pesticides; Chapter 348, Stats.-Vehicles, Size, Weight, and Load (SS. 348.17, 349.15, and 349.16, Stats.-Special or Seasonal Weight Limitations); and Chapter 292, Stats.-Remedial Action (S. 292.11, Stats.-Hazardous Substances Spills). Private sector legal requirements for safety follow Occupational Safety and Health Administration (OSHA) standards and are dealt with by the federal government (i.e., U.S. Department of Labor) and state government (i.e., Wisconsin Department of Workforce Development). WI DNR's private lands foresters, as state employees, are mandated to follow all applicable state and federal laws. Wisconsin state public employees are governed by OSHA requirements and standards.</p> <p>Wisconsin oversees Workmen's Compensation for the private sector which would include contractors. Wisconsin state public employees are also covered by Workmen's Compensation under provisions administered by the Wisconsin Department of Workforce Development.</p> <p>The WI DNR, as a state agency is mandated to avoid discrimination of any kind related to its workforce. Opportunities in its employment programs, services, and functions are guided by an Affirmative Action Plan.</p>
<p>NOTES: OBS 01/08: WI DNR WI DNR should evaluate the equality and fairness of solicitation practices relative to bids for forest work across the State.</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: Minor nonconformance.</p>	
<p>4.2.a. The forest owner or manager and their contractors develop and implement safety programs and procedures.</p>	<p>Conformance with Indicator: Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A <input type="checkbox"/></p> <p>As a state agency, the health and safety of WI DNR employees is not only mandated but considered a priority. For example, health-related information is</p>

	<p>given to all employees and further information is provided through various publications put out by the State and specifically the WI DNR. The “Wisconsin Forest Management Guidelines” cover safety issues for all activities related to forest operations. In addition, classes are available and required for all new employees and cover safety issues. All private lands foresters are required to have safety kits and cell phone communications in their vehicles. Field audits determined that this was the case.</p> <p>Beyond various publications and office workplace postings, safety procedures are documented in the Forestry Training Handbook. The WI DNR, through their recordkeeping requirements also document all safety incidences that occur relative to their employees.</p> <p>Field audits found contractor equipment to be well-maintained and appropriate to the task being performed in the forest. In addition, vehicles used by the WI DNR private lands foresters were in good working order. However, field audits found lapses in safety precautions among some WI DNR employees not wearing hard hats on active logging jobs and for some contractors in some areas on active harvesting sites (CAR 01/08).</p>
<p>NOTES: see CAR 01/08 in Criterion 1.1</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 Labor Organization (ILO).</p> <p><i>Applicability Note to Criterion 4.3: Compliance with this criterion can be accomplished with guidance from FSC Certification and ILO Conventions: FSC Policy Paper and Guidelines. May 20, 2002.</i></p>	
<p>Criterion Level Remarks: Conformance.</p>	
<p>4.3.a. Forest workers are free to associate with other workers for the purpose of advocating for their own employment interests.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>WI DNR MFL’s employees and other forest workers are free to associate with other workers for the purpose of advocating for their own employment interests. This is most prominently set in place with the presence of a union for employees and their union representative.</p>
<p>4.3.b. Forest owners or managers and their contractors develop effective and culturally sensitive mechanisms to resolve disputes between workers and management.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>The WI DNR has a dispute resolution process outlined in their Private Forestry Handbook for disputes involving the WI DNR and the Cooperating Foresters. The policy was provided to the auditor. Initial steps toward resolution require the WI DNR private lands forester and the Cooperating Forester engage in a dialogue to sort out the issues of contention. If, within a week a resolution is not at hand the complaint rises to the level of first-line DRN supervisor and the Regional Forestry Leader for a period not to exceed 60 days. If agreement is not reached the last</p>

	<p>step requires that the issue be brought forward to a Dispute Resolution Panel appointed by the Chief State Forester. The panel consists of a DNR Regional Forestry Leader (outside the region where the dispute originated), a Cooperating Forester, and a member of the Society of American Foresters. The Panel's recommendation goes to the Chief whose decision is final. Interviews during the audit found that there are few disputes of this nature relative to the size of the MFL program.</p> <p>The WI DNR offers a wide variety of workshop and training sessions to employees to develop communication skills. These programs serve to orient employees and management and employees and Cooperating Foresters on a wide variety of human resource issues. These programs are aimed to be proactive on human interactions, and also preventative in nature so as to avoid potential conflicts due to gaps in communications.</p>
NOTES: None.	
<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>	
<p><i>Applicability Note to Criterion 4.4: People and groups directly affected by management operations may include: employees and contractors of the landowner, neighbors, fishers and hunters, recreationalists, users of local water, and processors of forest products.</i></p>	
<p>Criterion Level Remarks: Minor nonconformance.</p>	
<p>4.4.a. On lands with multiple owners, a process is provided that assures the opportunity for fair and reasonable input from the landowners and/or shareholders.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>The MFL program, which is based on reducing property taxes for private landowners, has been established to ensure that all landowners of a property are informed and in agreement with any arrangements entered into by participants with the WI DNR. Agreements will not be executed if one or more parties object to program entry.</p> <p>Another measure of protection in the MFL program is the requirement for the seller(s) or purchaser of timber to file a cutting notice and reports to the appropriate WI DNR forester. This allows for an examination and opportunity for inputs from landowners (sole or multiple owners) or WI DNR foresters on any action before they are approved.</p>
<p>4.4.b. Input is sought in identifying significant sites of archeological, cultural, historical, or community importance, that are to be designated as special management zones or otherwise protected during operations.</p>	<p>Conformance with Indicator: Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A <input type="checkbox"/></p> <p>There is no program-wide effort to ensure that steps are taken to identify significant sites of archeological, cultural, historical, or community importance (CAR 04/08).</p>
<p>4.4.c. Viewpoints and feedback are solicited from people and groups directly affected by forest management operations and its</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>

<p>associated environmental and aesthetic effects (e.g., logging, burning, spraying, and traffic). Significant concerns are addressed in management policies and plans.</p>	<p>The MFL program was initially developed by a Wisconsin Legislative Council Committee appointed by the State legislature to include representation from diverse forestry stakeholders. All Administrative Rules that interpret the statutes were developed by WI DNR according to strict rules for public input at NRB meetings and NRB authorized hearings. The State legislature must also review rule proposals. Any citizen can address the NRB about problems or concerns they have regarding MFL administration. WI DNR regularly seeks the advice of the statutory Council on Forestry in matters related to MFL administration. The Council is appointed by the Governor and includes representatives from conservation organizations, state agencies, industry, labor, local governments, the university and other groups.</p> <p>The Forest Tax Section interacts on a daily basis with local town and county officials to maintain an accurate MFL participant database. Local municipalities rely on accurate MFL master lists to maintain their tax rolls. Local officials are also very helpful about informing WI DNR of unlawful partitions or developments on MFL parcels and ownership changes.</p> <p>Almost 47% of MFL landowners and 57% of Cooperating Foresters said they interact with or notify adjacent forest landowners relative to their forest operations. Only 6.5% of MFL private lands foresters extend notification. Prior to any harvesting activity on a property, the landowner must file a cutting notice which undergoes a 30 day review period by the WI DNR to make sure the proposed actions comply with the forest management plan.</p> <p>Eleven WI DNR Area Foresters or Team Leaders around Wisconsin serve as liaisons to Native American tribes. The WI DNR Tribal Liaisons hold informal meetings with tribal representatives to discuss issues of concern.</p>
<p>4.4.d. Forest owners or managers of large and mid-sized (see Glossary) forests provide opportunities for people directly affected by management operations to provide input into management planning.</p>	<p>Conformance with Indicator: Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input checked="" type="checkbox"/></p> <p>This WI DNR MFL program group is composed of small, private forest land ownerships.</p>
<p>4.4.e. For public forests, consultation will include the following components:</p> <p>Note: 'The public' includes people and groups directly affected by management operations and all citizens of the relevant jurisdiction.</p> <p><i>Applicability Note: For the purposes of indicator 4.4.e each numbered component should be scored separately.</i></p>	<p>Conformance with Indicator: Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input checked="" type="checkbox"/></p> <p>The WI DNR MFL program is composed of small, private forest land ownerships.</p>

<p>1. Legislative and historical mandates are included in the plan, and provisions are made for their accomplishment.</p> <p>2. Clearly defined and accessible methods for public participation are provided in both the strategic (long-range) and tactical (short-range) planning processes, including initial adoption and subsequent amendments.</p> <p><i>Applicability Note: Strategic plans may be very general. Tactical plans are specific and describe candidate stands for proposed silvicultural activities.</i></p> <p>3. Public notification is sufficient to allow interested citizens of the affected jurisdiction and/or other people and groups directly affected by management operations the chance to learn of upcoming opportunities for public review and/or comment on the proposed management.</p> <p>4. The final planning decisions are based on legal mandate, public input, credible scientific analysis, and the productive capacity of the land and are made by professional employees, hired by the public, or other legally authorized parties.</p> <p>5. An accessible and affordable appeals process to planning decisions is available.</p> <p><i>Note: FSC certification does not preclude any individual or group from seeking legislative or judicial relief.</i></p>	
<p>NOTES: See CAR 04/08 associated with Criterion 3.3</p>	
<p>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 livelihood of local peoples. Measures shall be undertaken to avoid such loss or damage.</p>	
<p><i>Applicability Note to Criterion 4.5: Provisions of Criterion 4.5. do not evoke protections or liabilities beyond those provided by U.S., state, and local laws.</i></p>	
<p>Criterion Level Remarks: Conformance.</p>	
<p>4.5.a. The forest owner or manager attempts to resolve grievances and mitigate damage resulting from forest management activities through open communication and negotiation prior to legal action.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>The WI DNR offers a wide variety of workshop and training sessions to employees to develop communication skills. These programs serve to orient employees and management and employees and Cooperating Foresters on a wide variety of</p>

	<p>human resource issues. These programs are aimed to be proactive on human interactions, and also preventative in nature so as to avoid potential conflicts due to gaps in communications. However, WI DNR should take further action to investigate and mitigate indications, provided by surveys and interviews, that Cooperating Foresters and private lands foresters were having some difficulties with each other (OBS 02/08).</p> <p>Key dispute resolution policies covering issues related to the MFL program can be found in the document "How do I Appeal a Forest Tax Law ("FTL") Decision?" which covers person with land enrolled under all Forest tax Law programs (which includes the MFL) and other persons affected by these programs that disagree with program decisions. Rights are provided for these affected parties to appeal decisions through a circuit courts judge or administrative law judge to review the decision. Documentation of this appeals process and the procedures involved were provided to the auditor.</p>
<p>4.5.b. Forest owners or managers and their contractors have adequate liability insurance.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>WI DNR is self-insured. While State law does not require that contracts with loggers have liability insurance WI DNR foresters educate and promote the advantages to forestry consultants that they and the loggers carry liability insurance or post bonds. Educational programs and a suggested contract are used in these activities. In the publication, "Wisconsin Forest Management Guidelines" under Appendix B, Sample timber Sale Contract, there is a section titled "Liability and Insurance." Under part 36. of the sample contract, there is language to the effect that the purchaser of timber will agree to furnish the seller with a certificate of public liability insurance covering the period of logging operations on the seller's property for \$1 million single limit liability for personal injury, or \$1 million bodily injury per person, and \$1 million per occurrence; and \$100,000 for property damage.</p> <p>As previously stated enforcement of liability insurance is not under the control of the WI DNR MFL program. Since the contract is between the landowner and consultant and/or landowner or consultant and logger, WI DNR foresters do not regularly look at contracts; however, there needs to be some accountability and monitoring in this area (OBS 03/08). Several stakeholders mentioned that landowners do not usually request liability insurance certificates when selecting loggers; however, several forestry consultants (i.e., Cooperating Foresters) interviewed have fairly stringent requirements for liability insurance for their loggers. A logger is a stumpage purchaser and not a contractor and therefore, not required in this indicator to have liability insurance.</p>
<p>NOTES: OBS 02/08: WI DNR should continue efforts and take necessary measures to improve relations between Cooperating Foresters and private</p>	

lands foresters.

OBS 03/08: WI DNR should develop a system to verify and present credible evidence that private foresters and loggers associated with the MFL program have adequate liability insurance.

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.

Criteria and Indicators

Findings

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.

Applicability Note to Principle 5: Non-timber forest products are managed and produced according to Guidelines for Non-timber Forest Product Management in Appalachia (see Appendix A).

Criterion Level Remarks: Conformance.

5.1.a. The forest owner or manager is willing and able to support long-term forest management (i.e., decades rather than quarter-years or years), such as planning, inventory, resource protection, and post-harvest management activities.

Conformance with Indicator: Yes No N/A

A critical, positive effect of the MFL program is the commitment of landowners to long-term forest management. All participants in the MFL program effectively engage in a 25- or 50-year contract defined by a management plan and associated, stand-level mandatory practices. Forest reconnaissances are conducted at the time of management planning and in association with timber harvest operations. Stand density and structure are estimated during these reconnaissance trips, usually based on expert opinion rather than quantitative methods. Resource protections are made in the form of regular application of BMPs (including post-harvest closeouts, control of residual stand damage associated with tree felling and skidding (or forwarding)), and conservation of special sites. Post-harvest management activities have been adequately supported by WI DNR forester-regulated activities to sign off on the closure of timber harvest activities via the Cutting Report.

5.1.b. Responses (such as increases in harvests or debt load) to short-term financial factors (such as market fluctuations and sawmill supply requirements) are limited to levels that enable fulfillment of the management plan.

Conformance with Indicator: Yes No N/A

Effectively all (99/100) stands reviewed during the audit had silviculture applied to guide the timber harvest, which means that any responses to short-term financial factors (if any) were limited to levels that enable fulfillment of the management plan.

5.1.c. Investment and/or reinvestment in forest management are sufficient to fulfill management objectives and maintain and/or restore forest health and productivity.

Conformance with Indicator: Yes No N/A

In general, adequate investments are made by landowners, through their consulting foresters, as overseen by WI DNR foresters, in planning, reconnaissance, resource protection, and post-harvest management activities to fulfil management objectives.

	<p>Forest condition were observed that, with only one exception out of over 100 stands visited, indicated Investment and/or reinvestment in forest management were sufficient to fulfil management objectives and maintain and/or restore forest health and productivity. Forest stand improvement activities were the normal outcome of silviculture as applied to the examined forests. Formal, timber stand improvement treatments (i.e., TSI) and planting of native conifers (see findings associated with Principle 10) were observed to be regularly practiced on MFL lands.</p>
<p>NOTES: None.</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: Conformance.</p>	
<p>5.2.a. Opportunities are given to local, financially competitive, value-added processing and manufacturing facilities.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>The complex of landowners and consulting foresters in the potential group produce timber products in a normal manner for the northern forest regions of the United States, meaning that timber sales are offered to bring the landowner the most benefit. Optimal use and local processing of forest products is the usual outcome of this arrangement. Additionally, since all of the MFL potential group lands are small scale, there are many opportunities for small businesses to operate forestry activities on potential group lands. One or two person mechanized operations (e.g., feller-forwarder) were observed on some jobs during the field assessment, as well as large, many-person, feller / forwarder operations (primarily in northern Wisconsin).</p>
<p>5.2.b. When non-timber products are harvested, the management and use of those products is incorporated into the management plan.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Under MFL, lands managed primarily for solely non-timber forest products forest purposes are ineligible for entry. MFL has no formal policies or procedures for NTFPs because there has been no interest from landowners. However, MFL has indicated they will develop NTFP policies, if needed. Non-timber forest products are addressed in management plans if the landowner expresses associated objectives.</p>
<p>5.2.c. New markets are explored for products from common but underutilized forest species.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Most landowners, via their agent (usually a consulting forester), sell stumpage via an open market. It was clear in the field assessment that most landowners are selling low-grade logs and small diameter stems in all regions of Wisconsin, in addition to high-quality sawtimber.</p>
<p>NOTES: None.</p>	

5.3 Forest management should minimize waste associated with harvesting and on-site processing operations and avoid damage to other forest resources.	
Criterion Level Remarks: Conformance.	
5.3.a. Adequate quantities and a diversity of size classes of woody debris (considered a reinvestment of biological capital under this criterion—not an economic waste) are left on the forest floor to maintain ecosystem functions, wildlife habitats, and future forest productivity.	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Most of the stands on potential group lands are maturing, even-aged stand with amounts of woody debris normal for an early aggrading phase of succession (low amount, small diameters). Timber harvesting in these stands has usually been thinnings to promote the development of high quality sawtimber, or thinnings with small group openings to promote the development of uneven-aged conditions. Clearcutting is used periodically on group lands. Tree tops are generally left in the stand as feller / processor / forwarder harvesting systems or conventional chainsaw / skidder (log length) operations are the norm. The quantity and diversity of woody debris associated with these operations is adequate to maintain ecosystem functions, wildlife habitats, and future forest productivity.</p>
5.3.b. The loss and/or waste of merchantable forest products is minimized.	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Felled trees were observed to be processed in the woods in ways that optimized product yields, yet conserved woody debris on site for ecosystem functions, wildlife habitat and conservation of site quality (see findings associated with Criterion 5.3.a). Waste from processing trees on the landing was observed to be minimal and often non-existent.</p>
5.3.c. Harvest practices minimize residual stand damage.	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>The field audit was conducted during the later stages of the winter harvest seasons. Soils were frozen and compaction and rutting were virtually non-existent. Additionally, much of Wisconsin has gentle topography that facilitates forestry operations that minimize residual stand damage. Those few jobs that had unacceptable residual stand damage (less than 10% of operations), either to the trees or to the soils, were generally a function of poor decisions by the operator and lack of oversight by the WI DNR forester and/or consulting forester (see findings associated with Criterion 6.5 and Indicator 8.2.d.1).</p>
NOTES: None.	
5.4 Forest management should strive to strengthen and diversify the local economy, avoiding dependence on a single forest product.	
Criterion Level Remarks: Conformance.	
5.4.a. Forest management diversifies forest uses and products, while maintaining forest composition, structures, and functions.	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Landowner uses of the forest are primarily for recreation. The MFL program adds an emphasis on timber production. Diverse trees communities were observed to have been fostered on each property to provide for these uses. This diversity of</p>

	forest composition and structure (variation in tree size and within property forest cover, one stand vs. another) leads to robust and diverse functions and processes. Multiple forest uses and values are being maintained, and included wildlife habitat for various organisms as well as aesthetics.
NOTES: None.	
5.5 Forest management operations shall recognize, maintain, and, where appropriate, enhance the value of forest services and resources such as watersheds and fisheries.	
Criterion Level Remarks: Conformance.	
<i>Note: The Working Group considers this Criterion sufficiently explicit and measurable. Indicators are not required.</i>	Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> Each property within the potential group is relatively small and their management will have concomitantly small impact on watersheds and fisheries. Yet, the consistent application of BMPs (with some exceptions—see findings associated with Criterion 6.5) on MFL lands indicates the recognition and maintenance of forest services. WI DNR regulates timber harvest operations in the MFL program to follow Wisconsin BMPs, which includes specific guidance and protection regarding conservation of water resources, including specific, appropriate guidance on riparian zones
NOTES: None.	
5.6 The rate of harvest of forest products shall not exceed levels that can be permanently sustained.	
Criterion Level Remarks: Conformance.	
5.6.a. The sustainability of harvest levels is based on growth and regeneration data, site index models, soil classification, and/or desired future conditions. The required level of documentation is determined by the scale and intensity of the operation.	Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> Documented growth and regeneration data, site index models, site productivity, desired future condition, and natural disturbances are not formally considered when determining the level of harvest. However, since MFL members are small NIPF, this type of formal establishment of harvest levels is not required. The informal methods used on potential group member properties, as follows, are adequate. Sustainability of timber harvests is based on managing stands using silviculture, including the use of volume control methods to partition partial cuts (e.g., thinnings). Remarkably small, even-aged reproduction cuts (e.g., clearcut, coppice with standards, shelterwood) are being regularly used on potential group lands, which will lead to long-term opportunities for wood products. Many properties are being converted from even-aged to uneven-aged stands where the sustainability of harvests is a function of balanced, within stand tree and age distribution (the Arbogast pattern of distributing age classes in uneven-aged stands is followed on MFL lands).
5.6.b. After the species composition and the age-class (see Glossary) distribution commensurate with long-term sustainability have been achieved, harvest and growth records demonstrate that	Conformance with Indicator: Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input checked="" type="checkbox"/> Regulation of age classes across a forest is applicable for mid-sized or large-sized

<p>the volume harvested during any 10-year span is less than the net growth accumulated over that same period. Exceptions to this constraint may be granted to forest owners or managers whose periodic cycle of re-entry is longer than 10 years. In such cases, allowable harvest is determined by examining the volume of re-growth and removal since the previous harvest and the forest owner or manager's commitment to allow an equivalent amount of re-growth before additional harvests.</p>	<p>forest landowners. Since the potential certified group members are small landowners, such regulation is not warranted, and consideration of harvest and growth balances over time are not applicable. Additionally, it is unlikely that any property is harvesting at levels that exceed growth.</p>
<p>5.6.c. If rates of harvest are temporarily accelerated to compensate for or prevent unacceptable mortality, or in cases of salvage operations (see Indicator 6.3.c.4), the rate of future harvest is recalculated accordingly to meet desired future conditions, and the adjusted rate of harvest is implemented within three years of the temporary acceleration.</p>	<p>Conformance with Indicator: Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input checked="" type="checkbox"/></p> <p>Since the potential certified group members are small landowners, such regulation is not warranted, and consideration of harvest and growth balances over time are not applicable. Additionally, by using silviculture as a guide for harvest levels, if a salvage operation occurs, future harvests will automatically be reduced to adjust.</p>
<p>NOTES: None.</p>	

<p>PRINCIPLE 6. ENVIRONMENTAL IMPACT- 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.</p>	
<p><i>Criteria and Indicators</i></p>	<p><i>Findings</i></p>
<p>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.</p> <p><i>Applicability Note: Small forest owners or managers who practice low intensity forestry may meet this requirement with brief, informal assessments. More extensive and detailed assessments (e.g., formal assessments by scientists) are expected by large forest owners or managers and/or those who practice more intensive forestry management (see Glossary).</i></p> <p>Criterion Level Remarks: Conformance.</p>	
<p>6.1.a. Using credible scientific analyses and local expertise, an assessment of current conditions is completed to include:</p> <ul style="list-style-type: none"> • Disturbance regimes and successional pathways; • Unique, vulnerable, rare, and threatened communities; • Common plants, animals, and their habitats; • Sensitive, threatened, and endangered species and their habitats; • Water resources; and • Soil resources (see also Indicators 7.1.a and b). 	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>WI DNR's current Forest Management Plan Standards (e.g., Appendix 13 of Forest Tax Law Handbook) require that an on-the-ground assessment of current conditions is completed and documented when forest management plans are developed for MFL properties. Required elements of these assessments include:</p> <p>(1) Delineation of the area, composition, and age of each forest cover type (stand) on the property. These stand assessments are documented in written descriptions and in Land Exam tables. Acreage and condition of non-forested cover types also are assessed and mapped. Disturbance regimes and successional pathways are</p>

addressed at least informally through descriptions of successional roles of each species within stands, expected responses of vegetation to silviculture, and current or potential disturbances (e.g., insects, disease, deer browse, windthrow, fire). Required elements also include “General Property Description” and “Regional Landscape Overview” sections that at least informally address topography and other physical characteristics, water resources, natural disturbance regimes and potential historic vegetation, and ecological landscape context.

(2) Query of WI DNR’s Natural Heritage Inventory (NHI) database to determine the known or likely occurrence of RT&E species and natural communities on or adjacent (e.g., 1 mile buffer) to the property. Results of the NHI screening must be included in the management plan.

(3) Habitat for other species, as indicated by forest cover type and structural features (e.g., snags, den trees, woody debris), are typically considered in stand descriptions and in silvicultural prescriptions for each stand.

(4) Mapped locations of rivers, streams, wetlands, and other water resources on the property. Descriptions of water resources may be found in the General Property Description and within individual stand assessments, if applicable. Specific language addressing adherence to BMPs for water quality is included.

(5) Soils information for the property, including actions to be taken by the landowner to prevent soil erosion.

Examination of numerous management plans by the audit team revealed inconsistencies in the documentation of environmental assessments for MFL properties, primarily related to plan age (see also findings for Criterion 7.1b). Recently written plans (e.g., Eugenia Black Property, Shawano Co.; Mark Van Hulle Property, Oconto Co.) typically included exemplary assessments of current conditions. All plans, regardless of age, included assessments of current stand conditions, but many older plans (e.g., written in the 1980s or early 1990s) lacked documented assessments of one or more elements (2-5 above). For example, discussions with Cooperating and WI DNR Foresters revealed that NHI databases of RT&E species and natural communities were consistently queried during plan development, but results of these assessments often were not included in old plans or in subsequent documentation associated with the property (e.g., cutting notices, WI DNR letters to landowners). In another case (Asenbrenner Property, Shawano, Co.), the location of a small stream was not included on the plan map.

	Assessments may be brief and informal as minimally required for small (<5,000 acres) forest ownerships.
<p>6.1.b. Using available science and local expertise, the current ecological conditions are compared to both the historical conditions and desired future conditions within the landscape context. This comparison is done by employing the baseline factors identified in 6.1.a.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Recently written management plans reference historical ecosystem conditions and landscape context of the property (e.g., with reference to WI DNR's Ecological Landscapes of WI) in one or more sections of the plan, e.g., "Regional Landscape Overview," "Property Setting, or "Property Overview." In older plans, historic conditions are briefly addressed in each stand description and indirectly linked to desired future conditions through specification of stand management objectives and prescriptions, although these descriptions do not explicitly mention ecosystem or landscape contexts. See also Criterion 7.1 and CAR 08/08. Assessment of historic and contemporary insects, diseases, and fires are made by WI DNR or cooperating foresters during preparation of management plans.</p> <p>The small size, isolated nature, and non-industrial private ownership of MFL properties within the potential certification group limit landscape assessments to brief, informal descriptions. However, at a program-wide (i.e., statewide) scale, WI DNR has the expertise and tools to compare current conditions of MFL properties as a whole with both historical and projected future conditions of Wisconsin's forested landscapes. WI DNR has already performed limited spatial analyses of the landscape context of MFL properties (e.g., proximity of MFL properties to county, state, and federal lands). If the WisFIRS system currently under development by WI DNR is implemented, WI DNR should be able to perform spatial analyses and future projections of MFL forest conditions at landscape and statewide scales.</p>
<p>6.1.c. Prior to the commencement of management activities, potential short-term environmental impacts and their cumulative effects are evaluated.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>MFL landowners must file a Cutting Notice with WI DNR prior to implementing timber harvest activities, providing WI DNR foresters with the opportunity to assess short-term environmental impacts. Short-term environmental impacts are evaluated in the plan descriptions of mandatory and recommended silvicultural treatments for each stand. Additionally, these impacts are indirectly accounted for in previously cited plan elements regarding soils, water, and RT&E species and communities, although the level of detail varies among plans (see findings associated with Criteria 6.1a and b above).</p> <p>Significant lag times (e.g., 10-12 years) may exist between plan writing and the initiation of silvicultural treatments on the property. During this interval, mobile species (e.g., raptors) may subsequently occupy the property, and the possibility exists that updated versions of the NHI database may include occurrences of such</p>

<p>6.1.d. Using assessments derived from the above information, management options are developed and implemented to achieve the long-term desired future conditions and ecological functions of the forest (see also Criterion 7.1).</p>	<p>species that were not detected during the initial screening (OBS 04/08).</p> <p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>The majority of MFL properties are small (<200 acres) and essentially all properties have been previously cut and/or subject to management. All silvicultural interventions are either even-aged harvests designed to perpetuate existing species composition in the stand or some form of partial cutting to gradually convert even-aged stands to multi-aged. Silvicultural options chosen by the consulting or WI DNR foresters are based on 25- or 50-year planning horizons and serve to maintain/restore long-term ecological functions of the forest, which is of primary interest of the landowner and a programmatic requirement of the MFL program.</p>
<p>NOTES: OBS 04/08: Prior to management activities, a new NHI screening should be conducted.</p>	
<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>	
<p>Criterion Level Remarks: Conformance.</p>	
<p>6.2.a. Although species that are state and/or Federally listed as threatened, endangered, of special concern, or sensitive, and their habitats are identified, their specific locations remain confidential.</p> <p><i>Note: On public forests and large private forests, the general locations of state and/or Federally listed as threatened, endangered, of special concern, or sensitive species are made available to the public.</i></p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>The WI DNR Forest Tax Law Program requires that WI DNR foresters or consulting Certified Plan Writers (CPWs) query the state's NHI database during preparation of MFL management plans to determine the occurrence or likely occurrence of RT&E species and natural communities on the property. CPWs, with permission from the landowner, provide a written request for an NHI screening to a WI DNR forester. An NHI report is created for use by the CPW and WI DNR forester only. Foresters must screen the proposed property per the process described in the WI DNR Endangered Resources Screening Guidance. Documenting results of the NHI screening is required on Form 1700-46 ("Endangered Resources Review Documentation") or similar form.</p> <p>Documentation (handwritten or printout) showing the location of NHI occurrences on the MFL property may be shared with the landowner only, but documentation showing location(s) of NHI occurrences on other ownerships is prohibited. However, documenting negative results (i.e., no detections) of NHI screenings in older management plans has been inconsistent (see findings for 6.1a above).</p> <p>Although maps showing generalized areas (i.e., section-level resolution) of RT&E species and natural community occurrences are available to the public, NHI data on specific locations of these species and communities are exempt from Wisconsin's Open Records Law and kept confidential.</p>

	<p>RT&E and sensitive raptors were discussed during the assessment. Four species of raptors are of concern: bald eagles, osprey, northern goshawks, and red-shouldered hawks. Although no management-related problems were observed in the field, at one property a WI DNR field forester was unaware of an extremely large stick nest in a recently cut stand (likely that of a bald eagle) or appropriate prescriptions for its protection. Interviews with contractors (e.g., cutters) and landowners indicated that they also were unaware of any process for reporting RT&E raptor occurrences or the importance of protecting active stick nests of these species, suggesting that WI DNR could take a more proactive approach to conserving raptor species and habitats on MFL properties (OBS 05/08).</p>
<p>6.2.b. If scientific data indicate the likely presence of state and/or Federally listed as threatened, endangered, of special concern, or sensitive populations, either new surveys are carried out before field-management activities begin or the forest owner or manager assumes their presence and makes appropriate modifications in forest management.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Few MFL properties reviewed by the audit team had known or potential occurrences of RT&E species or natural communities as indicated by screening of NHI databases. For the relatively few properties where NHI screening has indicated actual or potential occurrences of RT&E species or natural communities on or near the property (e.g., rare plants – Martinson Property, Lincoln Co.; natural communities – Black Property, Shawano Co.; raptors and rare plants – Haenel Property, Taylor Co.), reviews of management plans indicated that guidance for the protection of these species, their habitats, and natural communities, was included in the plans (e.g., adherence to BMPs, seasonal timing of harvest).</p>
<p>6.2.c. For management planning purposes, forest owners or managers of publicly owned and large privately owned forests use, participate in, or carry out on-the-ground assessments for the occurrence of state and/or Federally listed as threatened, endangered, of special concern, or sensitive species.</p>	<p>Conformance with Indicator: Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input checked="" type="checkbox"/></p> <p>MFL properties without exception are privately owned and fall within the small forest definition (<5,000 acres). Therefore, this indicator is considered non-applicable for MFL landowners.</p>
<p>6.2.d. Where they have been identified, state and/or Federally listed as threatened, endangered, of special concern, or sensitive species and their habitats are maintained and/or restored. Multiple-use management activities are acceptable, where the law allows, in these species' habitat areas to the extent that they are compatible with maintenance and restoration of the species.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>With the possible exception of the presumed bald eagle nest noted above (6.1a), there was no need to establish specific conservation zones or reserves to protect actual or potential occurrences of RT&E species and natural communities on MFL properties visited by the audit team. For properties where NHI screening has indicated actual or potential occurrences of RT&E species or natural communities, recommended practices to protect these species and communities within the management plans appeared adequate (see also findings for Criterion 6.2.b). Additionally, given the small size and disconnected nature of MFL properties within the potential certification group, there are few opportunities for contributing to landscape connectivity beyond maintaining these properties in forested cover types of diverse compositions and successional stages, which is occurring.</p>
<p>6.2.e. If a state and/or Federally listed as threatened, endangered, of special concern, or sensitive species is determined to be</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>

<p>present, its location is reported to the manager of the species' database.</p>	<p>When new occurrences of RT&E species and natural communities are documented by WI DNR or cooperating foresters, locations are reported to managers of the NHI database. Additionally, the WI DNR's Bureau of Forest Management has provided significant funding to the NHI for updating RT&E databases.</p>
<p>NOTES: OBS 05/08: WI DNR should develop and implement a program to increase awareness among WI DNR foresters regarding identification and protection of rare, threatened and endangered species, especially raptors.</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: Conformance.</p>	
<p>6.3.a. Forest regeneration and succession</p>	
<p><i>Applicability Note: Indicators 6.3.a.1. through 6.3.a.4. are intended to be applied sequentially.</i></p>	
<p>6.3.a.1. Forest owners or managers make management decisions using credible scientific information (e.g., site classification) and information on landscape patterns (e.g., land use/land cover, non-forest uses, habitat types); ecological characteristics of adjacent forested stands (e.g., age, productivity, health); species' requirements; and frequency, distribution, and intensity of natural disturbances.</p> <p><i>Applicability Note: This indicator may apply only marginally to managers of small and mid-sized forest properties because of their limited ability to coordinate their activities with other owners within the landscape or to significantly maintain and/or improve landscape-scale vegetative patterns.</i></p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>All MFL properties in the potential group certification are small and largely disconnected. Therefore, there is limited ability or opportunity for landowners to plan or coordinate management activities within adjacency or landscape contexts. Silvicultural practices are matched to species' requirements and the intensity of natural disturbances. For example, even-aged regeneration harvests are applied to aspen and jack pine cover types, consistent with the intensity of natural disturbances and patterns of regeneration associated with these species. Objectives to convert existing even-aged stands of northern hardwoods to uneven-aged structure are consistent species requirements, age-class distribution, and intensity of natural disturbances. Uneven-aged silvicultural emulates the light, partial, natural disturbances that historically maintained the region's northern hardwood forests.</p> <p>At a program-wide scale, WI DNR uses its Forest Habitat Type Classification System (FHTC) and the National Hierarchical Framework of Ecological Units (NHFEU) for site classification and habitat typing. Most recently written MFL plans reference the FHTC habitat types found on the property.</p>
<p>6.3.a.2. Silvicultural practices encourage regeneration that moves the forest toward a desired future condition, consistent with information gathered in 6.3.a.1.</p> <p><i>Note: Development of a forest that is capable of natural regeneration, based on desired future conditions, is encouraged.</i></p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>WI DNR and cooperating foresters rely heavily on natural regeneration for MFL properties, and silvicultural practices are typical of those commonly used to achieve natural regeneration. On some properties, planting or underplanting of red</p>

	<p>and eastern white pines has been applied in stands where the conifer component was missing. These activities are appropriate in light of the desire to retain underrepresented conifer components (particularly white pine) within selected local landscapes. Forest operations generally were observed to protect desirable advanced regeneration (but see findings for 6.3.a.3 below). If adequate natural regeneration is not established by the end of the fourth growing season, then alternative regeneration methods (e.g., planting or interplanting) are required to achieve desired stocking levels. The audit team visited recently harvested jack pine stands where subsequent planting may be needed to achieve desired levels of regeneration. The potential need for planting was specified in the silvicultural practices section of the management plan and also communicated to landowners by the WI DNR forester. The distribution of MFL properties is statewide and encompasses 16 unique ecological landscapes. Therefore, the MFL landbase is extremely diverse in terms of the potential to support a wide range of forest community types and many successional patterns. In light of management goals and objectives specified by MFL landowners, WI DNR and cooperating foresters apply the principles identified in 6.3.a.1 to plan regeneration of appropriate, native species and to conduct silvicultural operations consistent with developing the desired future conditions. Guidelines for appropriate silvicultural practices, including adequate levels of regeneration, are well articulated in the WI DNR's "Silvicultural Handbook" and supporting documents.</p>
<p>6.3.a.3. Measures are taken to ensure the retention of endemic and difficult-to-regenerate species.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Regionally declining tree species and forest cover types include yellow birch, white cedar, eastern hemlock, Canada yew, white pine, jack pine, and some oak species. The audit team found evidence that several of these species were being retained, or attempts at retention were being made on MFL properties, via retention of jack pine and lowland conifer cover types, seed tree regeneration and underplanting, and retention of individual leave trees and patches.</p> <p>Deer browse is an increasingly significant factor inhibiting regeneration of desired species of both conifers and hardwoods in Wisconsin and the region. Deer numbers in the state remain well above WI DNR population management goals. The goal of increasing uneven-aged, interior northern hardwood cover types on many MFL properties may contribute to reducing deer herd size over time by reducing deer suitable habitat. However, the audit team examined several properties where deer browse was a likely cause of inadequate regeneration in gaps implemented to transition even-aged northern hardwoods to un-even aged stands, posing a significant impediment to achieving these objectives. The WI DNR's Division of Forestry has taken a proactive approach in addressing deer browse effects in the state, including county-level surveys of browsing intensity, collaborations with the</p>

	Wisconsin Council on Forestry and other organizations, and distribution of educational materials to the public.
<p>6.3.a.4. Across the forest, or the landscape in which it is located, management actions lead to a distribution of successional stages, age classes, and community types appropriate to the scale and intensity of the operation and desired future conditions.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>All MFL properties in the potential group certification are small and largely disconnected. Therefore, there is limited ability or opportunity for landowners to plan or coordinate management activities within adjacency or landscape contexts.</p> <p>Desired future conditions of MFL properties are based on overall management goals of the landowner, the ecological potential of each stand, and sound silvicultural practices. Within plans, mandatory and recommended practices for each stand plans describe desired future age-class distributions of even-aged forest cover types, desired size-class structure for uneven-aged types, and the timing of silvicultural treatments.</p> <p>Nearly all stands in the potential certification group scheduled for management were maturing second growth. Planned activities focused on various thinnings, regeneration harvests, and some selection system cuts. Some of the actions (e.g., crop tree release, group selection) will result in all-aged stands, whereas others will produce a variety of successional stages (e.g., different age classes) appropriate to the size of ownership, forest condition, management objectives, and local ecosystems.</p>
<p>6.3.a.5. When even-aged management (see Glossary) is employed, live trees and native vegetation are retained within the harvest unit in a proportion and configuration that is consistent with the characteristic natural disturbance regime in each community type (see Glossary). Exceptions may be allowed when retention at a lower level is necessary for purposes of forest restoration and/or rehabilitation or to maintain community types that exist on the site (e.g., oak-hickory, jack pine). The level of retention increases proportionally to the size of the harvest unit.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Even-aged management was commonly practiced on the assessed properties through various methods of thinning and regeneration harvests. WI DNR has developed guidelines for retention of reserve patches and trees within both even- and uneven-aged management areas (e.g., p. 21-18 of WI DNR's Silvicultural Handbook, p. 171 of Wisconsin Forest Management Guidelines). Additionally, WI DNR is currently revising its retention guidelines within the Silvicultural Handbook to reflect current science and management regarding green tree retention. Guidance for the retention of single trees or patches within treated stands was a consistent feature of management plans, often related to landowner goals for improving wildlife habitat. Field observation confirmed that retention of live trees and native vegetation is high within even-aged stands. For example, in regenerating aspen stands preference was often given to conifers in general, and long-lived, super canopy conifers in particular. When present, larger patches of conifers were retained. Conifer retention was limited to ≤20% of stands to ensure adequate regeneration of aspen. Individual oak trees and snags (as safety allowed) were also commonly reserved during regeneration harvests to provide wildlife habitat and forage. In even-aged hardwood treatments, preference was</p>

	often given to species that were underrepresented in the harvested stand and/or trees with high wildlife value (e.g., den and mast producing trees).
6.3.b. Genetic, species, and ecosystem diversity	
6.3.b.1. Forest management conserves native plant and animal communities and species.	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>WI DNR and cooperating foresters select trees for harvest and retention in a manner that maintains or enhances the productive capacity, genetic diversity and quality, and species diversity of the residual stand. Various combinations of crown, free (crop tree), thinning, selection, and regeneration harvests are used on MFL properties. For thinning and selection harvest treatments, all trees to be cut are marked with paint. Site visits confirmed that snags (as safety allows) and both individual and patch retention of live trees including: den, mast, super canopy conifer, and rare or unusual trees are reserved from harvest and maintained (see also findings for 6.3.a.5 above). The volume and distribution of large woody debris and slash were adequate on sites visited by the audit team. Care is taken during harvesting operations to avoid damaging understory vegetation. Special habitats and refugia (e.g., wetlands, bogs, riparian zones) are avoided when performing management activities. MFL landowners predominantly rely on natural regeneration to meet silvicultural objectives. However, planted regeneration appears to rely on native, locally adapted seed and seedlings, often provided by WI DNR's nursery program.</p>
6.3.b.2. The forest owner or manager cooperates with local, state, and Federal agencies to protect and manage native plant and animal communities and species.	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>MFL landowners must comply with local, state, and federal laws that protect native biological diversity (e.g., ESA). MFL landowners also are expected adhere to state BMPs that function to protect native plant and animal communities and species. The MFL program is a voluntary, cooperative agreement with WI DNR, whereby MFL properties contribute to desired future conditions of the state's forests, including maintenance of plant and animal diversity, through the application of sound silviculture. Given the small, largely disconnected, and non-industrial nature of MFL properties, opportunities to formally collaborate with local, state, and federal agencies are limited. However, individual MFL owners have entered into cooperative agreements that protect and manage native biological diversity. Examples include conservation easements with the USFWS (e.g., Ziegler Property, Shawano Co.), involvement with the Kickapoo Woods Cooperative and Driftless Area Initiative, and participation in the federal Habitat Conservation Plan (HCP) for the Karner Blue Butterfly.</p>
6.3.b.3. There is a consistent scientific method for selecting trees to plant, harvest, and retain in order to preserve and/or enhance broad genetic and species diversity.	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Genetic and species diversity are maintained through the management of diverse forest communities consisting of native species. MFL landowners predominantly</p>

	rely on natural regeneration whenever feasible to meet management goals. Tree species are managed on sites on which they are well suited, in keeping with the mandatory and recommended silvicultural practices specified in the management plan for each property.
6.3.b.4. Forest owners or managers maximize habitat connectivity to the extent possible at the landscape level (e.g., through an ecological classification system, at the subsection or land-type association level).	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>The small size of individual MFL properties, and fragmentation of forests and ownerships in landscapes surrounding MFL properties make it difficult if not impossible to tailor management on these parcels to maintain or enhance landscape-level habitat connectivity. However, silvicultural practices used by owners in the potential certification group result in long-term maintenance of a diversity of successional stages, stand structures, and species compositions, which broadly serve to provide habitat connectivity. Additionally, buffered stream management zones (SMZs) along rivers and streams on MFL properties create habitat corridors in addition to meeting BMPs for water quality. Retention of reserve areas (e.g., conifer patches) after regeneration harvests may provide temporary refugia for mobile species of wildlife as they move across larger forested landscapes.</p>
6.3.c. Natural cycles that affect the productivity of the forest ecosystem	
6.3.c.1. Biological legacies of the forest community are retained at the forest and stand levels, consistent with the objectives of the management plan, including but not limited to: large live and declining trees, coarse dead wood, logs, snags, den trees, and soil organic matter.	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>WI DNR has developed guidelines for retention of biological legacies, including large live and defective (diseased or decaying), trees, coarse woody debris (including large logs), snags, den and cavity trees, and reserve areas in both even- and uneven-aged management areas (e.g., p. 21-18 of WI DNR's Silvicultural Handbook, p. 171 of Wisconsin Forest Management Guidelines). Additionally, WI DNR is currently revising its retention guidelines within the Silvicultural Handbook to reflect current science and management regarding green tree retention. MFL management plans commonly included specific language addressing the retention, including desirable attributes, of den trees, mast trees, snags, and woody debris within stands during harvest. Although specific retention targets (numbers, distribution) for leave trees, snags, and coarse woody debris are not always specified in plans, numerous field sites visited by the audit team revealed that retention of live trees (e.g., den, mast, super canopy, rare or unusual), snags (safety permitting), and coarse woody debris was not only adequate given the scale and intensity of forest operations but in many cases exemplary when compared to larger private ownerships in the region.</p>
6.3.c.2. Forest management practices maintain soil fertility and organic matter, especially in the A horizon, while minimizing soil erosion and compaction. If degradation of soil quality occurs, as indicated by declining fertility or forest health, forest owners or	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Soil conservation practices necessary to control any soil erosion that may result from forestry practices are listed as mandatory practices for development of MFL</p>

<p>managers modify soil management techniques.</p>	<p>management plan (p. 20-37, Forest Tax Law Handbook). Few MFL properties have haul roads built on them because of their small size. Instead, existing state/township/county roads are typically used for hauling wood products. Skid trails are kept to a minimum and old skid trails are used if possible. Although whole-tree harvesting is employed on some MFL properties, most harvesting is conducted with conventional systems that leave topwood in the forest. If conditions are too wet for prevention of soil compaction or other damage, timber harvests are halted by the WI DNR forester, consulting forester, or the contractor. Frozen ground restrictions appear to be used for sensitive mineral soils. If skid trail rutting seems excessive, slash is placed in skid trails to eliminate rutting. This technique was observed by the audit team during a visit to an active harvest of lowland swamp conifers. When previously frozen ground became too soft to avoid rutting even with slash placement in skid trails, the contractor halted operations in this stand. Other contractors were observed using “balloon” tires on equipment to minimize soil compaction and erosion. Isolated incidents of minor rutting were observed by the audit team, but no patterns or systemic problems with soil management techniques were observed on the MFL properties visited. Snow cover during the assessment prevented detailed inspection of skid trails, including the use of water bars, although WI DNR foresters communicated to the audit team that they are used to control erosion and sedimentation. MFL properties primarily rely on natural regeneration to promote natural patterns of succession, using planting and site preparation only when necessary to achieve desired levels of stocking for cover types such as jack pine. Artificial fertilization and burning are not employed.</p>
<p>6.3.c.3. Forest management practices maintain or restore aquatic ecosystems, wetlands (including peatlands, bogs, and vernal pools), and forested riparian areas (see also Criterion 6.5).</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>According to the WI DNR Forest Tax Law Handbook (p. 20-37), <i>Best Management Practices for water quality (BMPs) must be addressed and followed in connection with forestry practices on MFL lands.</i> The assessors observed many sites that had active or recently concluded timber harvests. No instances of degraded aquatic systems were observed in the field. With few exceptions, all BMPs were adhered to (see findings for Criterion 6.5). Boundaries of stream management zone (SMZ) buffers were consistently marked with paint or flagging. Temporary stream crossings (e.g., corduroys with logs laid parallel to stream flow) are placed prior to skidding through such streams and removed upon cessation of skidding. Flagging or paint was used to identify equipment exclusion zones along wetland boundaries on some MFL properties, whereas for others contractors a change in timber types was used to observe these boundaries. No evidence of encroachment into wetlands during timber operations was observed. Small vernal pools (e.g., <1 ac) were discussed during the assessment. Attempts are apparently made to avoid timber harvest or skidding in vernal pools when they are</p>

	<p>identified, although paint or flagging typically is not used to identify pool locations or boundaries. During certain seasons of the year, when these pools are less noticeable, accidental impact on these areas could occur. Although the WI DNR Silvicultural Handbook (p. 40-23) does provide generalized guidance for minimizing impacts to these habitats, currently there are no BMPs or other formal guidelines for protecting vernal pools from adverse environmental changes (e.g., increased insolation) that could result from even-aged management systems. There was no evidence during the audit of any damage to vernal pools. However, the site visits occurred in the winter. This issue will be followed up more in future audits.</p>
<p>6.3.c.4. Responses (such as salvage) to catastrophic events (such as wildfire, blowdown, and epidemics) are limited by ecological constraints.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Limited salvage harvests have been conducted on MFL properties, primarily in response to significant stand damage from gypsy moth infestations and oak wilt. Direct treatment of most pest insect populations and diseases is rarely carried out (ownerships too small), so endemic levels of 'pest' populations are allowed. Prescriptions for salvage harvests allow for retention of snag and den trees (where this does not pose a safety hazard) and coarse woody debris.</p>
<p>NOTES: None</p>	
<p>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.</p> <p><i>Applicability Notes:</i> <i>When forest management activities (including timber harvest) create and maintain conditions that emulate an intact, mature forest or other successional phases that may be under-represented in the landscape, the management system that created those conditions may be used to maintain them, and the area may be considered as a representative sample for the purposes of meeting this criterion.</i></p> <p><i>Ecologically viable representative samples are designated to serve one or more of three purposes: (1) to establish and/or maintain an ecological reference condition; (2) to create or maintain an under-represented ecological condition (e.g., successional phases of a forest type or natural community (see Glossary); and (3) to protect a feature that is sensitive, rare, or unique in the landscape. Areas serving the purposes of (1) and (2) may move across the landscape as under-represented conditions change, or may be fixed in area and managed to maintain the desired conditions. Areas serving the purposes of (3) are fixed in location.</i></p> <p><i>For managed forest communities in the Lake States, ecologically mature or late-successional phases (not including old growth) are generally under-represented and would qualify as representative sample areas under purposes 1 and 2. Tolerant or long-lived mid-tolerant species (e.g., white pine.) typically dominate such stands. Depending on the site and forest community, characteristics may include a well-developed understory flora, relative stability of species composition, multi-layered canopies, stable or declining live timber volume, live trees in upper quartile of expected diameter growth for the site, presence of recognized late-successional indicator species (such as certain mosses, lichens or other epiphytes), and accumulation of large snags and large downed woody material. Examples of classification systems that include some of these concepts are: "Types of Old Growth Forests" as defined by Minnesota Department of Natural Resources (http://www.dnr.state.mn.us/forests/oldgrowth/types.html), and, Minnesota DNR Old-Growth Forest Policy - Goals and Results, at http://www.dnr.state.mn.us/forests/oldgrowth/policy.html. For representative sample areas that may move across</i></p>	

the landscape as conditions change (purposes 1 and 2), the length of time that an area is maintained as a representative area will vary with the rarity of the ecosystem type and specific ecological value to be conserved, the uniqueness of the represented condition, the rate at which areas with similar characteristics develop.

Examples of representative samples fixed in place and serving purpose 3 include relatively exceptional features such as fens, vernal pools, areas surrounding caves, and areas of special soils containing endemic plant species.

In most cases, intact old-growth (see Glossary) will qualify as representative sample under purpose 3 due to their rarity in the Lake States Region. Unentered old-growth stands (see Glossary) are also prime candidates for designation as representative sample areas under purpose 3. In both cases, the burden is on the landowner/manager to demonstrate that these areas should NOT qualify as representative sample areas under purpose 3. Other very old forests (over 150 years old) that do not meet the Lake States Standard's strict definition of "old growth" (e.g., there is some evidence of past harvesting) should also be considered as potential representative sample areas under purpose 3

Forests of all sizes may be conducive to protection of fixed features, such as rock outcrops and bogs. Medium sized and large forests may be more conducive to the maintenance of successional phases and disturbance patterns than small forests.

While public lands (see Glossary) are expected to bear primary responsibility for protecting representative samples of existing ecosystems, FSC certification of private lands can contribute to such protection.

Representative samples may be protected solely by the conditions of the certificate and/or through the use of conservation easements or other instruments of long-term protection.

Criterion Level Remarks: Conformance.

6.4.a. Forest owners and managers protect and reserve ecologically viable representative areas that are appropriate to the scale and intensity of the operation.

Conformance with Indicator: Yes No N/A

The group manager (WI DNR) has applied two general mechanisms, relevant to MFL properties, which assess, protect, and reserve ecologically viable representative areas. First, state NHI databases are queried during development of management plans for each MFL property and in selected cases immediately before harvest activities to determine known occurrences of RT&E species and natural communities on and adjacent to the property. Guidance for the protection of RT&E species and natural communities is included in management plans or associated documents when they are known to occur on the property. Selected management plans examined during the assessment, particularly those developed most recently, also include guidance for the protection of RT&E species and natural communities that potentially could occur on the property based on their presence within the surrounding landscape. This mechanism is appropriate to the scale of MFL properties (i.e., satisfied for small forests by meeting standards of Criteria 6.2 – see findings for 6.4.b below). Additionally, ≤20% of an MFL property may be excluded from active silviculture if deemed “unproductive” (e.g., non-forested wetlands, rock outcrops, prairies and other openings), effectively allowing these natural community types to be designated as reserves. Passive

	<p>management areas are identified and mapped during management plan development. If greater precautionary measures than would be allowed under constraints of MFL productivity regulations are dictated, the option exists to exclude exceptionally sensitive forest areas from MFL designation. Many MFL properties also have important, effective reserves in wetland or riparian areas that have been conserved via mandatory application of water quality BMPs.</p> <p>Second, WI DNR has a well-developed, program-wide system to protect and restore over 75 representative natural community types distributed across all 16 ecological landscapes of the state through its State Natural Area (SNA) program. SNAs are designed to protect 1) outstanding natural communities, 2) critical habitat for rare species, 3) ecological benchmark areas, 4) significant geological or archaeological features, and 5) exceptional sites for natural area research and education. Currently, there are over 400 protected SNAs distributed across 70 of Wisconsin's 72 counties totaling over 150,000 acres. Therefore, many if not most MFL properties are in proximity to one or more SNAs. SNAs are protected by state statutes, administrative rules, and guidelines. An additional 229 areas across the state that have been deemed high priorities for conservation and protection have been identified through WI DNR's Land Legacy Program. WI DNR also has conducted an analysis to determine the proximity of MFL lands to all public lands (county, state, federal) in the state.</p>
<p>6.4.b. Where existing protected areas within the landscape are not of adequate size and configuration to serve as representative samples of commonly occurring forest types as defined above, owners or managers of mid-sized and large forests, whose properties are conducive to the establishment of such areas, designates ecologically viable areas to serve these purposes.</p> <p><i>Applicability notes to 6.4.b.: When evaluating the need for representative sample areas, the assessment should consider the relative rarity and degree of protection of similar areas at the state-wide scale, or at the biophysical region scale (as defined by state Natural Heritage programs) if Natural Heritage program or other assessments suggest that there is significant variation in community or ecosystem types between biophysical regions. Where existing protected areas adequately represent commonly occurring forest types in the landscape, these areas may suffice as the representative samples and no representative sample need be established on the forest.</i></p> <p><i>The owner or manager of a small forest may not be expected to</i></p>	<p>Conformance with Indicator: Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input checked="" type="checkbox"/></p> <p>MFL properties within the potential certification group, without exception, fall within the small forest (<5,000 acres) definition. Therefore, this indicator is satisfied by meeting the standards of Criteria 6.2 above (see Applicability Note).</p>

<p><i>designate representative sample(s) of commonly occurring forest types, except where there is an exceptional opportunity to contribute to an under-represented protected areas system. For small forests or low-intensity managed forests, this criterion is satisfied by meeting the standards of Criteria 6.2.</i></p> <p><i>The size and configuration of the representative areas depend on the:</i></p> <p><i>(1) extent of representation of their forest types within the landscape (less protection calls for more representative samples);</i></p> <p><i>(2) ecological importance of setting aside stands and tracts to other conservation efforts (a minimum size and ecological value is needed to make representative samples useful); and</i></p> <p><i>(3) intensity of forest management within the forest and across the landscape (a less intensively managed forest or landscape calls for less area of representative samples, and a more intensively managed forest or landscape calls for more).</i></p>	
<p>6.4.c. The size and arrangement and time scale of on-site representative sample areas are designated and justified using assessment methods and sources of up-to-date information described in 6.1.</p> <p><i>Note: Known protected off-ownership areas that are in proximity to the management unit may be used to meet the goal in the landscape.</i></p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>WI DNR has not developed an explicit methodology, specific to MFL properties, for the on-site designation of representative areas. However, because all MFL properties within the potential certification group fall under the small forest (<5,000 acres) definition, such a methodology and subsequent designations are unnecessary (see findings associated with Indicator 6.4.b). The two indirect mechanisms WI DNR has applied to assess and protect representative areas within the context of MFL properties, including protected off-ownership areas in surrounding landscapes, are described above (see findings for 6.4a). Few properties visited during the assessment included known or potential occurrences of RT&E species and natural communities. However, guidance for protection of RT&E species and natural communities where they potentially occurred, as well as identification of passive management areas, were included within management plans and appeared to be consistent with assessments from Criteria 6.1.</p>

<p>6.4.d. Unless exceptional circumstances can be documented, known areas of intact old-growth forests are designated as representative sample areas under purpose 3. (See Applicability Note under 6.4 above) and are reviewed for designation as High Conservation Value Forests (HCVF- see also Applicability note under 6.3). Known areas of unentered stands of old-growth are carefully reviewed, screened for uniqueness, and considered as potential representative sample areas prior to undertaking any active management within them (see Applicability Note under 6.4). Old growth stands not designated as either a HCVF or a representative sample area are, at a minimum, managed to maintain their old-growth structure, composition, and ecological functions under purpose 3.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>None of the properties visited by the assessment team were representative of old-growth forests. Because most privately owned forests in the state have been repeatedly harvested, it is unlikely that stands of un-entered old growth remain on MFL properties. WI DNR analyzes existing databases (NHI) to determine whether potential un-entered old growth stands (i.e., determined by composition, structure, and functionality) exist on MFL properties. Representative old growth forest HCVFs have been designated and protected statewide by WI DNR through the SNA Program, State Parks, County forest assessments, and other programs.</p>
<p>6.4.e. The size and extent of representative samples on public lands being considered for certification is determined through a transparent planning process that not only utilizes scientifically credible analyses and expertise but is also accessible and responsive to the public.</p>	<p>Conformance with Indicator: Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input checked="" type="checkbox"/></p> <p>MFL lands are without exception under private ownership.</p>
<p>6.4.f. The process and rationale used to determine the size and extent of representative samples are explicitly described in the public summary.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>The rationale for protecting RT&E species and natural communities, and designating specific areas for passive management, has been included in select MFL management plans, with more consistent inclusion in plans of recent origin. A public summary of this process and rationale is included in Appendix I of this report.</p> <p>Additionally, WI DNR's processes and rationales for determining the size and extent of program-wide (i.e., statewide) representative samples are described in their State Natural Areas, Ecological Landscapes, Land Legacy, and Natural Communities handbooks, supporting documents, and public websites.</p>
<p>6.4.g. Managers of large, contiguous public forests (>50,000 acres) create and maintain representative protected areas within the forest area, sufficient in size to encompass the scale and pattern of expected natural disturbances while maintaining the full range of forest types and successional stages resulting from the natural disturbance regime.</p>	<p>Conformance with Indicator: Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input checked="" type="checkbox"/></p> <p>MFL properties within the potential certification group are privately owned and without exception fall under the small forest definition (<5,000 ac).</p>
<p>NOTES: None</p>	
<p>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.</p>	

Note: The Lakes States-Central Hardwoods Regional Certification Standards cover a diverse landscape - from prairie to glaciated Northern lands to unglaciated forests in the South. Within this region, all States have developed best management practice guidelines specific to their ecological conditions (see Appendix A). These locally developed guidelines serve as the base requirement for implementation of this standard.

Criterion Level Remarks: Conformance.

6.5.a. A set of forestry best management practices (BMPs), approved by the state forestry agency or otherwise appropriate jurisdiction (e.g., BIA), that address water quality and soil erosion is adhered to (see also 1.1.b). These guidelines may include provisions on riparian management zones (RMZs), skidding, access roads, site preparation, log landings, stream crossings, disturbance of sensitive sites, and wetlands.

Conformance with Indicator: Yes No N/A

WI DNR BMP guidelines, entitled “Wisconsin’s Forestry Best Management Practices for Water Quality,” address riparian management zones (RMZs), wetlands, chemicals (fuels, lubricants, waste, spills, pest chemicals), timber harvesting (including landings and skid trails), prescribed burning, site preparation and planting, and forest roads (including skid trails). Additionally, these BMPs are referenced in WI DNR’s “Wisconsin Forest Management Guidelines” (FMG) and “Silviculture Handbook” publications. Review of MFL management plans by the assessment team indicated that BMPs are regularly referenced in the plans and other documents associated with each property file maintained by WI DNR. Compliance with BMPs is required on MFL properties. WI DNR’s Forest Tax Law Handbook (p. 20-37) specifically states: *Best Management Practices for water quality (BMPs) must be addressed and followed in connection with forestry practices on MFL lands.* The assessors observed many sites that had active or recently concluded timber harvests. No instances of degraded terrestrial or aquatic systems were observed in the field. With few exceptions (see findings for Criterion 6.5.b below), all BMPs were adhered to and in many cases exceeded.

6.5.b. At a minimum, implementation of BMPs and other resource protection measures will result in the following:

- **Logging and Site Preparation**

Logging operations and construction of roads and skid trails are conducted only during periods of weather when soil is least susceptible to compaction, surface erosion, or sediment transport into streams and other bodies of water.

Logging damage to regeneration and residual trees is minimized during harvest operations.

Silvicultural techniques and logging equipment vary with slope, erosion hazard rating, and/or soil instability with the goal of minimizing soil disturbance. Areas that exhibit an extreme risk of landslide are excluded from management activities that may precipitate landslides.

Conformance with Indicator: Yes No N/A

Practices necessary to control any soil erosion that may result from forestry operations are listed as mandatory practices for development of MFL management plans (p. 20-37, Forest Tax Law Handbook). Timber harvesting is generally avoided on steep slopes and areas with fragile soils unless they can be harvested with suitable equipment or a season of year (e.g., periods of dryness) when harvest can occur without degrading soil and site resources. If conditions are too wet for prevention of soil compaction or other damage, timber harvests are halted by the WI DNR forester, consulting forester, or the contractor. Frozen ground restrictions were regularly included in management plans appear to be used in practice, based on field observations. If skid trail rutting seems excessive, slash is placed in skid trails to eliminate rutting. This technique was observed by the audit team during a visit to an active harvest of lowland swamp conifers. When previously frozen ground became too soft to avoid rutting even with slash placement in skid trails, the contractor halted operations in this stand. Isolated incidents of minor rutting were observed by the audit team, but no patterns or systemic problems with soil management techniques were observed on the MFL properties visited.

Note: "Extreme risk" is a legally binding term in some states.

Plans for site preparation specify the following mitigations to minimize impacts to the forest resources:

- (1) Slash is concentrated only as much as necessary to achieve the goals of site preparation and the reduction of fuels to moderate or low levels of fire hazard.
- (2) Top soil disturbance and scarification of soils is limited to the minimum necessary to achieve successful regeneration of desired species.

- **Transportation System (including permanent and temporary haul roads, skid trails, and landings)**

The transportation system is designed, constructed, maintained, and/or reconstructed to minimize the extent of the road network and its potential cumulative adverse effects.

Access to temporary and permanent roads is controlled to minimize significant adverse impacts to soil and biota while allowing legitimate access, as addressed by Principles 3 and 4 and identified in the management plan.

Failed drainage structures or other areas of active erosion caused by roads and skid trails are identified, and measures are taken to correct the drainage problems and stabilize erosion.

- **Stream and Water Quality Protection**

Stream crossings are located and constructed in a way that minimizes fragmentation of aquatic habitat (see Glossary) and protects water quality.

- **Visual and Aesthetic Considerations**

Forest owners or managers limit and/or reduce negative impacts on visual quality caused by forest management operations.

Protecting forest soils relies primarily on restrictions to operating on frozen or wet ground rather than specifying alternative logging equipment. There is a limited range of equipment available to contractors operating on MFL properties, ranging from wheeled/tracked processors and forwarders to cable skidders. Thus, there is limited ability to select from alternative equipment. However, some contractors were observed using "balloon" tires on equipment to minimize soil compaction and erosion. Overall, the use of seasonal restrictions and buffer areas effectively controls soil disturbance.

Marking of trees to be cut during intermediate treatments and selective harvest serves to reduce damage to regeneration and residual trees. Damage to regeneration and residual trees is minimized in practice, based on field observations by the assessment team. When excessive residual damage has been noted during close-out of the Cutting Report, corrective actions have been required by the WI DNR forester (e.g., A. J. Fuchs Living Trust Property, Sauk Co.). Sample contract templates developed by WI DNR for use by MFL landowners (voluntary) include language that timber harvesting shall not unnecessarily damage young growth or other trees to be reserved.

Although whole-tree harvesting is employed on some MFL properties, most harvesting is conducted with conventional systems that leave topwood in the forest. Coarse and fine woody debris, including slash, was generally retained and well distributed on sites visited by the audit team. MFL properties predominantly rely on natural regeneration to promote natural patterns of succession. Planting and site preparation (e.g., disc trenching, herbicides) are used only when necessary to achieve desired levels of stocking after surveys have deemed natural regeneration inadequate (e.g., for cover types such as jack pine). Artificial fertilization and burning are not employed. All of which limit soil disturbance to the minimum amount necessary for successful regeneration.

Most MFL properties are so small that harvested wood is hauled out on skid trails to existing landings near/adjacent to state/county/township roads: few of the properties have a system of internal haul roads. Skid trails are kept to a minimum and old skid trails are used if possible. In the limited number of properties where new construction was required, the design, layout, and number of skid/haul roads appeared carefully planned and constructed as few if any negative impacts were observed. Snow cover during the assessment prevented detailed inspection of skid trail conditions, including the use of water bars, although WI DNR foresters communicated to the audit team that they are used to control erosion and sedimentation. Log landings are small and of limited number.

Boundaries of stream management zone (SMZ) buffers were consistently marked with paint or flagging, and basal area requirements of these buffers were not only met but often exceeded. Boundaries of lake and pond shorelines were also clearly marked and buffers were appropriately applied to these hydrologically and aesthetically sensitive areas. One notable exception was observed, where a contractor encroached into an SMZ that was not marked (boundaries were inferred by the lack of marked trees for cutting), which also resulted in isolated rutting because of the wet soils. In this case, the stream also was not marked on the property map (see also findings for 6.1.a). Temporary stream crossings (e.g., corduroys with logs laid parallel to stream flow) are placed prior to skidding through such streams and removed upon cessation of skidding. Flagging or paint was used to identify equipment exclusion zones along wetland boundaries on some MFL properties, whereas for others contractors use changes in timber types to observe these boundaries. No evidence of encroachment into wetlands during timber operations was observed. Small vernal pools (e.g., <1 ac) were discussed during the assessment. Attempts are apparently made to avoid timber harvest or skidding in vernal pools when they are identified, although paint or flagging typically is not used to identify pool locations or boundaries. The WI DNR Silvicultural Handbook (p. 40-23) does provide generalized guidance for minimizing impacts to these habitats.

Where existing, poorly functioning riparian crossings are observed by WI DNR foresters on MFL properties (e.g., blocked, damaged, or undersized culverts), landowners are notified and WI DNR water quality specialists are consulted to rectify the problem.

Interviews and inspection of management plans indicated that landowners are concerned about the visual appearance of their MFL properties. Although regeneration harvests do occur, retention of larger reserve areas (e.g., conifer patches) and even individual wildlife trees, as well as reliance on natural regeneration, function to limit negative impacts on visual quality. Furthermore, many if not most silvicultural treatments on MFL properties are thinnings or selective harvests, which have relatively little impact on forest aesthetics. Adherence to riparian, wetland, and lake shoreline buffer BMPs also serves to protect the visual quality of MFL properties.

NOTES: None

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.

Applicability Note to Criterion 6.6: This Criterion is guided by FSC Policy Paper and Guidelines: Chemical Pesticides in Certified Forests: Interpretation of the FSC Principles and Criteria. Revised July 2002. In addition, 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.

Criterion Level Remarks: Minor nonconformances.

6.6.a. Forest owners and managers demonstrate compliance with FSC Policy paper: "Chemical Pesticides in Certified Forests, Interpretation of the FSC Principles and Criteria, July 2002" (available at http://www.fsc.org/en/whats_new/documents/Docs_cent/2) and comply with prohibitions and/or restrictions on 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.

Conformance with Indicator: Yes No N/A

The assessment team did not observe active or recent applications of chemicals on MFL properties. Reviews of numerous MFL management plans by the assessment team indicate that specified use of pesticides or herbicides on MFL properties in the potential certification group is infrequent, of limited scope, and likely environmentally safe and efficacious. However, there appears a lack of knowledge regarding the level of pesticide use. Field interviews of WI DNR foresters and landowners suggested that pesticides and other chemicals were rarely applied to MFL properties. Yet, mail surveys indicated that 15% of landowners had applied pesticides to MFL properties (an additional 22.3% of landowners did not answer the question regarding pesticide use). WI DNR includes at least two FSC Highly Hazardous Pesticides (FSC prohibited) on list of chemicals recommended for use, including on MFL lands. Simazine and hexazonine are both on the list of "Herbicides Registered for Tree Planting" that can be found at: dnr.wi.gov/forestry/fh/weeds/herbicides.htm. The document indicates these chemicals cannot be used on certified land. WI DNR has no measures to enforce the requirement that these FSC prohibited chemicals are not used on FSC certified lands (**CAR 05/08**). According the FSC policy, these chemicals can only be used if a FSC Derogation is in place. WI DNR does have a derogation in place for the FSC FM/COC certification of their state-owned lands but that derogation does not apply to the MFL Group lands.

Wisconsin statutes require that the commercial and independent (i.e., individual) contractors for hire that apply pesticides must be licensed and certified. WI DNR is aware of the FSC Policy paper regarding chemical pesticides via its previous FSC certification of state and county forest lands. WI DNR has developed a document (FSC Highly Hazardous Pesticides – 2007) identifying products prohibited by FSC. Web-based pesticide information provided by WI DNR to the public also includes product recommendations (including restricted applications) and information about which pesticides are prohibited by FSC.

However, WI DNR does not presently have monitoring/reporting and record keeping procedures that enable documentation of chemical herbicide and

	<p>pesticide use on MFL properties. Furthermore, MFL property owners and cooperating foresters have not been provided specific guidance or direction about the prohibited use of World Health Organization Type 1A and 1B chlorinated hydrocarbon pesticides; pesticides that are persistent, toxic or whose derivatives remain biologically active and accumulate in the food chain beyond their intended use; or any pesticides banned by international agreement (CAR 06/08).</p>
<p>6.6.b. Forest owners or managers employ silvicultural systems, integrated pest management, and strategies for controlling vegetation that minimize negative environmental effects. Non-chemical techniques are preferred in the implementation of these strategies.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Silvicultural treatments as well as tolerance of endemic levels of pests are the predominant and preferred methods for addressing forest pests on MFL properties. Silvicultural prescriptions (e.g., thinnings, selection harvest) are used to maintain tree and stand vigor by removing less vigorous trees and managing for stand-level diversity. Silviculture is implemented that leads to diverse over- and understory conditions, leading to the creation and maintenance of habitat that discourages pest outbreaks. Reviews of numerous MFL management plans by the assessment team indicate that specified use of pesticides or herbicides is infrequent and of limited scope. Because natural regeneration is favored on MFL properties, chemical site preparation is rarely used. Use of herbicides appears to be specified only when reliable alternatives (e.g., silvicultural tendings, mechanical site preparation) are likely to be ineffective.</p> <p>At a statewide level, WI DNR is committed to Integrated Pest Management (IPM) in all of its program areas, including MFL properties. This commitment includes well-developed IPM strategies and technical staff support. WI DNR's Forest Health Protection (FHP) staff provides insect and disease management assistance to agency staff, private land managers and owners as well as IPM programs and hazardous tree education. WI DNR communicates information on control strategies for current and future pests to MFL landowners through educational brochures, newsletters, news releases, and web-based materials. WI DNR's Forest Health Protection (FHP) staff work with the Wisconsin Woodland Owners Association to communicate forest pest strategies to MFL landowners.</p>
<p>6.6.c. Forest owners or managers develop written strategies for the control of pests as a component of the management plan (see Criterion 7.1).</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>All MFL management plans include specific, legislatively-mandated language about gypsy moth control strategies. Additionally, silvicultural strategies for the control of oak wilt were a consistent feature of management plans. Rather than including written strategies regarding all other potential forest pests in each MFL management plan, WI DNR and cooperating foresters include relevant information and control strategies for specific pests within management plans and other documentation as they are encountered (or if likely to be encountered based on</p>

	<p>geography) on individual properties.</p> <p>At a program (i.e., statewide) scale, WI DNR has developed numerous written strategies for the control of both current pests (e.g., gypsy moth, oak wilt) and probable future pests (e.g., emerald ash borer, beech bark disease). Written pest control strategies also are included in guidance for each timber type in the WI DNR Silviculture Handbook and Wisconsin Forest Management Guidelines. WI DNR communicates information on control strategies for current and future pests to MFL landowners through educational brochures, newsletters, news releases, and web-based materials. WI DNR Forest Health Protection (FHP) staff work with the Wisconsin Woodland Owners Association to communicate forest pest strategies to MFL landowners.</p>
<p>6.6.d. If chemicals are applied, the most environmentally safe and efficacious chemicals are used. Chemicals are narrowly targeted, and minimize effects on non-target species.</p>	<p>Conformance with Indicator: Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A <input type="checkbox"/></p> <p>The assessment team did not observe active or recent applications of chemicals on MFL properties. Reviews of numerous MFL management plans by the assessment team indicate that specified use of pesticides or herbicides is infrequent and of limited scope. The few management plans specifying use of herbicides identified environmentally safe and efficacious chemicals (e.g., glyphosates) approved for use in forest settings. The WI DNR Silviculture Handbook provides an Herbicide Effectiveness Chart and the Herbicide Comparison Table, updated annually, containing information on herbicides labeled for forestry uses. However, because WI DNR does not presently have monitoring/reporting and record keeping procedures that enable accurate cataloging of chemical herbicide and pesticide use on MFL properties, conformance with this indicator cannot be verified (CAR 06/08).</p>
<p>6.6.e. Chemicals are used only where they pose no threat to supplies of domestic water, aquatic habitats, or Rare species or plant community types.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>The assessment team did not observe active or recent applications of chemicals on MFL properties. Reviews of numerous MFL management plans by the assessment team indicate that specified use of pesticides or herbicides is infrequent and of limited scope. The few management plans specifying use of herbicides identified environmentally safe and efficacious chemicals (e.g., glyphosates) approved for use in forest settings, and specified locations of application, as described in the plan, would not pose a threat to domestic water, aquatic habitats, or rare species/plant community types. The WI DNR Silviculture Handbook provides an Herbicide Effectiveness Chart and the Herbicide Comparison Table, updated annually, containing information on herbicides labeled for forestry uses and restrictions on applications to protect water sources and aquatic habitats. .</p>
<p>6.6.f. If chemicals are used, a written prescription is prepared that</p>	<p>Conformance with Indicator: Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A <input type="checkbox"/></p>

<p>describes the risks and benefits of their use and the precautions that workers will employ.</p>	<p>Based on reviews of numerous MFL management plans by the assessment team, use of chemicals on MFL properties appears to be infrequent and of limited scope. However, MFL management plans typically do not include written prescriptions that describe risks and benefits, or description of precautions the applicator should take when chemical treatments have been specified in mandatory or recommended practices within the plan (CAR 06/08). There are no systems in place to ensure written prescriptions are in place prior to chemical use for MFL properties.</p>
<p>6.6.g. If chemicals are used, the effects are monitored and the results are used for adaptive management. Records are kept of pest occurrences, control measures, and incidences of worker exposure to chemicals.</p>	<p>Conformance with Indicator: Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A <input type="checkbox"/></p> <p>Records are kept of pest occurrences, silvicultural control measures, and some chemical control measures on MFL properties. However, WI DNR does not presently have a systematic monitoring/reporting and record keeping procedure that enables accurate cataloging of chemical herbicide and pesticide use on MFL properties, or incidences of worker exposure to chemicals on MFL properties (CAR 06/08).</p>
<p>NOTES: CAR 05/08: WI DNR shall to develop and implement measures to enforce the prohibited use of FSC highly hazardous chemicals (until/unless a derogation is in place) on properties to be included in the WI DNR MFL group certification. CAR 06/08: WI DNR shall develop and implement measures to ensure all group members, staff and Cooperating Foresters are aware of the FSC pesticide policy and that all chemical applications are in compliance with the policy and Criterion 6.6 including a written prescription, monitoring and reporting.</p>	
<p>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.</p>	
<p>Criterion Level Remarks: Conformance.</p>	
<p>6.7.a. In the event of a spill of hazardous material, forest owners or managers immediately contain the material, report the spill as required by applicable regulations, and engage qualified personnel to perform the appropriate removal and remediation.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>No current or past incidences of spills of hazardous materials were uncovered during the audit. However, interviews of logging contractors on active management sites indicated that some contractors had procedures and equipment (i.e., spill kits) for responding to hazardous spills, whereas other contractors did not. The WI DNR BMP guidelines, entitled "Wisconsin's Forestry Best Management Practices for Water Quality," address chemicals (fuels, lubricants, waste, spills, pest chemicals).</p>
<p>6.7.b. Waste lubricants, anti-freeze, containers, and related trash are stored in a leakproof container until they are transported to an approved off-site disposal site.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>No inappropriate storage of waste lubricants, anti-freeze, trash, or other contaminants was observed on active management sites.</p>
<p>6.7.c. Broken or leaking equipment and parts are repaired or removed from the forest.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>

	No current or past evidence of leaking equipment or discarded parts left on site was observed during the assessment.
6.7.d. Equipment is parked away from riparian management zones, sinkholes, or supplies of ground water.	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>No current or past evidence of equipment, including vehicles, parked where leaking fluids might contaminate riparian zones, sinkholes, or ground water sources was observed during the assessment.</p>
NOTES: None	
<p>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.</p> <p><i>Applicability Note to Criterion 6.8: Genetically improved organisms (e.g., Mendelian crossed) are not considered to be genetically modified organisms (i.e., results of genetic engineering), and may be used. The prohibition of genetically modified organisms applies to all organisms including trees. This Criterion is guided by the FSC policy paper: GMOs: Genetically Modified Organisms: Interpretation for FSC. Revised October 1999.</i></p>	
Criterion Level Remarks: Conformance.	
6.8.a. Exotic (i.e., non-indigenous), non-invasive predators or biological control agents are used only as part of a pest management strategy for the control of exotic species of plants, pathogens (see Glossary), insects, or other animals when other pest control methods are, or can reasonably be expected to prove, ineffective. Such use is contingent upon peer-reviewed scientific evidence that the agents in question are non-invasive and are safe for indigenous species because, for example, exotic species can host pathogens that might diminish biodiversity in the forest.	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Silvicultural and chemical means, as well as tolerance of endemic levels of pests, are the predominant methods for addressing forest pests on MFL properties. Exotic predators or parasitoids have not been used for pest control on MFL properties within the potential certification group. Aerial application of <i>Bacillus thuringiensis kurstaki</i> (Btk) and Nucleopolyhedrosis Virus (Gypchek) has been used by WI DNR to control invasive gypsy moths on both public and private forests, including MFL properties. Gypchek has been used where application of Btk poses a risk to certain lepidopterous species within the affected area. The safety and effectiveness of these treatments has been substantiated by the scientific literature.</p>
NOTES: None.	
<p>6.9 The use of exotic species shall be carefully controlled and actively monitored to avoid adverse ecological impacts.</p>	
Criterion Level Remarks: Minor nonconformance.	
6.9.a. Except on plantation sites (see also Criterion 10.4), the use of exotic tree species is permitted only in the first successional stages or other short-term stages for the purposes of restoring degraded ecosystems.	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Exotic tree species are not planted or seeded on MFL properties within the potential certification group. Management activities proposed and implemented via MFL management plans are conducted in a manner which ensures regeneration and succession of native tree species and forest communities, using natural regeneration and native seedlings in the case of artificial regeneration. Norway spruce and Scotch pine were occasionally used in the early 1900s to reforest areas across the state, including some properties currently enrolled in MFL. It is WI DNR policy to allow these areas to convert naturally or through planting to</p>

<p>6.9.b. The use of exotic species (see Glossary) is contingent on peer-reviewed scientific evidence that the species in question is non-invasive and will not diminish biodiversity. If non-invasive exotic species are used, the provenance and location of use are documented, and their ecological effects are actively monitored.</p>	<p>native species.</p> <p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Both native and non-native seed mixes are used to control erosion and other soil disturbances during management activities on MFL properties. When native seed mixes are unavailable, mixtures of native and non-persistent, non-native mixes of grasses (e.g., oats, rye) and legumes are used only for seeding roadsides, landings, and skid trails. Based on the literature and expert opinion, these non-native species are considered non-invasive. WI DNR provides guidance on seed mixtures and applications within its BMP manual and Forest Management Guidelines publication. WI DNR and consulting foresters also work with MFL landowners to acquire appropriate non-invasive seed mixtures from established sources (e.g., National Wild Turkey Federation). Seed sources and area of application are documented at least informally within management plans or supporting documents attached to each MFL property file maintained by WI DNR. WI DNR foresters, forestry consultants, and contractors visit sites often enough to ascertain whether the seedlings have spread beyond sites of application.</p>
<p>6.9.c. Written documentation is maintained for the use of exotic species.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Exotic tree species are not planted or seeded on MFL properties within the potential certification group. Non-invasive exotic plant species are used only for reseeding skid trails, log landings, and other areas (e.g., culverts) to control erosion. Seed mixes, rates, times, and area of application are documented at least informally within management plans or supporting documents attached to each MFL property file maintained by WI DNR. Written guidance to contractors and landowners on seed mixtures and applications to control erosion on landings, roadsides, and other areas disturbed by management activities is provided within the WI DNR's water quality BMP manual and Forest Management Guidelines.</p>
<p>6.9.d. Forest owners or managers develop and implement control measures for invasive exotic species.</p>	<p>Conformance with Indicator: Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A <input type="checkbox"/></p> <p>Most MFL management plans include guidance about gypsy moth control strategies. Additionally, silvicultural strategies for the control of oak wilt were a consistent feature of management plans. Management plans occasionally make reference to the presence of non-native invasive (NNI) plant species on MFL lands, and sometimes these references include specific measures for control (e.g., buckthorn; Ditscheit Family LLC, Marquette Co.). WI DNR has developed extensive guidance on invasive species that is available to MFL landowners. However, it is unclear if and how this guidance is translating to control measures on MFL group lands (CAR 07/08).</p> <p>At a statewide level, WI DNR has been proactive in developing and implementing</p>

	<p>control measures, partnerships, and educational resources to prevent spread of NNI species. WI DNR has actively contributed to NNI control efforts including the Northwoods Cooperative Weed Management Area, Invasive Plant Association of Wisconsin, and the Governor’s Council on Invasive Species. Educational resources developed by WI DNR include an invasive species website and written guides, posters, and brochures to educate the general public about NNI species. WI DNR also has well-developed IPM strategies and technical staff support, including a Forest Health Protection (FHP) program, that provide control strategies for forest pests (see findings associated with Criterion 6.6.c). WI DNR is currently developing an invasive species control administrative rule. WI DNR, in cooperation with stakeholders, is also developing BMPs for Invasive Species Control, which if implemented could provide MFL landowners and consultants with specific guidance or direction about measures to control NNI plant species on properties within the potential certification group.</p>
<p>NOTES: CAR 07/08: WI DNR shall develop and implement measures to encourage MFL group landowners to conduct control measures for invasive exotic species found on their properties, when appropriate.</p>	
<p>6.10. Forest conversion to plantations or non-forest land uses shall not occur, except in circumstances where conversion:</p> <ul style="list-style-type: none"> 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. <p><i>Applicability Note: Forest management activities that are part of an approved management plan, including road construction and habitat restoration (such as creation of openings in the forest for wildlife habitat and the maintenance or creation of wetlands or prairies) are not conversions for the purposes of this criterion.</i></p>	
<p>Criterion Level Remarks: Conformance.</p>	
<p>6.10.a. Over the life of the ownership, forest to non-forest conversions are limited to the threshold of 1% of the forest area or 100 acres, whichever is smaller, except that a parcel up to two acres in size may be converted for residential use by the forest owner or manager.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>A fundamental purpose of the MFL program is to discourage fragmentation and conversion of forest land, using specific eligibility requirements (including land use) and limits on authorized transfers. Conversion of MFL properties to plantation or non-forest uses is prohibited as a requirement of membership in the program. Conversion to plantations is not occurring on enrolled MFL properties, as the silviculture prescribed in MFL management plans is natural forest management.</p> <p>At the time of enrollment, landowners can include pre-existing non-forest areas (e.g., primitive structures such as cabins or barns, maintained wildlife openings, natural openings such as prairie or marsh wetland) in a “non-productive” designation, which may not exceed 20% of the property. However, the remaining ≥80% of the property must be productive forest and once enrolled conversion to non-forest uses is prohibited. Prohibited activities include but are not limited to establishment of primary or secondary residences, cattle grazing, landscaping</p>

	<p>around structures (e.g., cabins), gravel mining, or other uses that are incompatible with sound forestry or result in conversion to non-forest. WI DNR has established specific criteria by which structures qualify as primary or secondary residences to prevent residential development of MFL properties. The MFL program also recently prohibited landowners from leasing or receiving “consideration” (i.e., cash, goods, services) for recreational uses of MFL properties. This policy reduces landowner incentives to subdivide properties, which ultimately could lead to non-forest conversions.</p> <p>Landowners may be involuntarily withdrawn from the MFL program by WI DNR if conversion of forest to non-forest occurs. The most common reasons for involuntary withdrawal include practicing unsound forestry, building construction, gravel mining, and deposition of highway debris. Landowners also may voluntarily withdraw their lands from the MFL program. However, with either voluntary or involuntary withdrawals, the landowner incurs significant tax liabilities and penalties due at the time of withdrawal.</p> <p>In 2007, there were 39,933 members within the potential certification group. Of these, 20 members were withdrawn involuntarily and 177 members withdrew voluntarily, collectively representing 0.49% of MFL property owners. Therefore, the MFL program appears to be providing strong incentives for long-term forest stewardship of the enrolled properties and discouragement of forest conversions.</p>
<p>6.10.b. When private forestlands are sold, a portion of the proceeds of the sale is reinvested in additional forest lands and/or forest stewardship.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>While WI DNR cannot control the transfer or sale of privately-owned MFL properties, the MFL program provides a strong mechanism and set of incentives for keeping these ownerships in forestland and forest management. When MFL properties are sold, MFL enrollment is transferable to the new landowner, as long as conditions of enrollment continue to be met. If the property is withdrawn from MFL by the new landowner, they must pay the significant taxes and penalties incurred as a result of the withdrawal. This mechanism provides a strong incentive for the purchasing landowner to retain the property in the MFL program, and therefore in long-term forest stewardship. The extremely low percentage of voluntary MFL withdrawals (see findings for 6.10a above) indicates that these incentives are contributing to the long-term retention of properties in the MFL program when ownership is transferred.</p>
<p>NOTES: None</p>	

<p>PRINCIPLE 7. <u>MANAGEMENT PLAN</u> - 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.</p>	
<p><u>Criteria and Indicators</u></p>	<p><u>Findings</u></p>

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 a profile of adjacent lands.**
- c) Description of silvicultural and/or other management system, based on 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.**

Applicability Note: The management plan may consist of a variety of documents not necessarily unified into a single planning document but which represents an integrated strategy for managing the forest within the ecological, economic, and social limitations of the land. The plan includes a description and rationale for management elements appropriate to the scale, intensity, and goals of management, and may include:

Silvicultural systems

Regeneration strategies

Maintenance of structural and species diversity

Pest control (disease, insects, invasive species, and vegetation)

Soil and water conservation

Methods and annual rates of harvest, by species and products

Equipment and personnel needs

Transportation system

Fire management

Prescribed fires

Wildfires

Fish and wildlife and their habitats (including non-game species)

Non-timber forest products

Methods and annual rates of harvest, by species and products

Regeneration strategies

Socioeconomic issues

Public access and use

Conservation of historical and cultural resources

Protection of aesthetic values

Employee and contractor policies and procedures

Community relations

Stakeholder notification

Public comment process

For public forests, legal and historic mandates

<p>American Indian issues</p> <ul style="list-style-type: none"> Protection of legal and customary rights Procedures for integrating tribal concerns in forest management Management of sites of special significance <p>Special management areas</p> <ul style="list-style-type: none"> High Conservation Value Forests Riparian management zone Set asides of samples of representative existing ecosystems Sensitive, rare, threatened, and endangered species protection Other protected areas <p>Landscape level analyses and strategies</p>	
<p>Criterion Level Remarks: Minor nonconformance. WI DNR has the authority to require management plan updates when a Cutting Notice is submitted but not all plans are updated at that time. A few required components are missing from some older management plan.</p>	
<p>7.1.a. Management objectives</p>	
<p>7.1.a.1. A written management plan is prepared that includes the landowner's short-term and long-term goals and objectives (ecological, social, and economic). The objectives are specific, achievable, and measurable.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Landowner goals and objectives are documented in the plan in at least two places. The first page of the plan landowner goals (referred to as "objectives" in the plan, but these are stated more like goals). Objectives are described for each stand and include what type of silvicultural intervention is needed (mandatory practice) or recommended with specific reference to timber production. These stand-level objectives are specific, achievable and measurable. Objectives are commonly stated for wildlife and aesthetics.</p>
<p>7.1.a.2. The management plan describes desired future conditions that will meet the long-term goals and objectives and that determine the silvicultural system(s) and management activities to be used.</p>	<p>Conformance with Indicator: Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A <input type="checkbox"/></p> <p>Plans after about ~1990 regularly, but not always, include indirect descriptions of desired future conditions through gross, stand-level descriptions of changes in structure, density and composition of trees with silviculture. Plans from the 1980s do not have detailed stand-level descriptions as a basis for desired future conditions or determination (justification) of silvicultural systems (CAR 08/08). Plans from the 1990s are less detailed than those developed after 2000.</p>
<p>7.1.b. Description of forest resources to be managed, environmental limitations, land use and ownership status, socioeconomic conditions, and profile of adjacent lands</p>	
<p>7.1.b.1. The management plan describes the timber, fish and wildlife, harvested non-timber forest products, soils, and non-economic forest resources.</p>	<p>Conformance with Indicator: Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A <input type="checkbox"/></p> <p>Management plans include descriptions of tree communities and timber, with the level of detail in the plans increasing from the 1980s to the present. Wildlife and soils information is not provided in plans prior to 1990 (CAR 08/08). Non-timber forest products are addressed in management plans if the landowner expresses an associated objective. Some non-timber forest resources, such as water</p>

	resources, are addressed in the plan either through maps or narratives associated with stand-level description of forest ecosystems.
7.1.b.2. The management plan includes descriptions of special management areas; sensitive, rare, threatened, and endangered species and their habitats; and other ecologically sensitive features in the forest.	<p>Conformance with Indicator: Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A <input type="checkbox"/></p> <p>Management plans after 1990 regularly, but not always, include descriptions of special management areas; sensitive, rare, threatened, and endangered species and their habitats; and other ecologically sensitive features in the forest; plans prior to 1990 do not (CAR 08/08). Plan writers are required to query the State of Wisconsin Natural Heritage Database and include results in the management plan.</p>
7.1.b.3. The management plan includes a description of past land uses and incorporates this information into the vision, goals, and objectives.	<p>Conformance with Indicator: Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A <input type="checkbox"/></p> <p>Management plans after 1990 include descriptions of past land uses (to be incorporated into the vision, goals, and objectives); plans prior to 1990 do not (CAR 08/08).</p>
7.1.b.4. The management plan identifies the legal status of the forest and its resources (e.g., ownership, usufruct rights (see Glossary), treaty rights, easements, deed restrictions, and leasing arrangements).	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>WI DNR requires that landowners provide copies of deeds representing all acreage being entered into the MFL program. County, section, town, range (referred to as the “legal description”) and range direction are recorded from each property on the management plan. MFL participants are required to apprise WI DNR if there are any easements or other legal arrangements that affect timber harvesting on the property.</p>
7.1.b.5. The management plan identifies relevant cultural and socioeconomic issues (e.g., traditional and customary rights of use, access, recreational uses, and employment), conditions (e.g., composition of the workforce, stability of employment, and changes in forest ownership and tenure), and areas of special significance (e.g., ceremonial and archeological sites).	<p>Conformance with Indicator: Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A <input type="checkbox"/></p> <p>Inspection of the MFL plans and interviews with DNR foresters indicated that cultural and archeological sites are not consistently identified and checked. Cultural liaison forester positions have not been adequately filled and some counties are without adequate cultural resource specialists (CAR 08/08).</p>
7.1.b.6. The management plan incorporates landscape-level considerations within the ownership and among adjacent and nearby lands, including major bodies of water, critical habitats, and riparian corridors shared with adjacent ownerships.	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Inspection of the management plans indicated that landscape level considerations within the ownership are addressed, including streams, watercourses, timber stands, and areas outside of the MFL program. Interviews with WI DNR foresters indicated that timber sales are sought out and combined in order to attract bids from logging contractors. Interviews also indicated that landscape level plans are reviewed and management prescriptions are recommended. For example, the Driftless Area planning process will identify habitat needs for neotropical migratory birds, and the need for a closed canopy of forest.</p>

	While individual management plans do not routinely identify landscape-level issues, the overall management program of the DNR addresses critical habitats and DNR staff work to address landscape level concerns.
7.1.c. Description of silvicultural and/or other management system	
7.1.c.1. Silvicultural system(s) and prescriptions are based on the integration of ecological and economic characteristics (e.g., successional processes, soil characteristics, existing species composition and structures, desired future conditions, and market conditions). (see also sub-Criterion 6.3.a)	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Inspection of the MFL and Stewardship Plans indicated that silvicultural prescriptions address ecological and economic considerations. Several plans contained amendments to the stand-level prescriptions based upon current markets. Interviews indicated that DNR Foresters carefully review management prescriptions and timber marking by consultants and other foresters. Several instances were uncovered where DNR foresters remarked trees so that they would not be cut. DNR foresters also work with private consultants and companies to review and approve thinning proposals where individual trees may not be marked.</p>
7.1.c.2. Prescriptions are prepared prior to harvesting, site preparation, pest control, burning, and planting and are available to people who implement the prescriptions.	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>The MFL and Stewardship Plans are prepared prior to the harvest and are updated as appropriate. Inspection of the plans indicated that the landowner is required to sign-off on the plan and agree to comply with the terms and conditions of the plan. Interviews with consultants and private company procurement foresters indicated that the prescriptions are reviewed with the loggers.</p>
7.1.d. Rationale for the rate of annual harvest and species selection (see criterion 5.6)	
7.1.d.1. Calculations for the harvests of both timber and non-timber products are detailed or referenced in the management plan and are based on net growth, yield, stocking, and regeneration data. (see also 5.6.b)	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Sustainability of timber harvests is based on managing stands using silviculture, including the use of volume control methods to partition partial cuts (e.g., thinnings).</p> <p>Inspection of forest plans indicated that non-timber products are not generally addressed in the management plan. Interviews indicated that WI DNR foresters informally discuss management options for non-timber products.</p> <p>Interviews indicated that DNR foresters provide recommendations to the landowner of approved cooperating foresters that can conduct detailed forest inventories. Where warranted, the DNR foresters may conduct a general inventory and prescribe harvest rates. DNR foresters prescribe mandatory practices to accomplish needed silvicultural treatments designed to improve forest health and productivity.</p>
7.1.d.2. Species selection meets the social and economic goals	Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

<p>and objectives of the forest owner or manager and leads to the desired future conditions while maintaining or improving the ecological composition, structures, and functions of the forest.</p>	<p>Inspection of management plans indicated that each stand is designated according to species composition and age class based on desired future forest condition. Wetlands, important wildlife and other resource values, streams and waterbodies and other important features are captured on the maps.</p>
<p>7.1.d.3. The management plan addresses potentially disruptive effects of pests, storms, droughts, and fires as they relate to allowable cut.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Inspection of the management plans indicated that insects and disease pests are addressed. Some plans prescribed no harvests between certain time periods to minimize oak wilt. Other plans addressed gypsy moth, ash borer and other insect and disease preventive measures.</p>
<p>7.1.e. Provisions for monitoring forest growth and dynamics (see also Principle 8)</p>	
<p>7.1.e.1. The management plan includes a description of procedures to monitor the forest.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Inspection of the MFL Certified Group Procedure demonstrated that the WI DNR describes procedures to monitor the forest.</p> <p>Interviews indicated that WI DNR foresters routinely monitor the mandatory practices and accomplishments. WI DNR is also working to improve its computer tracking program (WISFIRS) of mandatory practices that will alert DNR foresters to upcoming requirements.</p>
<p>7.1.f. Environmental safeguards based on environmental assessments (see also Criterion 6.1.)</p>	
	<p>Conformance with Indicator: Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A <input type="checkbox"/></p> <p>When assessments and descriptions are made, available science and local expertise is usually used via the involvement of WI DNR foresters or consulting foresters. Landowners and consulting foresters have ready access to one or more WI DNR foresters and other professional staff, increasing the opportunities for bringing science and expertise to management.</p> <p>Documented environmental assessment within some older management plans is not adequate to address the requirements of Criterion 6.1(CAR 08/08).</p>
<p>7.1.g. Plans for the identification and protection of rare, threatened, and endangered species. (see also Criterion 6.3.)</p>	
	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>See Criterion 6.3 for relevant findings.</p>
<p>7.1.h. Maps describing the forest resource base including protected areas, planned management activities, and land ownership.</p>	
<p>7.1.h.1. The management plan includes maps of such forest characteristics as: relevant landscape-level factors; property boundaries; roads; areas of timber production; forest types by age</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Inspection of some management plan maps indicated that not all maps contained</p>

<p>class; topography; soils; riparian zones; springs and wetlands; archaeological sites; areas of cultural and customary use; locations of sensitive, rare, threatened, and/or endangered species and their habitats; and designated High Conservation Value Forests.</p>	<p>all required features. Some streams, topography and other features are missing in some plans. Management Plan maps are inconsistent in their quality and thoroughness.</p> <p>Inspection of other databases, including the Natural Heritage database, indicated that the management plan maps are effectively supplemented by other maps and databases available to DNR foresters. Collectively, the maps and databases provide the DNR with sufficient information about the forest resources included in the MFL Program.</p>
<p>7.1.i. Description and justification of harvesting techniques and equipment to be used. (see also Criterion 6.5)</p>	
<p>7.1.i.1. Harvesting machinery and techniques are discussed in the management or harvest plan and are specifically matched to forest conditions in order to minimize damage.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Inspection of the management plans indicated that harvesting techniques are discussed and matched to forest conditions. However, harvesting machinery is not addressed but the harvesting techniques and available equipment will lead to final choices in machinery.</p> <p>Interviews indicated that WI DNR foresters do specify winter logging in order to minimize the impact of heavy equipment on forest soils and wetland areas.</p>
<p>7.1.i.2. Conditions for each timber sale are established by a timber sale contract or written harvest prescription and accompanying timber sale map.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>WI DNR does have a management plan that contains written harvest prescriptions and accompanying maps.</p> <p>Inspection of timber sale contracts between some of the private companies and landowners indicated that the contract do contain harvest prescriptions. However, the detail involved in the Timber Sale contracts varies considerably.</p> <p>Interview indicated that WI DNR does provide sample contracts to MFL participants and recommends cooperating foresters that have received training in plan writing and timber sale administration.</p>
<p>NOTES: CAR 08/08: WI DNR shall develop and implement measures to update all MFL group management plans prior to any management activities so that they are in conformance with FSC Criterion 7.1.</p>	
<p>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.</p>	
<p>Criterion Level Remarks: Conformance.</p>	
<p>7.2.a. Operational components of the management plan are reviewed and revised as necessary or at least every 5 years. Components of the long-term (strategic) management plan are revised and updated at the end of the planning period or when</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Interviews indicated that the Forest Management Guidelines are updated every five years. The Management Guidelines provide the direction to DNR foresters</p>

<p>other changes in the management require it. (see also Criterion 8.4)</p>	<p>and cooperators on how to administer the MFL Program.</p> <p>Inspection of the MFL management plans indicated that they are amended and modified as necessary to adjust to market, forest health and other contingencies.</p> <p>Interviews indicated that the individual management plans are updated every 10-15 years. Inspection of some older plans indicated that they tend to be less detailed than the newer plans.</p>
<p>NOTES: None.</p>	
<p>7.3. Forest workers shall receive adequate training and supervision to ensure proper implementation of the management plan.</p>	
<p>Criterion Level Remarks: Conformance</p>	
<p>7.3.a. The forest owner or manager assures that workers are qualified to implement the management plan (see also Criterion 4.2).</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Interviews with loggers and WI DNR foresters indicated that they receive periodic training that qualifies them to implement the management plans. Certified Plan Writers are required to receive training on writing plans and the specifics of the Silvicultural Handbook.</p> <p>Interviews indicated that all WI DNR foresters go through a rigorous mentoring program with a senior WI DNR manager before they are approved to write management plans and provide forestry advice to landowners. Notably, at least one team of young WI DNR foresters were administering MFL job oversight incorrectly, leading to timber harvesting that degraded the forest both in terms of stand and site conditions.</p> <p>Interviews with professional loggers indicated that they have attended the SFI Training Program (FISTA), but not all loggers interviewed were professionals and/or attend the FISTA.</p> <p>Concerns were expressed by some stakeholders on the general qualifications of forest workers. One stakeholder wrote: "Contrary to criteria 7.3.a our members report they are seldom required to show proof of their qualifications as a professional logging contractor. It seems appropriate that Master Logger Certification should be the standard of excellence for FSC." This stakeholder further commented that: "logging contractors are seldom given a copy of the forest management plan or participate in a detailed review of the management objectives of the intended timber sale."</p> <p>Variability in some elements of the MFL program was noted among the regions by the auditors during the field assessment. While observations were that workers are generally qualified to implement the management plan, it was apparent that in</p>

	some cases forest workers were not fully qualified (OBS 06/08).
7.3.b. The management plan is understandable, comprehensive, and readily available to field personnel.	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Interviews indicated that the MFL management plans are relatively more detailed and comprehensive than most other state stewardship plans. Consistency is improving as more consulting foresters are training and become involved as Cooperators.</p> <p>Inspection of the management plans indicated that they are understandable and readily available to field personnel.</p>
NOTES: OBS 06/08 : WI DNR should develop a more complete system for assuring that forest workers are qualified to implement the management plan, including personnel from WI DNR and the consulting forester and logger pools.	
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.	
<i>Applicability Note to Criterion 7.4: Forest owners or managers of private forests may withhold proprietary information (e.g., the nature and extent of their forest resource base, marketing strategies, and other financial information). (see also Criterion 8.5)</i>	
Criterion Level Remarks: Conformance	
7.4.a. A management plan summary that outlines management objectives (from sub-Criterion 7.1.a.), whether on private lands or the land pool under a resource manager, is available to the public at a reasonable fee. Additional elements of the plan may be excluded, to protect the security of environmentally sensitive and/or proprietary information.	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Inspection of the management plans and management planning process indicated that the plans are part of the public record and are readily available to all interested parties.</p>
7.4.b. Managers of public forests make forestry-related information easily accessible (e.g., available on websites) for public review, including that required by Criterion 7.1.	<p>Conformance with Indicator: Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input checked="" type="checkbox"/></p> <p>MFL properties are not public forests. Thus, this Indicator is not applicable.</p>
NOTES: None	
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.	
<u>Criteria and Indicators</u>	<u>Findings</u>
Criterion Level Remarks: Conformance	
8.1.a. The frequency of monitoring activities follows the schedule outlined in the management plan.	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Management plans do not include a schedule for monitoring, but key elements of monitoring are built into WI DNR and the MFL program. WI DNR has many programs related to monitoring at an organizational level (e.g., internal management systems that include performance and program reviews, private</p>

	<p>forestry program reviews with stakeholder input). At the State-level, WI DNR does biotic monitoring through FIA, wildlife surveys, forest health surveys, endangered resources surveys, etc. The Land Legacy Report and the Statewide Forest Plan are examples of documented, state-wide monitoring. Some state-wide BMP monitoring can be specifically associated with the MFL program, amongst other forest use groups.</p> <p>Monitoring at the MFL property-specific level is mainly associated with WI DNR efforts to approve forest management plans (once every 25 to 50 years), approve cutting notices (periodically, perhaps once every 5 to 10 years), and to approve cutting reports (associated with the end of a timber harvest operation, as the basis for assignment of yield taxes). Some WI DNR private lands foresters conduct more regular, informal visits to MFL properties outside this normal pattern. Indirect monitoring may occur through the landowner and the consulting forester, though these activities are not formally accounted for by WI DNR.</p> <p>In association with the American Tree Farm System Group Certification, WI DNR has conducted annual internal audits (2006 and 2007) to determine landowner compliance with the MFL program and the Tree Farm standards. A certification checklist is used to record and document objective evidence and findings for each Tree Farm performance measure and indicator. In a manner somewhat similar to this SW assessment, WI DNR randomly chooses a county to audit. These self-audit systems appear well done and affirm that WI DNR "foresters are doing an excellent job in administering the forest tax law program. Several opportunities for improvement were identified for both the Forest Tax Section and field foresters". Corrective and Preventive Action Request were developed by WI DNR in association with these audits using a progressive, root cause analysis approach.</p>
<p>8.1.b. Monitoring is carried out to assess:</p> <ul style="list-style-type: none"> • The degree to which management goals and objectives have been achieved; • Deviations from the management plan; • Unexpected effects of management activities; • Social (see Criterion 4.4) and environmental (see Criterion 6.1) effects of management activities. 	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>The degree to which management goals and objectives have been achieved is assessed by comparing the forest management plans with the conduct of mandatory and recommended silviculture practices. Deviations from the management plan are reviewed at the time of forest management activity. Achievement of, or adjustments to, the forest management plan are recorded via the cutting notice. It is this cutting notice and the associated cutting report that are the monitoring devices for the MFL program. Property files are maintained at the regional offices to include the management plan, the cutting notices and reports, and any correspondences between the landowners and the WI DNR. Unexpected effects of management activities and environmental effects of management recorded in the records of the cutting notice and property files. Some minor regional inconsistencies were observed by the assessment team in how property</p>

	file are constructed and how operators were monitored and held accountable to stand and site conditions during and after forest operations. Social effects of management activities are monitored through recorded interactions between / among the landowner, consulting forester, logger or WI DNR private lands forester.
8.1.c. Public and large, private land owners or managers take the lead in identifying, initiating, and supporting research efforts to address pertinent ecological questions. Small and medium private landowners or managers use information that has been developed by researchers and other managers.	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>WI DNR foresters use information that has been developed by researchers and other managers to aid in the management of the MFL program. They are well trained and educated, with many opportunities for regular, yearly participation at technology and knowledge transfer workshops and meetings.</p> <p>It is unclear how well this information and knowledge available to WI DNR is transferred down to the management of individual MFL properties. It is the landowner / logger / consulting forester team that conducts the forest management, so it is at this level too that the criterion has bearing. With few exceptions, management of MFL lands was observed to be at a high level consistent with a knowledgeable forest work force.</p>
NOTES: None.	
<p>8.2. Forest management should include the research and data collection needed to monitor, at a minimum, the following indicators:</p> <ul style="list-style-type: none"> 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, and e) cost, productivity, and efficiency of forest management. 	
Criterion Level Remarks: Minor nonconformance.	
8.2.a. Yield of all forest products harvested	
8.2.a.1. The forest owner or manager maintains records of standing inventories of timber and harvest volumes of timber and non-timber species (quality and quantity).	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>WI DNR and the forest owner maintain records of standing inventories of timber and harvest volume of timber as presented in the forest management plan. These records are first developed when the plan is written, and updated when timber is harvested over the course of 25 to 50 years (depending on plan duration). Harvest volumes are recorded in the cutting report as a basis for yield taxes.</p> <p>The group manager reported that non-timber forest products are likely harvested on MFL lands, albeit at low levels, and there is only very informal monitoring and mention of non-timber species harvests levels in management plans (OBS 07/08).</p>
8.2.b. Growth rates, regeneration, and condition of the forest	
8.2.b.1. An inventory system is established and records are	Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

<p>maintained for:</p> <ul style="list-style-type: none"> (1) Timber growth and mortality (for volume control systems); (2) Stocking, and regeneration; (3) Stand-level and forest-level composition and structure (e.g., by use of tools, such as ecological classification systems); (4) Abundance, regeneration, and habitat conditions of non-timber forest products; (5) Terrestrial and aquatic features; (6) Soil characteristics (e.g., texture, drainage, existing erosion); (7) Pest conditions. 	<p>(1) While volume control systems are generally used on MFL lands via silviculture (e.g., stand-level control of basal area), timber growth and mortality are not recorded, but this lack of record was judged as not be critical given the small scale of forests.</p> <p>(2) Stocking of stands is described at the time that the management plan development. Stands are classed by tree species composition, average tree size, and merchantable volume of trees. Regeneration is informally accounted for in some stand descriptions. The lack of a formal system for monitoring regeneration (and even informal most times), especially in light of the fact that many of potential group lands have stands that are being regenerated as well as a growing deer browse problem in some areas, is an element of monitoring that should be added to the MFL forest management system (OBS 08/08).</p> <p>(3) Stand-level and forest-level composition and structure are established and recorded in manner similar to (2) above. Stands are classed by tree species composition, average tree size, and merchantable volume of trees. Standard forest cover designations are used to classify stands. Ecological classification systems are used to describe MFL properties in context of the surrounding landscape (in plans developed since 1990).</p> <p>(4) Abundance, regeneration, and habitat conditions of non-timber forest products are not formally documented (OBS 07/08).</p> <p>(5) Terrestrial and aquatic features are recorded on property maps. Some of these features are included in the stand descriptions of environmental conditions.</p> <p>(6) Soil conditions are described in management plan, often in the stand descriptions of environmental conditions.</p> <p>(7) Pest conditions are described in management plan, often in the stand descriptions of environmental conditions.</p>
<p>8.2.c. Composition and observed changes in the flora and fauna</p>	
<p>8.2.c.1. Forest owners or managers periodically monitor the forest for changes in major habitat elements and in the occurrence of sensitive, rare, threatened, or endangered species or communities.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Monitoring changes in the occurrence of sensitive, RT&E species is conducted at the state-level by WI DNR.</p>
<p>8.2.d. Environmental and social impacts of harvesting and other operations</p>	
<p>8.2.d.1. The environmental effects of site-disturbing activities are assessed (e.g., road construction and repair, harvesting, and site</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>

<p>preparation).</p>	<p>Monitoring of the environmental effects of site-disturbing activities is the responsibility of the WI DNR forester and the consulting forester working on behalf of the landowner. Monitoring by WI DNR occurs with field visits associated with both the cutting notice (pre-harvest) and cutting report (post harvest).</p> <p>WI DNR foresters have the capacity to hold the consulting forest and/or associated logging contractor to high levels of compliance with BMPs, but only after the timber harvest is complete (see findings associated with Criterion 6.5). Compliance with BMPs was observed to be at ~90%; 10% of the properties had timber harvests completed and closed without proper BMPs, e.g., long skid trails with excess rutting, excessive number of skid trails, tree tops left in sensitive wet areas. The problem with WI DNR monitoring apparently occurred in these cases along two lines: the environmentally damaging effects were not observed because the WI DNR forester only visits the property at the beginning and end of the timber harvest operation, and/or the WI DNR forester did not hold the consulting forester/logger accountable to the BMP requirements and approved the cutting record without proper job closeout (OBS 09/08).</p>
<p>8.2.d.2. Creation or maintenance of local jobs and public responses to management activities are monitored.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Monitoring of social impacts of harvesting and other operations on creation or maintenance of local jobs and public responses to management activities is informal at best, yet consistent with the requirements of an operation that works with mostly small landowners.</p>
<p>8.2.d.3. Sites of special significance to American Indians are monitored in consultation with tribal representatives (see also Principle 3).</p>	<p>Conformance with Indicator: Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A <input type="checkbox"/></p> <p>Sites of special significance to American Indians are known to exist on MFL lands, but no full accounting of these sites was made available to the assessors and their was no evidence of a monitoring program with tribal representatives (CAR 03/08).</p>
<p>8.2.e. Cost, productivity, and efficiency of forest management</p>	
<p>8.2.e.1. Forest owners or managers monitor the cost and revenues of management in order to assess productivity and efficiency.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>The majority of properties within the potential certification group are small (<100 acres) with modest silvicultural plans that mostly call for tending operations or conversion to uneven-aged stand conditions. These operations must show a small profit for the owners to pay consultant fees for management:</p>
<p>NOTES: OBS 07/08: WI DNR should develop and implement measures to inventory and monitor NTFPs on MFL group lands. OBS 08/08: WI DNR should develop and implement a system to inventory and monitor regeneration on MFL. OBS 09/08: WI DNR should develop and implement a system to ensure consistent monitoring and mitigation of regarding the application of best management practices. CAR 03/08 associated with Criterion 3.2.</p>	

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 the "chain-of-custody."	
<i>Applicability Note: For chain-of-custody management requirements, see Section 3.6 of Chain of Custody Standards, FSC Accreditation Manual.</i>	
Criterion Level Remarks: Major non-conformance. WI DNR does not have a chain-of-custody process.	
	Conformance with Indicator: Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A <input type="checkbox"/> WI DNR does not have a chain-of-custody process (major CAR 09/08). See findings in Appendix IV.
NOTES: Major CAR 09/08: WI DNR shall develop and document procedures for group member chain-of-custody to cover all the CoC Criteria.	
8.4. The results of monitoring shall be incorporated into the implementation and revision of the management plan.	
Criterion Level Remarks: Conformance.	
8.4.a. Discrepancies between outcomes (i.e., yields, growth, ecological changes) and expectations (i.e., plans, projections, anticipated impacts) are appraised and taken into account in the subsequent management plan.	Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> Since the MFL program has only been around since 1985, and the shortest duration of a management plan is 25 years, there has been no need yet to fully revise MFL management plans. The MFL program process does include, through cutting notices and cutting reports, changes in terms of yields and ecological changes as related to changed silvicultural prescriptions. It is expected that this information will be useful and used in revising the management plans.
NOTES: None	
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.	
<i>Applicability Note to Criterion 8.5: Forest owners or managers of private forests may withhold proprietary information (e.g., the nature and extent of their forest resource base, marketing strategies, and other financial information). (see also Criterion 7.4)</i>	
Criterion Level Remarks: Conformance.	
8.5.a. A summary outlining the results of monitoring is available to the public at a reasonable fee, whether on private lands or a land pool under a resource manager or group certification.	Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> WI DNR does produce annual monitoring reports for ATFS Group Certification. DNR conducts annual internal monitoring as specified in the MFL Group Certification chapter of the Forest Tax Law Handbook. DNR sends an annual "CFM-PMAS" accomplishment report to the USFS. A variety of reports for internal purposes are generated by WI DNR including review of the program by the State Legislature. The Wisconsin Department of Revenue publishes an annual "tax exemption devices" report on the tax benefits from MFL.
8.5.b. Managers of public forests make information related to monitoring easily accessible (e.g., available on websites) for public review.	Conformance with Indicator: Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input checked="" type="checkbox"/> The potential group does not include public forests.

NOTES: None.

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.

High Conservation Value Forests are those that possess one or more of the following attributes:

- a) **Forest areas containing globally, regionally or nationally significant: concentrations of biodiversity values (e.g., endemism, endangered species, refugia); and/or 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**
- b) **Forest areas that are in or contain rare, threatened or endangered ecosystems**
- c) **Forest areas that provide basic services of nature in critical situations (e.g., watershed protection, erosion control)**
- d) **Forest areas 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).**

Examples of forest areas that may have high conservation value attributes include, but are not limited to:

Central Hardwoods:

- Old growth – (see Glossary) (a)
- Old forests/mixed age stands that include trees >160 years old (a)
- Municipal watersheds –headwaters, reservoirs (c)
- Rare, Threatened, and Endangered (RTE) ecosystems, as defined by GAP analysis, Natural Heritage Inventory, and/or the World Wildlife Fund's Forest Communities of Highest Conservation Concern, and/or Great Lakes Assessment (b)
- Intact forest blocks in an agriculturally dominated landscape (refugia) (a)
- Intact forests >1000 ac (valuable to interior forest species) (a)
- Protected caves (a, b, or d)
- Savannas (a, b, c, or d)
- Glades (a, b, or d)
- Barrens (a, b, or d)
- Prairie remnants (a, b, or d)

North Woods/Lake States:

- Old growth – (see Glossary) (a)
- Old forests/mixed age stands that include trees >120 years old (a)
- Blocks of contiguous forest, > 500 ac, which host RTEs (b)
- Oak savannas (b)
- Hemlock-dominated forests (b)
- Pine stands of natural origin (b)
- Contiguous blocks, >500 ac, of late successional species, that are managed to create old growth (a)
- Fens, particularly calcareous fens (c)

- Other non-forest communities, e.g., barrens, prairies, distinctive geological land forms, vernal pools (b or c)
- Other sites as defined by GAP analysis, Natural Heritage Inventory, and/or the World Wildlife Fund's Forest Communities of Highest Conservation Concern (b)

Note: In the Lake States-Central Hardwoods region, old growth (see Glossary) is both rare and invariably an HCVF.

In the Lake States-Central Hardwoods region, cutting timber is not permitted in old-growth stands or forests.

Note: Old forests (see Glossary) may or may not be designated HCVFs. They are managed to maintain or recruit: (1) the existing abundance of old trees and (2) the landscape- and stand-level structures of old-growth forests, consistent with the composition and structures produced by natural processes.

Old forests that either have or are developing old-growth attributes, but which have been previously harvested, may be designated HCVFs and may be harvested under special plans that account for the ecological attributes that make it an HCVF.

Forest management maintains a mix of sub-climax and climax old-forest conditions in the landscape.

Criteria and Indicators

Findings

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.

Applicability Note: Certain information may be withheld from public discussion to protect the attributes that may be of High Conservation Value. The level of delineation and consultations required is dependent on the scale and intensity of the operation.

Criterion Level Remarks: Conformance.

9.1.a. Attributes and locations of High Conservation Value Forests are determined by (see "applicability to old-growth" note in 6.3):

- identification of globally scaled HCVF attributes that may be present in the forest
- identification and description of regionally and locally scaled HCVF attributes and areas that may be present in the landscape and/or certified forest
- broadly based consultations with stakeholders and scientists
- public review of proposed HCVF attributes and areas
- integration of information from consultations and public review into proposed HCVF delineations
- delineation by maps and habitat descriptions

Conformance with Indicator: Yes No N/A

At a program-wide (i.e., state-wide) scale, WI DNR has identified, mapped, and protected a number of globally-, regionally-, and locally-scaled HCVF's. However, the process employed by WI DNR does not explicitly label HCVFs as such. Rather WI DNR uses its own terminology for identification (e.g., Ecological Landscapes, Natural Communities, NHI, Forest Legacy, Land Legacy) and protection (e.g., State Natural Areas; SNAs). WI DNR assessments applied to the delineation of HCVF-like attributes include Regional Ecological Assessment, Community Restoration and Old-growth Assessment, and Biotic Inventory. Old growth HCVFs have been explicitly identified and protected at a statewide scale. Currently, there are over 400 protected SNAs distributed across 70 of Wisconsin's 72 counties totaling over 150,000 acres. SNAs are protected by state statutes, administrative rules, and guidelines. WI DNR also designates HCVFs as native community areas, wild resource areas, wild/wilderness lakes, scenic management areas, habitat management areas, and special management areas. An additional 229 areas across the state that have been deemed high priorities for conservation and protection have been identified through WI DNR's Land Legacy Program.

	<p>Furthermore, WI DNR's Wisconsin Forest Stewardship – Spatial Analysis Project (SAP) has screened private forest lands, including MFL properties, which may have high stewardship potential. WI DNR provides a public summary of its HCVF processes and efforts (http://dnr.wi.gov/forestry/certification/pdf/HCVFcertWI DNR.pdf).</p> <p>Individual, site-level HCVF-like attributes such as occurrences and habitats for RT&E species and natural communities are identified on individual MFL properties via query/consultation of NHI databases when management plans are developed for each property (also see findings for Criterion 6.2). If RT&E occurrences/habitats are found, they are described in the management plan, locations noted, and appropriate measures for protection are developed. Non-forest HCVF-like attributes (e.g., distinctive geological landforms, marsh/fen wetlands, natural barrens) are protected by management plan prescription and/or by including these features within the “non-productive” acreage for each property. Furthermore, if implemented the WisFIRS Draft MFL Plan format explicitly addresses HCVF presence/protection on MFL properties.</p> <p>Therefore, biodiversity values, including protection of most site-level, HCVF-like attributes on MFL properties are adequately addressed by Criteria 6.1-6.4.</p>
NOTES: None	
<p>9.2 The consultative portion of the certification process must place emphasis on the identified conservation attributes, and options for the maintenance thereof.</p>	
<p>Criterion Level Remarks: Conformance.</p>	
<p><i>Note: Criterion 9.2 is an instruction to FSC-accredited certification bodies. No indicators are required.</i></p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>Although WI DNR does not explicitly label HCVF attributes as such, it does seek input from regional, state, and local stakeholders, scientists, and naturalists to ensure that it has appropriately defined attributes consistent with HCVFs and correctly identified their locations at a statewide scale. Current HCVF attributes and locations (e.g., old-growth areas, wilderness areas, research natural areas) are well-established on state and county forests and recognized as such by interested publics, including scientists and local experts. Identification, location, and protection of as yet unidentified HCVF attributes which may be located on MFL properties are facilitated by querying NHI databases during management plan development, and follow-up consultations with WI DNR and other experts, as warranted.</p>
NOTES: None.	
<p>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.</p>	

Applicability Note to Criterion 9.3: The applicability of the precautionary principle and the consequent flexibility of forest management vary with the size, configuration, and tenure of the HCVF:

a) More flexibility is appropriate where HCV forest is less intact, larger in area, has a larger area-to-perimeter ratio, and its tenure is assured over the long term.

b) Less flexibility is appropriate where HCV forest is more intact, covers a smaller area, has a smaller area-to-perimeter ratio, and future tenure is uncertain based on social considerations, and is consistent with Principle 3.

Criterion Level Remarks: Conformance.

9.3.a. Forest management plans and activities are appropriate for maintaining, enhancing and/or restoring attributes that make the area an HCVF.

Conformance with Indicator: Yes No N/A

Although WI DNR does not specifically identify stands and forests that contain HCV attributes as “HCVF”, WI DNR comprehensively protects HCVFs at a statewide scale by prohibiting or restricting management activities that are inconsistent with their maintenance and restoration. Intensive management activities (e.g., regular timber harvest, mineral extraction, grazing) are not allowed within SNAs or other protected areas containing HCVFs. Permissible activities are directed towards maintenance or restoration of characteristics that identify the HCVFs (e.g., maintenance and restoration of Karner Blue Butterfly habitats, old growth restoration). Recent State Forest Master Plans include detailed information on the designation and location of distinctive land classes. The land classification system communicates management goals and limitations. In addition, management goals and limitations for specific areas are detailed. Passive management areas are identified and mapped, and specific management plans for each SNA, including protection of HCVF attributes, are provided.

Management plans, including prescribed management activities, provide adequate and appropriate guidance for the protection of most site-level, HCVF-like attributes (e.g., RT&E species and rare communities) on MFL properties within the potential certification group.

9.3.b. Active management in HCVFs is allowed only when it maintains or enhances high conservation values.

Conformance with Indicator: Yes No N/A

Although WI DNR does not specifically identify stands and forests that contain HCV attributes as “HCVF”, SNA and state/country forest master plans provide management guidelines for HCVF-like attributes (including old-growth forests). Active and passive management goals are outlined. Management guidelines for HCVF-like attributes are also provided in WI DNR handbooks, including: Silviculture, Old-growth and Old Forests, and Ecological Landscapes, and the Wisconsin Forest Management Guidelines.

Active management of most site-level, HCVF-like attributes (e.g., RT&E species and rare communities) is not prescribed on MFL properties within the potential

<p>9.3.c. The management-plan summary includes information about HCVF management without compromising either the confidentiality of the forest owner or manager or environmentally and culturally sensitive features (see also sub-Criterion 7.1.f).</p>	<p>certification group.</p> <p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>At a statewide scale, WI DNR management plan summaries for state/county forests and protected areas (e.g., SNAs) provide an overview of the planning process, the planning foundation, and the master plan. The land management classification is introduced and an allocation map is presented. HCVF, old-growth forests, and passive management goals are outlined. SNA status is summarized.</p> <p>Specific location information on site-level, HCVF-like attributes (i.e., RT&E species and rare communities) occurring on MFL properties can be provided to the landowner in the management plan, but information is blacked-out of plan copies provided to others who are not authorized to view it. Access to location-specific data for NHI and cultural-historic databases is restricted to authorized users.</p>
<p>9.3.d. Forest owners or managers of HCVFs (forests and/or stands) coordinate conservation efforts with forest owners or managers of other HCVFs in the landscape.</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>At a statewide scale, WI DNR consults with a wide variety of external experts regarding management of HCVFs on state lands and within the broader landscape (e.g., county, federal, private). Specifically, WI DNR has worked with USFS and The Nature Conservancy to identify and protect HCVF at a landscape scale. WI DNR has also identified existing and potential HCVF's through cooperation in numerous landscape-scale assessments, including the Statewide Forest Plan, Ecological Landscapes, Forest and Land Legacy, Wisconsin Bird Conservation Initiative, and Wisconsin Forest Stewardship – Spatial Analysis Project.</p> <p>The small size of individual MFL properties and fragmentation of forests and ownerships in surrounding landscapes make it difficult if not impossible for individual MFL landowners to coordinate conservation efforts at a landscape level. However, during development of management plans for each MFL property, WI DNR and consulting foresters query NHI databases to assess occurrence of site-level, HCVF-like attributes (e.g., RT&E species and rare communities) not only on the property but also on adjacent properties. Landowners are advised if similar conditions or HCVF-like attributes are potentially present on surrounding properties (without compromising confidentiality of specific locations on other ownerships).</p>
<p>NOTES: None</p>	
<p>9.4. Annual monitoring shall be conducted to assess the effectiveness of the measures employed to maintain and enhance the applicable conservation attributes.</p>	
<p>Criterion Level Remarks: Conformance</p>	
<p>9.4.a. Forest owners or managers of small forests may satisfy this requirement with informal observations (see 8.1 and 8.2.). When</p>	<p>Conformance with Indicator: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p>

<p>observations detect changes, the changes are documented.</p>	<p>At a statewide scale, WI DNR uses the Wisconsin Continuous Forest Inventory system to monitor both forest and non-forest trends, including HCVF attributes. FIA and state forest compartment reconnaissance data are also used for monitoring. The SNA program has standardized methods for conducting long-term monitoring of ecosystems, including HCVF attributes.</p> <p>WI DNR foresters, forestry consultants, and contractors visit MFL properties often enough to informally monitor and document potential changes in most HCVF-like attributes (e.g., RT&E species and rare communities). MFL stand reconnaissance data are updated when mandatory practices are completed. If implemented, WI DNR's WisFIRS system will allow detailed spatial analyses MFL forest attributes, including documented site-level HCVFs.</p>
<p>9.4.b. Forest owners or managers of mid-sized and large forests monitor activities within and adjacent to HCVFs that may affect HCVF attributes (see Criteria 7.2, 8.1 and 8.2). Monitoring is adequate to track changes in HCV attributes, and may include informal observations. When monitoring detects changes to HCV attributes, the changes are documented.</p>	<p>Conformance with Indicator: Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input checked="" type="checkbox"/></p> <p>MFL properties, without exception, fall within the small forest definition (<5,000 acres).</p>
<p>NOTES: None</p>	

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.

Applicability note: Plantations are forest areas lacking most of the principal characteristics and key elements of native ecosystems, as a result of such human activities as planting, sowing, or intensive silvicultural treatments like short-term rotations and short-term coppice systems (see Glossary)(see Criterion 6.9 for use of exotics).

Planting, seeding, and coppicing do not necessarily result in plantations.

Non-forest land being afforested becomes a plantation or a managed natural forest based on the owner's goals and objectives for the land in question as well as the development of its attributes.

PRINCIPLE APPLICABILITY NOTE: Not applicable. WI DNR does not manage plantation forests as defined by FSC. Plantings on MFL potential group lands are mostly red pine and total more than 100,000 acres (~5 percent of potential group lands). All of these plantings were described by WI DNR as being primarily established to convert abandoned, often degraded, agricultural lands to forest. These types of plantings continue to be established using native conifer species, including both red pine and jack pine. Long rotations are used to produce normal, natural forest goods and services.

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

Application note: The following section is for the evaluation of FME's without processing facilities. All operations with primary and secondary processing facilities or those who will sell FSC-Mixed products must be evaluated using the complete chain of custody standard and a separate report (annex) is required for each processing facility.

Definition of Forest Gate: WI DNR has identified the following forest gate options for the MFL group: tree stump, landing, or roadside.

Contamination Risk Evaluation:

Level of risk that products from non-certified sources (including any areas specifically excluded from the scope of the certificate) could be mixed with FME's certified products.	<input checked="" type="checkbox"/> No identified risk <input type="checkbox"/> Identified Risk (describe risk below)
--	---

Point of Possible Contamination	Description of Risk	Risk control measure
NA		

Chain of Custody Criteria	Conforms	Explanatory notes/ CAR or OBS (if applicable)	CAR
CoC 1: FME procedures shall provide effective control of forest products from standing timber until ownership is transferred at the forest gate. Note: For large landowners, CoC procedures which cover all relevant CoC criteria below shall be documented.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	WI DNR does not have documented CoC procedures.	Major CAR 09/08
CoC 2: FME shall have written procedures for handling and controlling risk of mixing certified forest products with non-certified products which originate outside the scope of this certificate. Note: If no outside wood is handled by FME within scope of certificate, mark as NA	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input checked="" type="checkbox"/>	Since the forest gate is the stump, landing or roadside, there is not outside wood handled.	
CoC 3: A system exists that ensures that defined FME products are reliably identified as certified (e.g. through documentation or marking system) at	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	WI DNR does not have a system that ensures that defined FME products are reliably identified as certified (e.g. through	Major CAR

the forest gate.	N/A <input type="checkbox"/>	documentation or marking system) at the forest gate.	09/08
CoC 4: FME shall have procedures instructions for including FME FSC certificate code and certified description of products on sales and shipping documentation (e.g. waybill and invoices).	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A <input type="checkbox"/>	WI DNR does not have procedures instructions for including FME FSC certificate code and certified description of products on sales and shipping documentation (e.g. waybill and invoices).	Major CAR 09/08
CoC 5: FME record keeping procedures shall maintain certification production and sales related documents (e.g. harvest summaries, invoices, bills of lading,). Documents are kept in a central location and/or easily available for inspection.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	The MFL program includes a Cutting Report for each harvest that includes production and sales information. The information is centrally stored and easily accessed.	
CoC 6: FME 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.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	WI DNR enters the information from the Cutting Reports into its system and can produce reports for any period of time.	
COC 7: FME procedures shall ensure that all FME use of the FSC/SW trademarks, as well as public information related to certification is submitted to SmartWood for review and approval prior to use.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A <input type="checkbox"/>	WI DNR does not have a system 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.	Major CAR 09/08

APPENDIX V: Group Certification Conformance (confidential)

Group Certification Requirements	Conformance	Finding:	CAR
GC 1: The group manager is an independent legal entity or an individual acting as a legal entity.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	WI DNR will act as the group manager. As an agency of the State of Wisconsin, WI DNR is an established legal entity with authority to represent the relevant parties legally with regards to certification.	
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.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	The group manager has made a full disclosure of all forest areas for which WI DNR has some responsibility (see “Non Pool Forestlands” section below). Justification for exclusion of these forestlands is either self evident, or has been provided in various forms by the group manager (e.g., see pre-assessment report).	
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	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Legal or regulatory authority for WI DNR is presented in Section 77.80 of the Wisconsin Statutes. The Forest Tax Law Handbook (2450.5) provides detailed instructions on the administration of the MFL program. WI DNR staff are clearly qualified technically and adequately trained and equipped to carry out their defined responsibilities vis-à-vis the Managed Forest Law program.	

<p>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.</p>	<p>Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p>	<p>WI DNR management responsibilities and member (owner) responsibilities for participation in MFL are outlined in a variety of MA State statutes and regulations, e.g. Forestry Operations Handbook (2420.5) for WI DNR staff, BMPs related to forest roads and other timber harvest operational procedures and forest management practices that should be practiced on MFL lands as defined by the DNR Silviculture Handbook and the <i>Wisconsin Forest Management Guidelines</i> (DNR Publication FR-226-2003).</p> <p>WI DNR has yet to develop its FSC group certification procedures, including definition of roles and responsibilities of WI DNR as group manager, landowners, consulting foresters and others involved in management of groups' forests (major CAR 10/08).</p>	<p>major CAR 10/08</p>
<p>GC 5: Group membership requirements are documented and include:</p> <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. 	<p>Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p>	<p>WI DNR has yet to develop its FSC group certification procedures for entry and exit from the certification group and notification of SmartWood of changes in membership (major CAR 10/08). Current defined rules for entrance and exit to MFL and into the American Tree Farm program provides some coverage of this requirement.</p>	<p>major CAR 10/08</p>
<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 	<p>Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p>	<p>WI DNR has plans to develop an equivalent to a "consent form" that will be modeled after the process used to define the American Tree Farm (ATF) certificate group, whereby MFL "family forest" owners could elect not to be identified as part of the certified group. WI DNR contacted each landowner and gave them the opportunity to opt out of the MFL American Tree Farm Group. A similar process is being proposed by WI DNR. This element must be developed and signed copies of those opting out must be available to SmartWood prior to certificate issuance (major CAR 11/08). The WI DNR invite letter to all MFL participants will need to include clear reference to all of the elements listed in this criterion as being part of a consent form.</p>	<p>major CAR 11/08</p>

<p>certification on the member's behalf.</p> <p>iv. acknowledges SmartWood and FSC's right to access their forest for evaluation and monitoring</p>			
<p>GC 7: Group manager has provided each group member with documentation including:</p> <p>i. The applicable forest stewardship standard</p> <p>ii. An explanation of the certification process</p> <p>iii. An explanation of group membership requirements</p>	<p>Yes <input type="checkbox"/></p> <p>No <input checked="" type="checkbox"/></p>	<p>As noted above, group members have not been formally identified through preparation and submission of consent forms. WI DNR must demonstrate that group members receive the documentation (in electronic or hardcopy format) outlined in the criterion prior to certificate issuance (major CAR 11/08).</p>	<p>major CAR 11/08</p>
<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>	<p>Yes <input type="checkbox"/></p> <p>No <input checked="" type="checkbox"/></p>	<p>MFL regulations outline specific WI DNR monitoring activities (e.g. site inspections associated with management plan certification, response to landowner or stakeholder appeals or complaints, approval of cutting notices). The limited scope of WI DNR monitoring of members does not reflect a robust mechanism to monitor member forest activities and landowner adherence to certification requirements. (Also see findings on monitoring associated with Principle 8 in this report).</p> <p>Monitoring at the MFL property-specific level is mainly associated with WI DNR efforts to approve forest management plans (once every 25 to 50 years), approve cutting notices (periodically, perhaps once every 5 to 10 years), and to approve cutting reports (associated with the end of a timber harvest operation, as the basis for assignment of yield taxes). Some WI DNR private lands foresters conduct more regular, informal visits to MFL properties outside this normal pattern. Indirect monitoring may occur through the landowner and the consulting forester, though these activities are not formally accounted for by WI DNR.</p> <p>In association with the American Tree Farm System Group Certification, WI DNR has conducted annual internal audits (2006 and 2007) to determine</p>	<p>CAR 12/08</p>

		<p>landowner compliance with the MFL program and the Tree Farm standards. A certification checklist is used to record and document objective evidence and findings for each Tree Farm performance measure and indicator. In a manner somewhat similar to this SW assessment, WI DNR randomly chooses a county to audit. These self-audit system appear well done and affirm that WI DNR "foresters are doing an excellent job in administering the forest tax law program. Several opportunities for improvement were identified for both the Forest Tax Section and field foresters". Corrective and Preventive Action Request were developed by WI DNR in association with these audits using a progressive, root cause analysis approach.</p> <p>The annual internal audits for the Tree Farm Certification do not cover all the requirements of FSC certification. WI DNR will need to ensure their annual audits/monitoring cover all aspects of the FSC standard (CAR 12/08).</p>	
<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; 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. 	<p>Yes <input checked="" type="checkbox"/></p> <p>No <input type="checkbox"/></p>	<p>WI DNR has a record keeping system that effectively archives information in electronic databases/spreadsheets and as physical (hardcopy) files. Physical files for each participant registered in the MFL are kept at designated regional offices and managed by WI DNR administrative staff.</p> <ul style="list-style-type: none"> i. WI DNR provided SmartWood with a computer generated spreadsheet of MFL participants, including county, municipality, order number, primary landowner name, invoice number, and estimated stumpage. Contact information was also provided via a separate spreadsheet. WI DNR demonstrated an ability to generate a complete list of MFL participants. Since the group membership has not been defined, the spreadsheet did not include the date of entry to group. ii. Forest area maps (prepared according to defined parameters) are participation requirements of the different WI DNR programs. Maps are kept on file at the regional offices but are also available at the local town offices. iii. Information regarding land ownership (e.g., deeds) of group members is usually not included in the management plan or participant files. Legal ownership is a requirement of eligibility in the MFL program and is vetted by local tax offices. Ownership therefore is verifiable by local towns. Deeds are kept on file in each town if additional verification is desired. 	

<p>management plans, summary information regarding silvicultural system, management operations, volume production);</p> <p>vi Records demonstrating the implementation of any internal control or monitoring systems. Such records shall include records of internal inspections, non-conformance identified in such inspections, actions taken to correct any such non-conformance;</p> <p>vii Relevant documentation regarding production and sales</p>		<p>iv. No consent form has been developed or implemented by WI DNR (see GC 6).</p> <p>v. WI DNR files include application materials, forest management plans, inspection reports (cutting notices), yield tax information, and various correspondences, including complaints and appeals.</p> <p>vi. WI DNR staff document inspections related to management plan approvals and cutting notices. Record keeping of other inspections or monitoring visits on a property-specific basis are sporadic. WI DNR foresters indicated that timber harvesting problems or other conformance issues encountered during inspections are often not documented but rather communicated verbally to the contractor or landowner. WI DNR does keep detailed records of formal proceeding/communications related to compliance issues that result in removal of participations from the program (e.g. cases involving development of forest land, lack of required permits, water quality compliance issues, refusal to follow BMPs or silviculture guidance).</p> <p>vii. Production and sales information is consistently collected as a means to base yield taxes.</p>	
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Group Assessment Requirements:	Finding:
Group member size restriction:	Limitations on the size of the WI DNR group will be determined at the time of certificate issuance. This limit cannot be established at the current time given that the initial certified group has not been defined; however, since it is likely that nearly all MFL participants will be group members (only 1-2% of the MFL group is expected to opt out), there is effectively, likely to be no limit on the size of the WI DNR group.
SW Certificate auditing strategy:	SmartWood auditing strategy will follow FSC guidance. While SLIMF certificates are eligible for desk audits, given the potential size of this certificate, it is likely that SmartWood will require on-site annual audits. Since the assessment was carried out with during March with significant snow cover across all of Wisconsin, it will be critical to carry out the first audits during times without snow.

Certified Pool Participation List

1. **Total # members in the certified pool:** 40,702
2. **Total area in Current Pool:** 2,166,271 acres

CERTIFIED POOL MEMBERSHIP TABLE

Name of Member	Registration Subcode assigned	Contact details	Property Location (e.g. town, county)	Total area (ha or acres)	Products	Date of entry
This information kept in a separate location.						
Total area in certified pool.						

Non-pool forestlands

1. **Total number of forestlands for which the candidate group manager has some management responsibilities or ownership:** 28 large ownerships, 901 small ownerships that opted out of the American Tree Farm group certificate and the FSC group certificate, and 1,861 FMUs in enrolled in the old Forest Crop Law
2. **Total area that those forestlands represent (acres):** 1,068,907 acres
 - 777,632 acres in large ownerships (>1,000 acres in size, although a few smaller parcels owned by individuals associated with large ownership businesses have been designated in the class) (includes mostly forest industry, certain tribal, REIT and TIMO ownerships) (some of these large ownerships have separate FSC certificates);
 - 46,872 acres across 901 FMUs that opted out of the WI DNR 2005 American Tree Farm (ATF) group certificate and the 2008 FSC group certificate;
 - 244,403 acres across 1,861 FMUs of private woodland in Wisconsin are still enrolled under the old Forest Crop Law (FCL);

APPENDIX VI: List of all visited sites (confidential)

County	Landowner	Order #	Stands	Auditors	Type of site / short description of site
Calumet	Howard Meyer	08-003-2003	1	Grado, Berg	Stand 1 (5 ac) scheduled for harvest in 2004. Basal area at time of entry was 127 ft ² . DNR forester marked trees on MFL land and other adjacent lands. In 2005/2006, timber was clear cut for logs and the rest used for firewood.
Calumet	Walter Hausmann	27-029-2004	1	Grado, Berg	Owner lived on the property where aesthetics were a high priority. Woodland consisted of 10 acres of diverse species. A thinning was completed in 2005. There was some recent disturbance damage to deal with. Interviewed landowner.
Calumet	Stephen Morgen	08-010-1996	1	Grado, Berg	In 2006, all sawlogs were clearcut and removed. Pulpwood will be clear cut for firewood. Goals are to improve aesthetics and maintain exiting road system on the 13 ac property.
Calumet	James Thiel	08-006-1992	1	Grado, Berg	In 2005, logging completed. Third generation ownership. Stream on-site. Thinned out for silver maple, ash, and mixed hardwoods. Interviewed landowner.
Calumet	Sperber Forest Products, Inc.	08-007-1999	1, 2	Grado, Berg	Thinned in 2006/2007. Intermittent stream flowing. Owner favors good sawtimber with a mix of hardwood species. Property is used for hunting.
Calumet	Jean Schluchter	08-013-1996	1	Grado, Berg	A 10 acre parcel. Landowner objectives are sawtimber and habitat for deer and songbirds. A thinning took place in 2006/2007. Better quality trees were favored and left during the cut.
Calumet	Larry Siepel	08-013-1996	P1	Grado, Berg	Extensive tree planting of a diverse species mix. Area is called Herman's Memorial Forest. Fighting reed canary grass on-site. Put in 600 trees/acre with plans for a 20 year thinning. Extensive pruning. Deer repellent is used as well as deterrents for

					small ground dwelling mammals. Mowing between rows. Cost-share program assistance used to establish site.
Calumet	Gary Wiens	08-004-2002	1, 2	Grado, Berg	A timber sale in 2004 in stand 1 was completed with the landowner thinning pulpwood for firewood. Owner wants to promote deer and turkey habitat and produce sawtimber.
Crawford	Diane Craig	12-005-1997	1, 8	Grado, Berg	Interviewed forestry consultant and landowner. Landowner objectives are to favor larger oaks and hickories for aesthetics and wildlife habitat. Recreation is a high priority. A thinning was last done in 2005.
Crawford	Paul Peterson	12-010-1991	1, 2	Grado, Berg	Worked completed in stand 2 and went over to stand 1. Sites will be inspected in spring when the snow has melted. Cutting included a thinning of mixed hardwoods and clearing of all aspen.
Crawford	James Tollefson	12-015-2002	5, 6	Grado, Berg	Aspen and other mixed hardwoods clearcut in 2005. Typical of small jobs (12 acres) where a number of landowners with smaller harvests are able to batch jobs. Patch of trees left near road. Timber and wildlife objectives.
Crawford	Brian Graham	12-009-1999	6	Grado, Berg	A 1998 thinning targeting lower quality trees. Stand is 68 acres, primarily red oak with some black walnut on the slope. Management objective is to grow high quality timber and use woods for wildlife habitat enhancements and recreation.
Crawford	Francis Fleming	12-054-2004	1	Grado, Berg	On a slope, and needs to be revisited after snow melt to check on road and BMP work. Interviewed forestry consultant. Aspen, elm, birch and hard maple thinned out of stand. Boundaries of sale well marked. Performance bond held on job by sale administrator (i.e., forestry consultant).
Crawford	Richard Piehl	12-005-1993	14	Grado, Berg	Mixed hardwood thinning of 6 acres on sloped area, but mostly

					red oak. Interviewed contractor who was not using safety equipment. Work on this site and others performed from 2006 to 2008. Logging occurred during winter to contain oak wilt disease.
Crawford	Sigurd Chestleton	12-001-1987	2, 3	Grado, Berg	Mixed hardwood intermediate thinning in 2007 on about 16 acres. Objectives are timber wildlife, and recreation.
Douglas	Randy Stank et al.	16-002-2004	1, 2	Nowak, Russell	Clearcut and clearcut with reserves in mixed wood stands dominated by aspen with scattered conifers. Conifers and black ash were used as reserves. Riparian zone with two stream crossings (pole fords). Interviewed head logger (running the slasher) in a feller-buncher / grapple skidder / slasher operation.
Douglas	Mark Tomczak	16-024-2004	1, 2	Nowak, Russell	Clearcut (2006) in aspen/northern hardwood stands. A significant rock outcrop and associated plant community was protected from timber harvesting. Severe rutting was observed in association with skidding in approximately 5-10 acres. Landowner was interviewed, and various disputes were reviewed that recently existed with surrounding landowners.
Douglas	James Ritchie	16-009-1988	2	Nowak, Russell	White birch seed tree cut (2006) with a small, adjacent shelterwood strip cut to regenerate balsam fir along a lake edge buffer. Uncut reserve was reviewed as the riparian protection zone along the lake.
Douglas	Phillip Gruendemann	16-002-2003	1, 4	Nowak, Russell	Coppice with standards (aspen clearcut and oak, pine and spruce reserved as standards) (2007-2008). Riparian zone and stream crossing.
Douglas	Donald Boettcher	16-016-2007	1, 2	Nowak, Russell	Red pine and jack pine plantation (2005) that was established just prior to property being accepted into the MFL program (as directed by the WI DNR forester). The stands were previously native jack pine harvested in 1997. A disc

					trencher was used to prepare the site for the recent planting.
Douglas	Thomas Heiland	16-008-1998	13	Nowak, Russell	Red pine/scrub oak thinning (2005). Isolated, individual 100+ year old red pine was observed in the area of the property being managed for late-successional / old-growth values.
Douglas	Kathy Sterling	16-007-1990	4	Nowak, Russell	Red pine row thinning (2006).
Douglas	Deanna Bates	16-009-1990	1, 3	Nowak, Russell	Clearcut with reserves (jack pine salvage) (2007) and a young, untreated red pine plantation. Discussed fire management and red pine legacy trees.
Forest	Arthur Packard	21-027-2004	2	Russell	Second growth stand of northern hardwood sawtimber and poletimber with a wildlife pond. Selective harvest (marked trees) conducted in 2006, with focus on canopy gap creation. Met with landowner.
Forest	Jerry Schallock et al.	21-013-1996	3, 4	Russell	Active timber harvest with logging road. Regeneration harvest of aspen w/scattered balsam fir. Cedar, oak, and pine retained as reserve patches/individual wildlife trees. Met with landowner (who also was logging contractor).
Forest	Mihalko Land & Logging Co.	21-028-1995	1	Russell	Thin (2006) northern hardwood stand (basswood, sugar maple, white ash), removing poor quality and high risk trees. Met with landowner/logger.
Forest	Douglas Meneau	21-028-2005	1, 3	Russell	Harvesting completed 2006-07. Regeneration harvest of aspen with reserved pine and oak (Stand #3) and thinning of mixed hardwoods and balsam fir (Stand #1), with a swamp conifer wetland and buffered non-forested wetland. Met with consulting forester.
Forest	Marvin Kaczor et al.	21-012-1990	1	Russell	Selective harvest of mixed upland hardwood stand (2006).
Forest	Trent Hake	21-002-1991	2, 3, 4	Russell	Regeneration harvest of aspen with reserve of balsam fir and white birch trees. Originally harvested without cutting notice – resolved by WI DNR.
Forest	Klus Woodland	21-009-	1	Russell	Regeneration harvest of aspen

	Property	1993			with lowland conifer swamp buffered, reserve patches and trees. Active enforcement case – behind schedule on mandatory timber harvests.
Jackson	Ari Trollen	27-035-2005	1, 2	Grado	Oak and mixed hardwoods. In 2005, all clearcutting complete with 2 to 3 white oak left per acre for wildlife. Riparian zone.
Jackson	Mary Nandory	27-003-2005	1, 3	Grado	Red pine and white pine areas that were thinned in 2005. Cut per marking. In 1997, oak clear cuts, thinnings, and oak regeneration patch harvests took place.
Jackson	David Ludeman	27-044-2003	1, 3	Grado	In 2003, white pine clearcut after fire, some red pine pocket decline in red pine plantations harvested. Mixed hardwoods harvested were mostly red maple. Stump sprout regeneration. Road goes through the sale area.
Jackson	Lawrence Whaley	27-017-1996	2	Grado	In 1996, oak sawlogs and cordwood were clearcut. Plan is to eventually thin the red pine and clearcut the oak. Gated access.
Jackson	Curran and Hauser, LLC	27-026-2003	3, 6	Grado	A 2003 clearcut of residual commercial timber which was mostly oak with some mixed hardwoods after wind damage in 2002. No retention on this clearcut and other areas clearcut in the stand. Stand 6 was red pine.
Jackson	Joel Krohn	27-010-1990	P1, P6	Grado	Clearcut salvage of drought-killed red pine in P1 to reduce potential for further infestations. Completed in 2005. Site contained a pond. Also viewed stand 6 with mostly oak pole timber mixed with red pine or white pine.
Jackson	Andrea Hoffman	27-011-1990	6	Grado	Clearcut for white oak and mixed maple sawlogs. Mixed hardwoods and oak for pulpwood. Work was completed in 1999. Oak regeneration was poor. Excellent roads. Several other stands that had been thinned were viewed from vehicle.
Jackson	John Walasek	27-023-2001	1	Grado	In 2005, clearcut oaks and mixed hardwoods on 35 acres to regenerate oaks. Stump sprout regeneration. Four ½ acre

					reserves left for wildlife.
Jackson	Deborah Johnson	27-036-1987	P1, P2	Grado	In 2006, P1 had every 3 rd row in red pine site thinned. Stand P2 had the jack pine removed in areas of concentration.
Jackson	William Johnson	27-021-2001	1, 7	Grado	In 2008, proposed notice to thin both stands consisting of red pine. This would be 4 th thinning for the former and a 2 nd thinning for the latter. An on-going job.
Jackson	Jerry Radcliffe	27-029-2004	1	Grado	In 2005, clearcut completed for oak and mixed hardwoods. Major objective is wildlife habitat and other recreational uses. 40 acre tract.
Sauk	Don Gattshall	57-006-1987	1	Nowak, Russell, Berg	Red pine crown thinning (referred to as a "selective thinning") (2007) on flat terrain with sandy soils developed in blow sand parent materials.
Sauk	Orvin and Karen Meichus	57-012-2004	4	Nowak, Russell, Berg	Oak/aspens shelterwood and patch clearcut of inclusions of aspen (2006). Discussed at length the conservation of a stick nest in a mature oak tree on the edge of a patch cut.
Sauk	Mary O'Brien	57-022-1999	1	Nowak, Russell, Berg	Oak-hickory thinning (ongoing). Interviewed a cutter using a chainsaw as part of a conventional chainsaw / choker skidder operation. Unsafe logging practices were observed.
Sauk	Albert J. Fuchs Living Trust	57-024-1993	1	Nowak, Russell, Berg	Oak thinning (2005-2006) that started out as a selective cut (high grade) that was remarked by a WI DNR forester (blacked out paint on residual), and an ongoing, post-thinning oak improvement cutting (TSI).
Sauk	William Breen	57-010-1999	1	Nowak, Russell, Berg	Oak / northern hardwood thinning (2006-2007), including a riparian zone and a stream crossing.
Shawano	Ron Ziegler	59-092-2004	3, 4	Nowak, Russell	Strip clearcuts in a black spruce and tamarack forest wetland, northern hardwood thinning as a first endeavor to convert an even-aged stand to uneven-aged, and a small clearcut with reserves (coppice with standards) (all cuts ongoing). Interviewed loggers conducting the cut. Discovered a

					severe rutting problem developing in the black spruce/tamarack stand that was rectified with a long pole ford systems soon after the field assessment (photos sent from WI DNR to SmartWood assessor).
Shawano	John Asenbrenner et al.	59-074-2005	1, 2	Nowak, Russell	Northern hardwood thinning (ongoing) and partial cutting in a cedar/balsam fir flat and riparian area. Severe rutting and residual tree damage in the cedar/fir stand. Interviewed both the logger and the cooperating consulting forester.
Shawano	Smith Trust	59-201-2004	1, 2	Nowak, Russell	Thinning in northern hardwoods (2006) on a hilltop as a part of a sequence of partial cutting to convert the stands from even-aged to uneven-aged structure. Stand was originally marked using a selective approach (high grading, diameter limit) that was not approved by the WI DNR forester and was remarked as a thinning as evidenced by the black paint over the original marking for cutting on some residual trees.
Shawano	Sidney Maas Jr. et al.	59-034-1996	1	Nowak, Russell	A drive-by examination of a stand along a roadside that was under dispute (Level 3 in WI DNR system) between the cooperating forester and the WI DNR. WI DNR would not approve the cutting notice as the marked stand was judged inconsistent with the MFL program. Marked trees, including a preponderance of sawtimber white ash along with some lower quality poles, were clearly visible from the road.
Shawano	Evelyn Ruprecht Trust	59-012-1993	3, 4	Nowak, Russell	Red pine thinning and a thinning in northern hardwoods in upland positions (no on-site water). The hardwoods were being thinned as a step towards converting the stand from even-aged to uneven-aged structure (2004-2006).
Shawano	Ronald Stuber	59-235-1999	1	Nowak, Russell	Thinning in northern hardwoods in upland stand (no on-site water) as a step towards converting the

					stand from even-aged to uneven-aged structure (2005). Group openings were regularly created throughout the stand, but these were not regenerating, apparently due to overbrowsing by white-tailed deer. Residual wildlife trees were clearly marked with paint. Interviewed in the field the cooperating consulting forester and the landowner.
Shawano	Rod Kuusinen	59-029-1998	10	Nowak, Russell	Scotch pine overstory removal and a crown thinning in red pine.
Vilas	Don Duchow	64-002-1988	5, 6	Nowak	Thinning and patch clearcut with reserves (2006) in natural red pine, including uncut buffer zones along a spruce bog and a creek (riparian area).
Vilas	Esther Simons	64-011-1990	1, 8	Nowak	Thinning (2007) in natural red pine, including examination of two kettle bogs with black spruce. Clearcut with reserves in a mature jack pine stand. Interviewed the cooperating consulting forester responsible for the forestry activities and the landowner.
Vilas	Harry & Phyllis Gremban	64-005-1998	1	Nowak	Thinning in northern hardwoods (ongoing) as part of a long-term conversion of the stand from even-aged to uneven-aged condition. Interviewed the logger on site.
Vilas	Leon Hoerter	64-009-2003	1, 2	Nowak	Salvage / thinning (2005) in a highly diverse, mixedwood stand with uncut kettles of tamarack and spruce.
Vilas	James Puchter et al.	64-013-1988	2	Nowak	Diameter limit cut in a stand that was supposed to be thinned as part of a long-term conversion of the stand from even-aged to uneven-aged condition. Tree tops left in a wetland area were determined to be a violation of BMPs.
Vilas	Mercon Inc.	64-004-1992	4	Nowak	Overstory removal with high quality white pine and oak reserves (2007). A possible bald eagle nest was observed in one of the pine reserves.
Wood	Alan Wondzell	72-035-1997	1, 3, 4	Berg	Interviewed logging contractors conducting the harvesting along

					highway 13. Loggers have been through the FISTA training program. Inspected buffer along public highway for aesthetic considerations. Adequate pine regeneration following harvest. Sensitive area due to proximity to Wisconsin Rapids and planned commercial development.
Wood	Loren Benson	72-XXX-1989	2	Berg	Met and interviewed Steve Gress of Gress Forestry Services, LLC. Operator was constructing landing and building access trails. Planned selective logging of mature oak. A portion of skid trail was within SMZ. Consultant will relocate and work with contractor. Discussed location of stream crossing to minimize rutting and water quality impacts.
Wood	Jeff Will & Dan Backaus	72-206-1998	1, 2	Berg	Road has been installed and selective logging completed. DNR forester flagged trees to be left for continued growth. DNR foresters working with forestry company to improve consistency of marking.
Wood	Douglas Keuntjes	72-015-2003	3, 4	Berg	Landowner conducted own firewood logging for personal use as part of timber stand improvement. Conducted drive-by to view thinning that is still underway. DNR Foresters working with landowner to complete TSI work.
Wood	Harvey Cherney	72-034-1995	2, 3, 6, 7	Berg	Met Mr. Cherney on-site and discussed wildlife management objectives. Inspected food plot near power line right of way. Aspen stands harvested and regeneration is excellent even with heavy deer browse.
Wood	Robert Smith	72-024-1996	1, 2	Berg	Met with Steve Gress the forestry consultant on-site. Harvesting in progress during frozen conditions. Skid trails marked and SMZ along wet area was maintained. Logging and chipping equipment in poor condition. No logging during deer season and Spring due to Oak Wilt risk.
Wood	Donald Yeske	72-014-	1, 2, 5	Berg	Met with landowner and foresters

		1998			from Stora Enso. Inspected the Preharvest Environmental Plan, Timber Sale Contract, Hauling Contract and Harvest Inspection Checklist. WI DNR foresters, company and landowner all dedicated to sustainable forestry. Inspected unmarked pine thinning and proposal by the company that was accepted by the WI DNR foresters
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APPENDIX VII: Detailed list of stakeholders consulted (confidential)

The following tables detail stakeholders directly consulted during the on-site assessment and those contacted by the assessment team either before or after the visit. Stakeholders lists associated with this assessment are maintained in the SmartWood U.S. Region Office (See Section 2.6 for details). This includes a complete listing of landowners enrolled in the WI DNR MFL program, which are not listed below, as well as those randomly selected from this list and contacted via mail surveys (n=500).

List of FME Staff Consulted

Name	Title	Contact	Type of Participation
Albrecht, Tom	WI DNR Private Lands Forester	715-526-4229 thomas.albrecht@wisconsin.gov	E-mail survey, in field interview
Allen, Tim	WI DNR Private Lands Forester	timothy.allen@wisconsin.gov	E-mail survey
Amiel, Ray	WI DNR Private Lands Forester	ray.amiel@wisconsin.gov	E-mail survey
Baughman, Jim	WI DNR Private Lands Forester	715-479-8870 james.baughman@wisconsin.gov	E-mail survey, in field interview
Baumgart, Benjamin J.	WI DNR Private Lands Forester	benjamin.baumgart@wisconsin.gov	E-mail survey
Beer, Dave	WI DNR Private Lands Forester	dave.beer@wisconsin.gov	E-mail survey
Bell, Dillon	WI DNR Private Lands Forester	dillon.bell@wisconsin.gov	In field interview
Berklund, Heather	WI DNR Private Lands Forester	heather.berklund@wisconsin.gov	E-mail survey
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Bernett, James	WI DNR Private Lands Forester	james.bernett@wisconsin.gov	E-mail survey
Beyer, Tim	WI DNR Private Lands Forester	tim.beyer@wisconsin.gov	E-mail survey
Bibow, Gary	Private Lands Law Enforcement Specialist	608-339-3066	Telephone contact
Blayney, John	WI DNR Private Lands Forester	john.blayney@wisconsin.gov	E-mail survey
Bonack, Jake	WI DNR Forester Ranger	715-358-9252 jacob.bonack@wisconsin.gov	E-mail survey, in field interview
Boren, Stu	WI DNR Florence Team Leader	715-528-4400, Ext. 50	In field interview
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Braasch, Mark	WI DNR Forester Ranger	715-376-2299 mark.braasch@wisconsin.gov	E-mail survey, in field interview
Brisk, Susan J.	WI DNR Forester Ranger	715-385-3355 susan.brisk@wisconsin.gov	E-mail survey, in field interview
Brockman-Medegas, Kay	WI DNR Shawano County Wildlife Biologist	715-526-4226	In field interview
Buchman, Terry	WI DNR Private Lands Forester	terryl.buchman@wisconsin.gov	E-mail survey
Cain, Janette	WI DNR Private Lands Forester	janette.cain@wisconsin.gov	E-mail survey
Conner, Ryan	Forest Tax Program Specialist	608-266-8449	Office interview
Cooper, John	WI DNR Forest Technician	715-799-3896	In field interview
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Courtney, Steve	WI DNR Area Forestry Leader	715-421-7851	In field interview
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Haugen, Arvid	WI DNR Regional Forestry Leader	715-421-7810	In field interview
Hauser, Bob	WI DNR Forest Technician	715-793-4606	In field interview
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Hollingsworth, Craig	WI DNR Area Forestry Leader	craig.hollingsworth@wisconsin.gov	E-mail survey
Holtz, Jeremy	WI DNR Forest County Wildlife Biologist	715-528-4400 Ext. 119	In field interview
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Kayfman, Steve	WI DNR Forester Trainee	715-793-4606	In field interview
Kenefick, Todd	WI DNR Area Forestry Leader	todd.kenefick@wisconsin.gov	E-mail survey
Keranen, Chad	WI DNR Area Forestry Leader	chad.keranen@wisconsin.gov	E-mail survey
Kessler, Greg	WI DNR Douglas County Wildlife Biologist	715-372-8539	In field interview
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Klaus, Courtney	GIS Analyst	608-266-9272	On-site interview
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Kovach, Joe	Forest Ecologist/Silviculturist	715-453-1252	In field interview
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Mather, Kathy	Forest Tax Program Specialist	608-266-6982	Office interview
Matheys, Dave	WI DNR Crawford County Wildlife Biologists	608-637-3938	In field interview
Matlack, Rick	WI DNR Area Forestry Leader	715-372-8539 richard.matlack@wisconsin.gov	E-mail survey, in field interview
Matula, Colleen	WI DNR Forest Ecologist	715-274-6321	In field interview
McCourt, Todd	WI DNR Area Forestry Leader	todd.mccourt@wisconsin.gov	E-mail survey
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Nelson, Kathy	Forest Tax Section Chief	608-266-3545	Opening meeting, office interview, in field interview, e-mail contact, closing meeting
Nielsen, John	WI DNR Area Forestry Leader	608-935-1919	In field interview
Nielson, Carol	Private Forestry Specialist	608-267-7508	Office interview, closing meeting
Nikolai, Dick	WI DNR, Calumet County Wildlife Biologist	920-832-1804	In field interview
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Sullivan, Scott	WI DNR Area Forestry Leader	scott.sullivan@wisconsin.gov	E-mail survey
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Tappon, Terry	WI DNR Area Forestry Leader	terry.tappon@wisconsin.gov	E-mail survey
Theiler, Phil	WI DNR Area Forestry Leader	715-358-9201	In field interview
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Winn, Linda	WI DNR Vilas County Wildlife Biologist	715-358-9207	In field interview
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List of other Stakeholders Consulted

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Crane, Robert C.	Woodland Management Services (East Office); West Office)	cranewms@uniontel.net; cranewms@hotmail.com	E-mail survey
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Lebouton, Joseph	Consulting Forester/ Cooperating Forester	715-547-3304	In field interview
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Lodholz, Richard D.	Lodholz North Star Acres, Inc.	lodholznsa@verizon.net	E-mail survey
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Packard, Arthur	WI DNR MFL Landowner	715-478-2341	In field interview
Paddock, WCF, Robert W.	Bob Paddock Forestry Consulting	rwpaddock@aol.com	E-mail survey
Pagryzinski, Randy	Logger	Unknown	In field interview
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Paterson, Dan and Gordy Mauw	NewPage Corp.	P.O. Box 8050 Wisconsin Rapids, WI 54495 715-422-3450	In field interview
Perry, Ray D.	Perry Forestry Consulting, LLC	fiveperrys@athenet.net	E-mail survey
Peterson, Don	Renewable Resources Solutions, LLC	rrsllc@sbcglobal.net	E-mail survey, e- mail contact
Peterson, Donald	Glacierland Resource, RC&D	glacierlandrcd@aol.com	E-mail survey
Peterson, Floyd	WI DNR MFL Landowner	N7977 Allen Creek Road Black River Falls, WI 54615	In field interview
Petit, Bruce S.	Crazy Horse Timber, LLC	bpetit@centurytel.net	E-mail survey
Phillips, Jeff	WI DNR MFL Landowner, Master Logger	715-339-3150	Telephone contact
Pierson, Darrell	Packaging Corporation of America	dpierson@packagingcorp.co m	E-mail survey
Polchowski, Bethany	Lambert Forest Products	bpolc@charter.net	E-mail survey
Printer Logging	Printer Logging	715-659-3962	In field interview
Pryga, Chester R.	Pryga Consulting	prygacj@yahoo.com	E-mail survey
Pubanz, Dan M.	Wolf River Forestry, LLC	pubanz@frontiernet.net	E-mail survey e-mail contact
Pulkinen, Mike	Mike Pulkinen Forestry	trennyp@aol.com	E-mail survey
Pulskamp, Tim	Futurewood Corporation	tpulskamp@johnson timber.com	E-mail survey
Quackenbush, William	Tribal Historic Preservation Officer; The Ho- Chunk Nation	P.O. Box 677 Black River Falls, WI 54615 715-284-7181; ext. 1121	Telephone contact
Quast, Kimberly	Quast Forestry Consulting, LLC	quastforestry@yahoo.com	E-mail survey, in field interview
Ray, Charly	Living Forest Cooperative	715-682-0007 info@livingforestcoop.com; salzmannt@hotmail.com	E-mail survey, e- mail contact, telephone contact
Ray, Charly	Living Forest Cooperative	info@livingforestcoop.com; salzmannt@hotmail.com	E-mail survey, e- mail contact
Read, Terry L.	U P Forest Resources Co.	upfr@hotmail.com	E-mail survey
Respa, Juris	Juris Respa Forestry, LLC	jrforest@solarus.net	E-mail survey
Reynolds, William G. (Bill)	Reyco Forest Management	reycoforestry@yahoo.com	E-mail survey
Richert, Dave	Rickert's Excavating, logger	715-489-3496	In field interview
Rine, Dale L.	Rine Forestry Consulting	dprine@nnex.net	E-mail survey

Roark, Michael	Mike Roark Forestry Services, Inc.	mrfstrees@yahoo.com	E-mail survey
Rolefson, John W.	Rolefson Forestry Services	jrolefson@new.rr.com	E-mail survey
Ryskey, Greg	American Forest Management, Inc.	greg.ryskey@amforem.biz	E-mail survey
Salzmann, Tom	Sand Hill Land Services, LLC	salzmannt@hotmail.com	E-mail survey
Schallock, Jerry	WI DNR MFL Landowner	715-478-2243	In field interview
Schrot, Thomas C.	Schrot Forestry Consulting	tom@schrotforestry.com	E-mail survey
Schultz, Matt	Pine Curve Consulting Forestry	sciencebasedforests@live.com	E-mail survey
Scotford, Laura	Scotford Consulting	lscotford@centurytel.net	E-mail survey
Searfoss CPA, EA, CF, Geary	Geary N. Searfoss CPA, LLC	gscpa@centurytel.net	E-mail survey
Seipel, Larry	WI DNR MFL Landowner	805 Diane Street Chilton, WI 53014	In field interview
Sennett, Ethan	Paul Bunyan Forestry Consulting	benjsennett@nnex.net	E-mail survey
Severt, Jane	Executive Director, Wisconsin County Forests Association	518 W. Somo Ave. Tomahawk, WI 54487 715-453-6741 wcfa@mac.com	Written correspondence
Shepard, George	Consulting Forester	715-235-0073	Telephone contact
Simeone, Robert	Sylvania Forestry	rsimeone@igc.org; jlebouton@igc.org	E-mail survey
Sorenson, Jeff W.	Woods Wise Forestry, LLC	woodswise@verizon.net	E-mail survey
Spaude, David J.	Spaude Forestry Consulting	spaude@centurytel.net	E-mail survey
Steigerwaldt, Edward F.	Steigerwaldt Land Services, Inc.	sls@slstomahawk.com	E-mail survey
Stoiber, Dave	DRS Forestry, LLC	drsforestry@athenet.net	E-mail survey
Streff, Don	Streff Forest Management Consulting, LLC	streiffonclay@tds.net	E-mail survey
Stromberg, Philip	Stromberg Forestry Consultant	plstromberg@sirentel.net	E-mail survey
Strong, Terry	Crystal Lake Forestry	hodag68@yahoo.com	E-mail survey
Stuber, Ron	WI DNR MFL Landowner r	715-526-5373	In field interview
T & R Logging (Tom and Randy)	T & R Logging	3002 County C Wisconsin Rapids, WI 54495 715-435-3713	In field interview
Taylor, Scott	Taylor Conservation, LLC	sotaylor@taylorconser vation.com	E-mail survey

Terrill, Ken	Terrill Forest and Fire Management Services	lunkerwalterwalleye@yahoo.com	E-mail survey
Terzinski, Greg	WI DNR MFL Landowner/Logger, Mihalko Land & Logging	715-478-3739	In field interview
Thiel, James	WI DNR MFL Landowner	N7488 County Hwy., BB Hilbert, WI 54129	In field interview
Thompson, Don	Don Thompson Forestry Consulting	dont_2001@yahoo.com	E-mail survey
Tollefson, Tim	NewPage Corporation (formerly Stora Enso)	tim.tollefson@newpagecorp.com	E-mail survey
Tomczak, Mark	WI DNR MFL Landowner	715-398-6371	In field interview
Uram, Eric	Better Environmental Solutions	Madison, WI 608-347-808	Telephone contact
Valigura, PhD, CF, Richard	Integrated Forest Management, LLC	integratedllc@charter.net	E-mail survey, in field interview
Veneberg, Brad	Bell Timber, Inc.	brad.veneberg@blpole.com	E-mail survey
Vlach, Edward	E. & D. Vlach Forestry Consulting	dvlache@aol.com	E-mail survey
Wachholz, Mike	Acorns to Veneer Forestry	acornstoveneerforestry@yahoo.com	E-mail survey
Waelchli, ACF, WCF, Allan G.	Allan Waelchli Consulting Forestry	715-526-6020 forest2@frontiernet.net	E-mail survey, in field interview
Wagenaar, Joel	Joel Wagenaar Forestry Consulting	wagenaar@tznnet.com	E-mail survey
Waterman, Dennis L.	Waterman Forestry, LLC	waterdj@chibardun.net	E-mail survey
Webster, Charles E.	Burt Collins Pulpwood, Logging, & Firewood	collinslogging@mwwb.net	E-mail survey
Wessel, Scott	Resource Assessment CO., LLC	swessel@dwave.net	E-mail survey
White City Lumber (Todd)	White City Lumber, Mike Hynek	Unknown	In field interview
Wiegenstein, CF, Glen	Big Wieg Forestry Consulting	grdwieg@newnorth.net	E-mail survey
Windmoeller, Linda M.	Windmill Consulting	marmel@pctcnet.net	E-mail survey
Withers, John	Riverside Sawmill, Inc.	rsi@centurytel.net	E-mail survey
Wittry, Matt	American Forest Management, Inc.	matt.wittry@amforem.biz	E-mail survey
Wobschall, Jeff	Meister Log and Lumber, logger	608-524-4412	In field interview

Wunnicke, Aaron	Richland Area Forestry	richlandarea@gmail.com	E-mail survey
Yeske, Don	WI DNR MFL Landowner	6136 Grant Road Vesper, WI 54489 715-569-4735	In field interview
Zahasky, James C.	Zahasky Forestry Consulting	jim.zahasky@centurytel.net	E-mail survey
Zaug, Dale	Zaug's Forest Enterprise	mrz@mwwb.net	E-mail survey
Zdroik, Michael	Zdroik Forestry Services	zdroik_forestry@hotmail.com	E-mail survey
Zumpf, Frank E.	Frank Zumpf Forestry Consulting	canoeguy@chibardun.net	E-mail survey

APPENDIX VIII: Peer review addenda (confidential)

SmartWood Confidential Peer Review Report

Candidate Operation: WI DNR MFL Tree Farm Group

Peer Reviewer: Forester

Date of Review: 12 July 2008

Reviewer Specialization: Forest management (e.g. forest management, ecology, social science etc)

Anonymity: The comments you provide in this review will be shared with the candidate operation. Do you wish your identity to remain confidential? Yes No

Reviewer Comments:

Assessment Report Quality:

How would you rate the overall quality of the assessment report?

High Acceptable Poor (provide comments below)

Do team observations and findings clearly support the certification decision reached?

Yes No Comments: The findings and reports clearly document the audit team's recommendation that a certificate not be issued until major CARS are met.

Areas for improvement: *(please provide general comments here, do not edit the report)*

Editing/Formatting: Comments: The report largely is written in the passive voice; writing in the active voice would improve its readability. I found several instances of typographic errors scattered throughout the document as well as at least one instance where a word has a homonym and the incorrect spelling is used.

Lack of Clarity: Comments:

Technical Analysis: Comments: (reference weak sections)

Information lacking: Please indicate areas: Section 4.4 (Socioeconomic context) and Appendix I, FME info (workers) (if detail is needed include in the comments table)

Other comments: Section 4.3 (Environmental Context) is very well written and informative.

Assessment Process:

Based upon the information in the assessment report, do you have any comments on the assessment process (i.e. team composition, field time, stakeholder consultation) and the adequacy of fieldwork as the basis for making the certification decision?

Comments: The audit team's composition is well-balanced; its qualifications are quite satisfactory. The team appears to have spent adequate time in the field, although the time of year seems to have had some impact on its ability to assess certain elements of the FSC standard (e.g. BMP effectiveness). I find it curious that some landowners denied access to their properties (p. 8) and wonder about the level of denial and how this matter will be addressed if or when a certificate is issued. The summary of observations on field visits indicates sufficient coverage of this element of the audit. Although the report provides an extensive list of stakeholders consulted (I particularly applaud the effort to reach out to WI DNR staff), the list seems very light on conservation NGO's (e.g. local Sierra Club and Audubon chapters, state environmental advocacy organizations). I could only identify a couple of NGO's on the stakeholder list.

Report Conclusions:

Is the certification recommendation of the team justified by the reports observations and findings? Yes No If no, explain?

Do you agree with certification recommendation of the team? Yes No If no, state reasons why?

Please use the following table to detail:

- your disagreement with specific findings, including certification pre-conditions, conditions and recommendations;
- suggested actions that you feel should be taken, or issues that should be considered, but haven't been considered in the certification assessment report

Peer Reviewer Comments Table:

Table Instructions: Please use this format as table will be used to document SmartWood’s response to your comments. The first column should indicate the section of the report (report section, page or specific criterion) of concern. The second column should include a brief discussion of the issue you raise. The third column is left blank for SW to address your issues. If your comments require additional space, please summarize issue in second column and continue discussion in section following the table. Insert additional rows if necessary.

Report section	Issue: Disagreement or suggested action	SW Response
Section 4.4, Socioeconomic Context	This section should, if possible, include mention of both the direct and indirect economic contributions of the forest products industry. It is not clear if the statements in the fourth paragraph (\$20 billion, 300,000 jobs) consider only direct or both direct and indirect impacts. This section should also, if possible, address the wages, salaries and benefits paid to forest industry workers relative to other sectors of the economy. Further, if information on NTFP and other benefits directly associated with forests is available, I suggest including it in this section.	The statement in the fourth paragraph refers to the value of goods and services produced and not economic impact. Text has been added to Section 4.4 to clarify that. The auditors are not aware of any WI DNR studies on the economic impacts of private forest land in Wisconsin. Additionally, some language was added to Section 4.4 regarding forest industry salaries and recreation and tourism.
Appendix II, FME info (workers)	Are these numbers real? Are the full-time and part-time positions really allocated equally between males and females? Also, the serious injury and fatality rates seem very high. In the organization I work for, such numbers would be unacceptable and likely the subject of serious public inquiry.	WI DNR did not have access to the male/female break down in employment so they assumed a 50/50 split. SmartWood agrees that this is confusing and has removed the breakdown in male and female workers and has left it blank. There was an error in the injury and fatality rates. They were reported in actual numbers rather than numbers per 100 workers. The report has been edited to remove the reference to “per 100 workers”.
Assessment Findings & Observations, P2	“MFL landowner participants stated that 82% of their enrolled properties were posted with boundary lines.” While probably not outside the norm for all family ownerships, this percentage seems low for a class of landowners with a demonstrated higher level of involvement in their properties. Boundary line marking is a fundamental responsibility of forest ownership and often a key recommendation in family forest	Boundary line marking is not a requirement in the FSC Standard unless adjacent to a harvest area. Therefore, SmartWood has not issued a CAR or OBS. SmartWood concurs that boundary line marking is an important tool in protecting properties from unauthorized uses. Most of the properties are small and the landowners live on them and know their neighbors so boundary line marking becomes less important. Additionally, it is beyond the scope of

	management plans. If not required already,” WI DNR should consider instituting boundary line marking as a “mandatory practice.”	SmartWood as an FSC auditing body to require WI DNR to do something more than what the standard requires.
Appendix I	The numbers on pages 32 and 39 do not match up. For example, p. 32 lists passively managed acreage as 200,000, whereas p. 39 lists the acreage as 180,673.	WI DNR completed supplied those numbers as it was their responsibility to complete Appendix I and Appendix II. Strict reserve (p.38) might not have the same meaning as passive management (p.31). Regardless, Appendix I is meant to be a summary of the management plan and as such can include estimates. Whereas, Appendix II is to report actually numbers that we expect to be accurate.
Criterion 1.5, protection	The reported incidence of timber theft (8% of sample) actually seems troubling – one in 12 landowners. While WI DNR’s enforcement program no doubt takes care of cases once discovered, it may be desirable to suggest additional preventive work by WI DNR, foresters, and landowners (e.g. stronger criminal statutes).	It is difficult with survey results to be sure the magnitude of the problem. In this case, the auditors are not sure of the acres impacted or the severity of the incidences or even the accuracy of the survey responses. However, evidence was presented that the incidences are followed up on and that in many cases the affected parties work it out together. The FSC standard only requires that measures are taken to prevent illegal activity. The auditors believed WI DNR MFL program was doing an adequate job of prevention considering the size and scope of the properties.
Criteria 3.3.c and 3.4.a., tribal issues	It’s not clear how confidentiality can be maintained for any written records in the possession of WI DNR, unless such records are explicitly designated as confidential in Wisconsin’s Open Records statute.	The FSC standard indicates confidentiality is “maintained in keeping with applicable laws and the requirements of tribal representatives”. The findings indicate that WI DNR maintains confidentiality relative to what the law will allow. Additionally, many of the items that need to remain confidential may not be written documents. The auditors have determined that confidentiality is fair and WI DNR is not required to turn over transcripts of conversations, or shared information.
Criterion 4.1.a., employment	As the assertion of unfair solicitation practices resulted in an Observation (01/08), the report should either provide more detail about the nature of the allegations or state clearly that the audit team found reasonable grounds for the allegations.	The OBS was created based solely on stakeholder inputs, which are reasonable grounds for indications of non-conformance. In order to maintain and respect the confidentiality of the stakeholders who provided input more specific information on the allegations cannot be provided. WI DNR has accepted this OBS and thus has acknowledged its validity.
Criterion 4.4.a	The report uses the term “tax breaks,” which has	SmartWood concurs and has modified the 2 references to

and elsewhere, input	pejorative connotations. The purpose of current use taxation is to keep forest lands as forest lands in active management. The reduction in property taxes represents the value that society places on this public policy goal, and in fact more closely approximates the value of such land in its current use rather than in a more developed use. Further, Wisconsin actually levies a yield tax on timber harvested, so at least some of the “lost” property tax revenue is recouped at the time of harvest (I leave it to others to determine the net present value of an annual series of reduced property tax payments versus a yield tax payment somewhere in the future). The report should be modified in this regard.	“tax breaks” to refer to “reduction in property taxes”.
Criterion 4.5.a., dispute resolution	The report should provide some detail as to the nature of the communications difficulties and/or a statement by the audit team that it found reasonable grounds for investigating the allegations (e.g. not just someone with an axe to grind against WI DNR).	Similar to OBS 01/07, OBS 02/07 for Indicator 4.5.a was created based solely on stakeholder inputs, which are reasonable grounds for indications of non-conformance. In order to maintain and respect the confidentiality of the stakeholders who provided input more specific information on the allegations cannot be provided. WI DNR has accepted this OBS and thus has acknowledged its validity.
Criterion 4.5.b., liability insurance	I find the statement that loggers are stumpage purchasers and not contractors, and therefore not requiring liability insurance an interesting interpretation. I am not familiar with Wisconsin’s labor laws, but in general, I believe many state courts interpret the matter differently, particularly in cases where a logger was injured while harvesting timber on the land of another and the court was charged with deciding if an employer-employee relationship existed between the landowner or landowner’s agent and the logger.	SmartWood has determined that if a logger purchasing the stumpage, they are a purchaser and not a contractor. The FSC standard only requires liability insurance for contractors and managers. Additionally, it is outside the scope of SmartWood to anticipate future lawsuits but rather to evaluate performance with the Standard.
Criterion 6.2.a., RTE species	I recommend the following publication to assist WI DNR, private foresters and loggers in identifying raptor nests: Szuba, Kandyd and Brian Naylor. 1998. Forest raptors and their nests in central Ontario: A guide to stick nests and their users. Southcentral Sciences Section Field Guide FG-03.	It is beyond the scope of SmartWood to make recommendations to WI DNR regarding specific guidance and guidelines. It is up to WI DNR to develop measures that are in conformance with the FSC standard.
Criterion	Where deer herds are increasing, forests are	SmartWood concurs that deer browse can be a problem in

6.3.a.3., endemic and difficult-to- regenerate species	increasingly parcelized and fragmented, hunting licenses are declining, and attitudes of suburban landowners do not favor hunting, deer browsing poses a significant threat to the regeneration of a number of important forest tree species. I recommend that the audit team consider an Observation regarding more active intervention by WI DNR in addressing the deer browsing problem, though not as strong as the CAR issued to the state of PA during its original certification audit.	forest management. However, the report lists several things that WI DNR is doing to help control the deer herd such as county-level surveys of browsing intensity, collaborations with the Wisconsin Council on Forestry and other organizations, and distribution of educational materials to the public. The audit team did originally consider an OBS to encourage continual focus on deer browse problems but in the end determined that the approach WI DNR is currently taking is adequate to address the requirements of Indicator 6.3.a.3.
Criterion 6.3.c.3, aquatic ecosystems	I recommend the following publication to assist WI DNR, private foresters and loggers in managing near vernal pools: Calhoun, Aram J.K. and Phillip DeMaynadier. 2004. Forestry habitat management guidelines for vernal pool wildlife. MCA Technical Paper No. 6, Metropolitan Conservation Alliance, Wildlife Conservation Society, Bronx, NY.	It is beyond the scope of SmartWood to make recommendations to WI DNR regarding specific guidance and guidelines. It is up to WI DNR to develop measures that are in conformance with the FSC standard.
Criterion 6.5.b., BMPs, and OBS 09/08	The report indicates that BMPs are mandatory and generally are followed; however, I did not find reference to a general programmatic monitoring effort in this regard. If it has not already done so, I recommend that WI DNR be encouraged to adopt the BMP monitoring protocol developed by USDA Forest Service Northeastern Area, State & Private Forestry and supported by the Northeastern Area Association of State Foresters, of which Wisconsin is a member.	The report indicates that BMPs are evaluated after the timber harvest is complete. Compliance with BMPs was observed to be at ~90%; 10% of the properties had timber harvests completed and closed without proper BMPs. OBS 09/08 was issued because of the 10% without proper BMPs. As far as recommending the BMP monitoring protocol, it is beyond the scope of SmartWood to make recommendations to WI DNR regarding specific guidance and guidelines. It is up to WI DNR to develop measures that are in conformance with the FSC standard.
Criterion 6.7.a.	All logging operations should be strongly encouraged, if not required, to have spill kits available on every harvest site.	Indicator 6.7.a does not require spill kits on site only that spills are responded to appropriately. The auditors did not see any incidences of problems regarding spills so SmartWood cannot issue an OBS or CAR.
Criterion 7.1.e.1., management plan	The conformance box is not marked on the copy I received. I assumed the answer is Yes.	SmartWood has corrected the error. The conformance box has been checked.
Criterion 7.3.a.,	I concur with the observation of the stakeholder	It is beyond the scope of SmartWood to make

worker qualifications	regarding Master Logger Certification, and recommend that WI DNR consider promoting the “Master Logger Harvest Integrity System,” which includes standard forms for a harvest plan, timber harvest agreement, and harvest followup, all found at http://www.masterloggercertification.com/forms/harvest-documentation-form.pdf .	recommendations to WI DNR regarding specific guidance and guidelines. It is up to WI DNR to develop measures that are in conformance with the FSC standard.
Criterion 8.3, chain of custody	I presume that the audit team has supplied WI DNR with a template for a Chain of Custody shipping ticket.	It is beyond the scope of SmartWood to make recommendations to WI DNR regarding specific templates. It is up to WI DNR to develop measures and templates that are in conformance with the FSC standard.
Criterion 9.1.a. HVCFs	The audit team indicates non-conformance with this indicator despite voluminous findings that WI DNR has done an exemplary job of identifying, mapping, prioritizing and protecting HVCFs. The finding seems to be semantic, particularly when considered in the context of the findings for all the criteria of Principle 9.	There was an error on the form. WI DNR was found in conformance with Indicator 9.1.a. The report has been corrected.

APPENDIX IX: SLIMF Eligibility Form (confidential)

This application is for SLIMF eligibility for:

- Individual Landowner (Small Size) - proceed to section A
- Individual Landowner (low intensity) - proceed to section B
- Group Manager Proceed to Section C

A. INDIVIDUAL: SIZE ELIGIBILITY

A. Total property size (proposed for certification)

B. Property Details

- Single property
- Multiple properties (Note: One ownership. For multiple ownerships see c)
Number of properties _____, Please list and describe in table below:

Property name	Size	Location

B. INDIVIDUAL: Low Intensity Eligibility:

- Harvest intensity is less than 20% MAI and annual harvest less than 5000 m³
 - Copy of management plan describing growth and yield calculations submitted with application (Required)
 - Harvest Less Than 5000 m³/yr
 - Harvest Records for last five years

Basis of Growth/harvest determination

a. Land Base

Acres/HA in property _____
 Acres/HA proposed for certification _____
 Acres/HA of productive Land _____
 Acres/HA in Conservation _____

b. Inventory, Growth and Yield

Estimated Standing Volume _____
 Measured Annual Growth _____ (m³ or mbf/yr)
 Calculated AAC _____
 Inventory system and sampling method, (provide description)
 Date established _____
 Last re-measure _____

Comments:

c. Harvest Interval and Intensity

- Annual
- Every 2-5 years
- Every 6-10 years
- Every 10-15 years
- Other (Describe) _____
- Date Last Harvest _____
- Volume last harvest _____
- Date Next Scheduled Harvest _____
- Years under Management _____
- Volume Harvested during last interval _____.

C. GROUP: SLIMF eligibility for Group Managers

Note: All members must meet Size or low intensity requirements above
 Number of FMUs in the group: 40,983
 Total forest area to be certified under group: 2,180,673

List Properties Below (note individual landowner may include different FMUs):

Landowner	Name of Forest Management Unit	Size	Location	Eligibility	
				Small	Low int.
List kept separately on file in the SmartWood office.				<input type="checkbox"/>	<input type="checkbox"/>
				<input type="checkbox"/>	<input type="checkbox"/>
				<input type="checkbox"/>	<input type="checkbox"/>
				<input type="checkbox"/>	<input type="checkbox"/>
				<input type="checkbox"/>	<input type="checkbox"/>
				<input type="checkbox"/>	<input type="checkbox"/>
				<input type="checkbox"/>	<input type="checkbox"/>

D. SMARTWOOD SLIMF DETERMINATION:

Operation Qualifies for SLIMF status	<input type="checkbox"/> Yes <input type="checkbox"/> No
If no, state reason:	
SW Approval:	
Approval Date	
Comments/next steps:	