

NSF-ISR auditors shall use this document to record their findings for each SFIS Performance Measure and Indicator. Where a non-conformance is found, the auditor shall fully document the reasons on the Corrective Action Request (CAR) form. If the Performance Measure or Indicator does not apply, the auditor shall place (N/A) in the appropriate Auditor section.

Objective 1: To broaden the implementation of sustainable forestry by ensuring long-term harvest levels based on the use of the best scientific information available.

Performance Measure/ Indicator		Auditor	----- Check Only One -----				OFI
			FC	EXR	Maj	Min	
1.1	<i>Program Participants shall ensure that long-term harvest levels are sustainable and consistent with appropriate growth and-yield models and written plans.</i>	MF	X				
1.1.1	A long-term resource analysis to guide forest management planning at a level appropriate to the size and scale of the operation, including: a. a periodic or ongoing forest inventory; b. a land classification system; c. soils inventory and maps, where available; d. access to growth-and-yield modelling capabilities; e. up-to-date maps or a geographic information system (GIS); f. recommended sustainable harvest levels; and g. a review of nontimber issues (e.g., pilot projects and economic incentive programs to promote water protection, carbon storage, or biological diversity conservation).	MF	X				
Objective Evidence & Notes	Interviews with Madison and field staff confirmed increased levels of attention to RECONN inventory. Changes have also been instituted to streamline process for updating “State Forest Master Plans” (management plans). Confirmed through review of meeting minutes and interviews that staff have received information about alternatives for short-term plan revisions including plan variances and plan amendments. Review of proposed revisions to Master Planning process indicates that anticipated revisions will not compromise the need to review non-timber issues, which has been a strength of this program. Will need to review revised Master Plans during 2006 Surveillance Audit Peshtigo River State Forest Master Plan Vision and Goals completed 2 years ago, working from 1989 recon.						
1.1.2	Documentation of annual harvest trends in relation to the sustainable forest management plan.						
Objective Evidence & Notes	Not reviewed 2005 SFI Surveillance Audit.						
1.1.3	A forest inventory system and a method to calculate growth.	MF	X				

FC = Full Conformance EXR = Exceeds Requirements Major = Major Nonconformance Minor = Minor Nonconformance OFI = Opportunity for Improvement

Performance Measure/ Indicator		Auditor	----- Check Only One -----				OFI
			FC	EXR	Maj	Min	
Objective Evidence & Notes	Interviews with Madison and field staff confirmed increased levels of attention to RECONN inventory. Northern Unit Kettle Moraine State Forest is one-fourth through a complete new inventory. Confirmed through review of printed maps showing RECONN dates, updated forest cover types, and by presentation from field inventory staff describing inventory methods and tools.						
1.1.4	Periodic updates of inventory and recalculation of planned harvests.	MF	X				
Objective Evidence & Notes	Interviews with Madison and field staff confirmed increased levels of attention to RECONN inventory. Northern Unit Kettle Moraine State Forest is one-fourth through a complete new inventory. Confirmed through review of printed maps showing RECONN dates, updated forest cover types, and by presentation from field inventory staff describing inventory methods and tools. Did not confirm recalculation of planned harvests that derived from inventory updates.						
1.1.5	Documentation of forest practices (e.g., planting, fertilization, and thinning) consistent with assumptions in harvest plans.	MF	X				
Objective Evidence & Notes	Field reviews of actual harvests indicate that practices are implemented, although harvests are consistently implemented later than indicated in RECONN.						

FC = Full Conformance EXR = Exceeds Requirements Major = Major Nonconformance Minor = Minor Nonconformance OFI = Opportunity for Improvement

Objective 2: To ensure long-term forest productivity and conservation of forest resources through prompt reforestation, soil conservation, afforestation and other measures.

Performance Measure/ Indicator		Auditor	----- Check Only One -----				OFI
			FC	EXR	Maj	Min	
2.1	<i>Program Participants shall reforest after final harvest, unless delayed for site-specific environmental or forest health considerations, through artificial regeneration within two years or two planting seasons, or by planned natural regeneration methods within five years.</i>						
2.1.1	Designation of all management units for either natural or artificial regeneration.	MF	X				
Objective Evidence & Notes	Confirmed on harvests inspected.						
2.1.2	Clear Requirements to judge adequate regeneration and appropriate actions to correct under-stocked areas and achieve desired species composition and stocking rates for both artificial and natural regeneration						
Objective Evidence & Notes	Not reviewed 2005 SFI Surveillance Audit.						
2.1.3	Minimized plantings of exotic tree species and research documentation that exotic tree species, planted operationally, pose minimal risk.						
Objective Evidence & Notes	Not reviewed 2005 SFI Surveillance Audit.						
2.1.4	Protection of desirable or planned advanced natural regeneration during harvest.	MF	X				
Objective Evidence & Notes	Field observations at all sites visited confirmed.						
2.1.5	Artificial reforestation programs that consider potential ecological impacts of a different species or species mix from that which was harvested.						
Objective Evidence & Notes	Not reviewed 2005 SFI Surveillance Audit.						

FC = Full Conformance EXR = Exceeds Requirements Major = Major Nonconformance Minor = Minor Nonconformance OFI = Opportunity for Improvement

Performance Measure/ Indicator		Auditor	----- Check Only One -----				OFI
			FC	EXR	Maj	Min	
2.2	<i>Program Participants shall minimize chemical use required to achieve management objectives while protecting employees, neighbors, the public and the forest environment.</i>	MF				1	
2.2.1	Minimized chemical use required to achieve management objectives.						
Objective Evidence & Notes	Not reviewed 2005 SFI Surveillance Audit.						
2.2.2	Use of least toxic and narrowest spectrum pesticide narrowest spectrum and least toxic pesticides necessary to achieve management objective.						
Objective Evidence & Notes	Not reviewed 2005 SFI Surveillance Audit.						
2.2.3	Use of pesticides registered for the intended use and applied in accordance with the label requirements.						
Objective Evidence & Notes	Not reviewed 2005 SFI Surveillance Audit.						
2.2.4	Use of Integrated Pest Management where feasible.	MF	X				
Objective Evidence & Notes	Field observations at all sites visited confirmed that stands are managed to maintain healthy, vigorous trees that are well-suited to site conditions. Increasing emphasis on maintaining up-to-date RECON data, which will help ensure stands are treated in timely fashion. Many stands are still not treated until several years after recommended date in RECON, yet none were observed to have suffered from these delays.						
2.2.5	Supervision of forest chemical applications by state-trained or certified applicators.						
Objective Evidence & Notes	Not reviewed 2005 SFI Surveillance Audit.						

FC = Full Conformance EXR = Exceeds Requirements Major = Major Nonconformance Minor = Minor Nonconformance OFI = Opportunity for Improvement

Performance Measure/ Indicator		Auditor	----- Check Only One -----				OFI
			FC	EXR	Maj	Min	
2.2.6	Use of best management practices appropriate to the situation; for example: - adjoining landowners or nearby residents notified of - applications and chemicals used; - appropriate multi-lingual signs or oral warnings used; - public road access controlled during and after applications; - streamside and other needed buffer strips appropriately designated; - positive shut-off and minimal drift spray valves used; - drift minimized by aerially applying forest chemicals parallel to buffer zones; - water quality monitored or other methods used to assure proper equipment use and stream protection of streams, lakes and other waterbodies; - chemicals stored at appropriate locations; - state reports filed as required; or - methods used to ensure protection of federally listed threatened and endangered species					X	
Objective Evidence & Notes	CAR 2005-06 Chemical Storage not in line with BMPs – unsecure location						

Performance Measure/ Indicator		Auditor	----- Check Only One -----				OFI
			FC	EXR	Maj	Min	
2.3	<i>Program Participants shall implement management practices to protect and maintain forest and soil productivity.</i>	MF	X				
2.3.1	Use of soils maps where available.						
Objective Evidence & Notes	Not reviewed 2005 SFI Surveillance Audit.						
2.3.2	Process to identify soils vulnerable to compaction and use of appropriate methods to avoid excessive soil disturbance.	MF	X				
Objective Evidence & Notes	Harvest planning and supervision process has not changed. Confirmed that this process is implemented on the forests visited this trip.						
2.3.3	Use of erosion control measures to minimize the loss of soil and site productivity.	MF	X				

FC = Full Conformance EXR = Exceeds Requirements Major = Major Nonconformance Minor = Minor Nonconformance OFI = Opportunity for Improvement

Performance Measure/ Indicator		Auditor	----- Check Only One -----				OFI
			FC	EXR	Maj	Min	
Objective Evidence & Notes	Field observations at all sites visited confirmed.						
2.3.4	Post-harvest conditions conducive to maintaining site productivity (e.g., limited rutting, retained down woody debris, minimized skid trails).	MF	X				
Objective Evidence & Notes	Field observations at all sites visited confirmed that site productivity has been protected. Very little rutting observed, skid trails minimal, normal levels of down woody debris observed.						
2.3.5	Retention of vigorous trees during partial harvesting, consistent with silvicultural norms for the area.	MF	X				
Objective Evidence & Notes	Field observations at all sites visited confirmed.						
2.3.6	Criteria that address harvesting and site preparation to protect soil productivity.	MF	X				
Objective Evidence & Notes	WI DNR has hired a State Hydrologist to help refine BMPs and guidelines regarding acceptable levels of rutting and soil compaction. This issue is of relevance beyond the State Forests under review, to also include Wisconsin County Forests and perhaps all forests within Wisconsin through the BMP Guidelines. As such the process for revising the guidelines will take additional time. Reviewed “DRAFT Rutting Policy for State Forest Lands – June 20, 2005”.						
2.3.7	Minimized road construction to meet management objectives efficiently.	MF	X				
Objective Evidence & Notes	Confirmed that construction of new roads or road sections is uncommon. Reviewed data on “Road Inventory Implementation Status” which provided following data: (forest/% inventory complete/total miles): Pshntigo/20%/54 miles; NHAL/20%/1,148; Gov. Knowles/80%/144; FRSF/50%/412; Brule/0%/306; Black/20%/225. No data for southern forests.						

FC = Full Conformance EXR = Exceeds Requirements Major = Major Nonconformance Minor = Minor Nonconformance OFI = Opportunity for Improvement

Performance Measure/ Indicator		Auditor	----- Check Only One -----				OFI
			FC	EXR	Maj	Min	
2.4	<i>Program Participants shall manage so as to protect forests from damaging agents such as environmentally or economically undesirable wildfire, pests and diseases to maintain and improve long-term forest health, productivity and economic viability.</i>						
2.4.1	Program to protect forests from damaging agents.						
Objective Evidence & Notes	Not reviewed 2005 SFI Surveillance Audit.						
2.4.2	Management to promote healthy and productive forest conditions to minimize susceptibility to damaging agents.	MF	X				
Objective Evidence & Notes	Field observations at all sites visited confirmed.						
2.4.3	Participation in, and support of, fire and pest prevention and control programs.						
Objective Evidence & Notes	Not reviewed 2005 SFI Surveillance Audit.						
2.5	<i>Program Participants that utilize genetically improved planting stock including those derived through biotechnology shall use sound scientific methods and follow all applicable laws and other internationally applicable protocols.</i>						
2.5.1	Program for appropriate research, testing, evaluation and deployment of genetically improved planting stock						
Objective Evidence & Notes	Not reviewed 2005 SFI Surveillance Audit.						

FC = Full Conformance EXR = Exceeds Requirements Major = Major Nonconformance Minor = Minor Nonconformance OFI = Opportunity for Improvement

Objective 3: To protect water quality in streams, lakes and other water bodies.

Performance Measure/ Indicator		Auditor	----- Check Only One -----				OFI
			FC	EXR	Maj	Min	
3.1	<i>Program Participants shall meet or exceed all applicable federal, provincial, state and local water quality laws and meet or exceed Best Management Practices developed under Environmental Protection Agency (EPA)-approved state water quality programs other applicable federal, provincial, state or local programs.</i>	MF					1
3.1.1	Program to implement state or provincial equivalent BMPs during all phases of management activities.	MF					X
Objective Evidence & Notes	Confirmed that policy has been clarified that all BMPs are to be followed, not just timber harvest bmps. Closed existing CAR regarding road maintenance. Road maintenance funding increased by Wisconsin legislature. There is an opportunity to improve the implementation of BMPs for permanent, seasonal, and skid roads.						
3.1.2	Contract provisions that specify BMP compliance.	MF	X				
Objective Evidence & Notes	Confirmed that all new contracts include this provision by review of contracts.						
3.1.3	Plans that address wet weather events (e.g., inventory systems, wet weather tracts, defining acceptable operational conditions, etc.).						
Objective Evidence & Notes	Not reviewed 2005 SFI Surveillance Audit.						
3.1.4	Monitoring of overall BMP implementation.	MF	X				
Objective Evidence & Notes	Reviewed 2003 BMP monitoring report which covered the implementation and effectiveness of all BMPs on State and County Forests, with field work done I 2003 and 2004. For state lands the report shows BMP application rate improved from 86% (1995-97) to 90%. More improvement in forest roads and skid trails was recommended (Forest roads and skid trails present the greatest potential for improvement.” The report noted a linkage between failure to apply BMPs and subsequent water quality issues, but overall was quite positive about BMPs on Wisconsin’s State Forests: “Monitoring indicates that current BMPs are very effective at reducing non-point source pollution” Breuing, Gasser, and Holland, 2003). Medicine Brook Road on the east side of the Peshtigo River has some minor drainage and erosion issues, although there was no observable impact to water quality. The 2006 audit will include BMPs, particularly for skid roads and permanent roads, as one of the focus areas.						

FC = Full Conformance EXR = Exceeds Requirements Major = Major Nonconformance Minor = Minor Nonconformance OFI = Opportunity for Improvement

Performance Measure/ Indicator		Auditor	----- Check Only One -----				OFI
			FC	EXR	Maj	Min	
3.2	<i>Program Participant shall have or develop, implement, and document, riparian protection measures based on soil type, terrain, vegetation and other applicable factors.</i>	MF	X				
3.2.1	Program addressing management and protection of streams, lakes and other water bodies and riparian zones.						
Objective Evidence & Notes	Not reviewed 2005 SFI Surveillance Audit.						
3.2.2	Mapping of streams, lakes and other water bodies and riparian zones, and where appropriate, identification on the ground.						
Objective Evidence & Notes	Not reviewed 2005 SFI Surveillance Audit.						
3.2.3	Implementation of plans to manage or protect streams, lakes and other water bodies.	MF	X				
Objective Evidence & Notes	Field observations at all sites visited confirmed.						
3.2.4	Identification and protection of nonforested wetlands, including bogs, fens, vernal pools and marshes of significant size.	MF	X				
Objective Evidence & Notes	Field observations at all sites visited confirmed. Wetlands are shown on harvest planning maps, which are provided as part of logging contracts. Confirmed that wetlands are protected during harvests.						
3.2.5	Where regulations or BMPs do not currently exist to protect riparian areas, use of experts to identify appropriate protection measures.	MF	X				
Objective Evidence & Notes	WI DNR has hired a State Hydrologist to help refine BMPs and guidelines regarding acceptable levels of rutting and soil compaction.						

FC = Full Conformance EXR = Exceeds Requirements Major = Major Nonconformance Minor = Minor Nonconformance OFI = Opportunity for Improvement

Objective 4: Manage the quality and distribution of wildlife habitats and contribute to the conservation of biological diversity by developing and implementing stand- and landscape- level measures that promote habitat diversity and the conservation of forest plants and animals including aquatic fauna.

Performance Measure/ Indicator	Auditor	----- Check Only One -----				OFI
		FC	EXR	Maj	Min	
4.1	<i>Program participants shall have programs to promote biological diversity at stand- and landscape- scales.</i>	MF	X			
4.1.1	Program to promote the conservation of native biological diversity, including species, wildlife habitats, and ecological or natural community types, at stand and landscape levels.	MF	X			
Objective Evidence & Notes	Biodiversity protection at all three forests visited is considered paramount, and resources are made available to protect species, habitats, and natural communities. Reviewed prairie restoration and maintenance, dune protection and restoration, and shoreland restoration projects.					
4.1.2	Program to protect threatened and endangered species.	MF	X			
Objective Evidence & Notes	All three state forests visited have access to, and regularly utilize service of, DNR Biologists. Confirmed that heritage information is accessed prior to all harvests.					
4.1.3	Plans to locate and protect known sites associated with viable occurrences of critically imperiled and imperiled species and communities. Plans for protection may be developed independently or collaboratively and may include Program Participant management, cooperation with other stakeholders, or use of easements, conservation land sales, exchanges, or other conservation strategies	MF	X			
Objective Evidence & Notes	All three state forests visited have access to, and regularly utilize service of, DNR Biologists. Confirmed that heritage information is accessed prior to all harvests.					
4.1.4	Development and implementation of criteria, as guided by regionally appropriate science, for retention of stand-level wildlife habitat elements (e.g., snags, mast trees, down woody debris, den trees, nest trees).	MF	X			
	Field observations at all sites visited confirmed attention to retention within stands.					
4.1.5	Assessment, conducted individually or collaboratively, of forest cover types and habitats at the individual ownership level and, where credible data are available, across the landscape,					
	Not reviewed 2005 SFI Surveillance Audit.					
4.1.6	Support of and participation in plans or programs for the conservation of old-growth forests in the region of ownership.					
	Not reviewed 2005 SFI Surveillance Audit.					

FC = Full Conformance EXR = Exceeds Requirements Major = Major Nonconformance Minor = Minor Nonconformance OFI = Opportunity for Improvement

Performance Measure/ Indicator		Auditor	----- Check Only One -----				OFI
			FC	EXR	Maj	Min	
4.1.7	Participation in programs and demonstration of activities as appropriate to limit the introduction, impact, and spread of invasive exotic plants and animals that directly threaten or are likely to threaten native plant and animal communities.						
	Not reviewed 2005 SFI Surveillance Audit.						
4.1.8	Program to incorporate the role of prescribed or natural fire where appropriate.	MF	X				
	Confirmed extensive use of fire at Northern Unit Kettle Moraine State Forest, particularly at Jersey Flats Prairie Restoration.						

Performance Measure/ Indicator		Auditor	----- Check Only One -----				OFI
			FC	EXR	Maj	Min	
4.2	<i>Program Participants shall apply knowledge gained through research, science, technology, and field experience to manage wildlife habitat and contribute to the conservation of biological diversity.</i>						
4.2.1	Collection of information on critically imperiled and imperiled species and communities and other biodiversity-related data through forest inventory processes, mapping, or participation in external programs, such as NatureServe, state or provincial heritage programs, or other credible systems. Such participation may include providing nonproprietary scientific information, time, and assistance by staff, or in-kind or direct financial support.						
Objective Evidence & Notes	Not reviewed 2005 SFI Surveillance Audit.						
4.2.2	A methodology to incorporate research results and field applications of biodiversity and ecosystem research into forest management decisions.	MF	X				
Objective Evidence & Notes	Interviews with Wildlife Division personnel confirmed that interdisciplinary review operates effectively on the three forests visited.						

FC = Full Conformance EXR = Exceeds Requirements Major = Major Nonconformance Minor = Minor Nonconformance OFI = Opportunity for Improvement

Objective 5: To manage the visual impact of harvesting and other forest operations.

Performance Measure/ Indicator		Auditor	----- Check Only One -----				OFI
			FC	EXR	Maj	Min	
5.1	<i>Program Participants shall manage the impact of harvesting on visual quality.</i>						
5.1.1	Program to address visual quality management.	MF	X				
Objective Evidence & Notes	Timbersale planning process incorporates a review of visual issues.						
5.1.2	Incorporation of aesthetic considerations in harvesting, road, landing design and management, and other management activities where visual impacts are a concern.	MF	X				
Objective Evidence & Notes	Field observations at all sites visited confirmed that visual quality management is a continuing strength.						
5.2	<i>Program Participants shall manage the size, shape, and placement of clearcut harvests.</i>	MF	X				
5.2.1	Average size of clearcut harvest areas does not exceed 120 acres, except when necessary to respond to forest health emergencies or other natural catastrophes.	MF	X				
Objective Evidence & Notes	Field observations at all sites visited confirmed that clearcut sizes are quite small, generally under 30 acres.						
5.2.2	Documentation through internal records of clearcut size and the process for calculating average size.						
Objective Evidence & Notes	Not reviewed 2005 SFI Surveillance Audit.						

FC = Full Conformance EXR = Exceeds Requirements Major = Major Nonconformance Minor = Minor Nonconformance OFI = Opportunity for Improvement

Performance Measure/ Indicator		Auditor	----- Check Only One -----				OFI
			FC	EXR	Maj	Min	
5.3	<i>Program Participants shall adopt a green-up requirement or alternative methods that provide for visual quality.</i>						
5.3.1	Program implementing the green-up requirement or alternative methods.	MF	X				
Objective Evidence & Notes	Confirmed that the southern forests utilize the same Timbersale planning process, which ensures that green-up and adjacency issues are addressed and that visual quality is maintained. The strong recreational focus of all three forests visited, and the management of two of them by parks staff, contributes to the excellent visual qualities of these lands and the careful integration of harvesting into the overall management programs.						
5.3.2	Harvest area tracking system to demonstrate compliance with the green-up requirement or alternative methods.						
Objective Evidence & Notes	Not reviewed 2005 SFI Surveillance Audit.						
5.3.3	Trees in clearcut harvest areas are at least 3 years old or 5 feet high at the desired level of stocking before adjacent areas are clearcut, or as appropriate to address operational and economic considerations, alternative methods to reach the performance measure are utilized by the Program Participant.	MF	X				
Objective Evidence & Notes	No adjacent clearcuts were positioned adjacent to harvested units observed at the three units visited.						

FC = Full Conformance EXR = Exceeds Requirements Major = Major Nonconformance Minor = Minor Nonconformance OFI = Opportunity for Improvement

Objective 6: To manage Program Participant lands that are ecologically, geologically, historically, or culturally important in a manner that recognizes their special qualities.

Performance Measure/ Indicator	Auditor	----- Check Only One -----				OFI
		FC	EXR	Maj	Min	
6.1. <i>Program Participants shall identify special sites and manage them in a manner appropriate for their unique features.</i>	MF	X				
6.1.1 Use of existing natural heritage data and expert advice in identifying or selecting sites for protection because of their ecologically, geologically, historically, or culturally important qualities.	MF	X				
Objective Evidence & Notes	Interviewed state forest archaeologist, who confirmed that any ground-disturbing activity requires her field review and approval. Timber sales are screened for known archeological sites.					
6.1.2 Appropriate mapping, cataloging, and management of identified special sites.	MF	X				
Objective Evidence & Notes	Confirmed appropriate management of identified special sites at all three units visited. Field visits to several Forest Prairie restoration and recreational sites at Northern Unit Kettle Moraine State confirmed that these sites receive careful attention and appropriate management. Point Beach State Forest is dominated by sensitive sites associated with lakeshore dunes and linear relic dune – wetland complexes. Managers confirmed extensive knowledge and a range of protection and management measures. Peshtigo River State Forest is based on the river, which is managed to provide recreational opportunities while protecting the environmental aspects of the river and its surroundings.					

FC = Full Conformance EXR = Exceeds Requirements Major = Major Nonconformance Minor = Minor Nonconformance OFI = Opportunity for Improvement

Objective 7: To promote the efficient use of forest resources.

Performance Measure/ Indicator		Auditor	----- Check Only One -----				OFI
			FC	EXR	Maj	Min	
7.1	<i>Program Participants shall employ appropriate forest harvesting technology and “in-woods” manufacturing processes and practices to minimize waste and ensure efficient utilization of harvested trees, where consistent with other SFI Standard objectives.</i>	MF	X				
7.1.1	1. Program or monitoring system to ensure efficient utilization, which may include provisions to ensure a. landings left clean with little waste; b. residues distributed to add organic and nutrient value to future forests; c. training or incentives to encourage loggers to enhance utilization; d. cooperation with mill managers for better utilization of species and low-grade material; e. merchandizing of harvested material to ensure use for its most beneficial purpose; f. development of markets for underutilized species and low-grade wood; g. periodic inspections and reports noting utilization and product separation; or h. exploration of alternative markets (e.g., energy markets).	MF	X				
Objective Evidence & Notes	Field observations at all sites visited confirmed good to excellent utilization. Confirmed through interviews and prior auditor knowledge that excellent markets exist for nearly all species and grades present on WI State Forests. Most harvests are conducted using mechanical harvesters, which has led to good utilization.						

**Objective 8: To broaden the practice of sustainable forestry through procurement programs.
Not Applicable**

Objective 9: To improve forestry research, science, and technology, upon which sound forest management decisions are based.

Performance Measure/ Indicator		Auditor	----- Check Only One -----				OFI
			FC	EXR	Maj	Min	
9.1	<i>Program Participants shall individually, through cooperative efforts, or through associations provide in-kind support or funding, in addition to that generated through taxes, for forest research to improve the health, productivity, and management of forest resources.</i>						
9.1.1	Current financial or in-kind support of research to address questions of relevance in the region of operations. The research will include some or all of the following issues: a. forest health, productivity, and ecosystem functions; b. chemical efficiency, use rate, and integrated pest management; c. water quality; d. wildlife management at stand or landscape levels; e. conservation of biological diversity; and f. effectiveness of BMPs.	MF	X (only a. review- ed)				
Objective Evidence & Notes	a. WI DNR has hired a State Hydrologist to help refine BMPs and guidelines regarding acceptable levels of rutting and soil compaction. This issue is of relevance beyond the State Forests under review, to also include Wisconsin County Forests and perhaps all forests within Wisconsin through the BMP Guidelines. As such the process for revising the guidelines will take additional time. Reviewed “DRAFT Rutting Policy for State Forest Lands – June 20, 2005”.						
9.2	<i>Program Participants shall individually, through cooperative efforts, or through associations develop or use state, provincial, or regional analyses in support of their sustainable forestry programs.</i>						
9.2.1	Participation, individually or through cooperative efforts or associations at the state, provincial, or regional level, in the development or use of a. regeneration assessments; b. growth-and-drain assessments; c. BMP implementation and compliance; and d. biodiversity conservation information for family forest owners.	MF	X a, b,c	X (only d. excee ds)			
Objective Evidence & Notes	Reviewed WI DNR new publication “10 Ways to Protect Your Woodland Property – An Introduction to Wisconsin’s Forest Management Guidelines” which was supported in part by the SFI program. The booklet provides good information on item d and comprises an excellent resource for private landowners and loggers with contact information and with well-organized sources of additional information located in the final pages.						

FC = Full Conformance EXR = Exceeds Requirements Major = Major Nonconformance Minor = Minor Nonconformance OFI = Opportunity for Improvement

Objective 10: To improve the practice of sustainable forest management by resource professionals, logging professionals, and contractors through appropriate training and education programs.

Performance Measure/ Indicator		Auditor	----- Check Only One -----				OFI
			FC	EXR	Maj	Min	
10.1	10.1. Program Participants shall require appropriate training of personnel and contractors so that they are competent to fulfill their responsibilities under the SFI Standard.	MF	X				
10.1.1	Written statement of commitment to the SFI Standard communicated throughout the organization, particularly to mill and woodland managers, wood procurement staff, and field foresters.	MF	X				
Objective Evidence & Notes	5. Reviewed resolution adopted by the Natural Resources Board recognizing the Department's commitment to the SFIS. Further, confirmed that WI DNR forest certification policy has been documented in the appropriate DNR Manual Code Handbooks and communicated to Department staff, partners and stakeholders by memoranda, news releases and training programs. Forest Certification was an agenda item at each of the state forest working group meetings (Fall, winter and summer)						
10.1.2	Assignment and understanding of roles and responsibilities for achieving SFI Standard objectives.	MF	X				
Objective Evidence & Notes	Reviewed documents confirmed the Forestry Division updated and incorporated staff roles and responsibilities for SFIS Objectives within the Division's consistency plan. The Forest Certification Working Group was added to the plan. Interviews and documentation confirmed that The Forestry Division Leadership Team and the Regional Forestry Leaders included the roles and responsibilities identified in the consistency plan in annual work plans.						
10.1.3	Staff education and training sufficient to their roles and responsibilities.	MF	X				
Objective Evidence & Notes	Review of State Forest Meeting agenda and interviews confirmed provision of SFI Program training to the State Forest staff during the fall 2004 all State Forest staff meeting. Review of attendance records confirmed FISTA conducted six BMP training sessions across the state for all County Forest and State Forest staff. All state forest staff directly involved in implementing BMP attended one of the training sessions.						
10.1.4	Contractor education and training sufficient to their roles and responsibilities.	MF	X				
Objective Evidence & Notes	WI DNR will require SFI training of all contractors effective 1-1-06. Confirmed changes in policy. Confirmed that timber contract requires that loggers follow safety and labor relations requirements.						

FC = Full Conformance EXR = Exceeds Requirements Major = Major Nonconformance Minor = Minor Nonconformance OFI = Opportunity for Improvement

Performance Measure/ Indicator		Auditor	----- Check Only One -----				OFI
			FC	EXR	Maj	Min	
10.2	<i>Program Participants shall work closely with state logging or forestry associations, or appropriate agencies or others in the forestry community, to foster improvement in the professionalism of wood producers.</i>	MF	X				
10.2.1	Participation in or support of SFI Implementation Committees to establish criteria and identify delivery mechanisms for wood producers’ training courses that address a. awareness of sustainable forestry principles and the SFI Program; b. BMPs, including streamside management and road construction, maintenance, & retirement; c. regeneration, forest resource conservation, and aesthetics; d. awareness of responsibilities under the U.S. Endangered Species Act, the Canadian Species at Risk Act, and other measures to protect wildlife habitat; e. logging safety; f. U.S. Occupational Safety and Health Administration regulations, wage and hour rules, and other employment laws; g. transportation issues; h. business management; and i. public policy and outreach.	MF	X				
Objective Evidence & Notes	Confirmed continuing involvement of WI DNR personnel in SIC meetings and outreach activities. Reviewed WI DNR new publication “10 Ways to Protect Your Woodland Property – An Introduction to Wisconsin’s Forest Management Guidelines” which was supported in part by the SFI program. The booklet covers items b, c, d, e, and comprises an excellent effort for item i.						

FC = Full Conformance EXR = Exceeds Requirements Major = Major Nonconformance Minor = Minor Nonconformance OFI = Opportunity for Improvement

Objective 11: Commitment to comply with applicable federal, provincial, state, or local laws and regulations. NOT REVIEWED 2005 SFI Surveillance Audit.

Performance Measure/ Indicator	Auditor	----- Check Only One -----				OFI
		FC	EXR	Maj	Min	
11.1 <i>Program Participants shall take appropriate steps to comply with applicable federal, provincial, state, and local forestry and related environmental laws and regulations.</i>						
11.1.1 Access to relevant laws and regulations in appropriate locations.						
Objective Evidence & Notes	Not reviewed 2005 SFI Surveillance Audit.					
11.1.2 System to achieve compliance with applicable federal, provincial, state, or local laws and regulations.						
Objective Evidence & Notes	Not reviewed 2005 SFI Surveillance Audit.					
11.1.3 Demonstration of commitment to legal compliance through available regulatory action information.						
Objective Evidence & Notes	Not reviewed 2005 SFI Surveillance Audit.					
11.1.4 Adherence to all applicable federal, state, & provincial regulations and international protocols for research & deployment of trees derived from improved planting stock & biotechnology.						
Objective Evidence & Notes	Not reviewed 2005 SFI Surveillance Audit.					
11.2 <i>Program Participants shall take appropriate steps to comply with all applicable social laws at the federal, provincial, state, and local levels in the country in which the Program Participant operates.</i>	MF	X				
11.2.1 Written policy demonstrating commitment to comply with social laws, such as those covering civil rights, equal employment opportunities, antidiscrimination and anti-harassment measures, workers' compensation, indigenous peoples' rights, workers' and communities' right to know, prevailing wages, workers' right to organize, and occupational health and safety.	MF	X				
Objective Evidence & Notes	WI DNR will require SFI training of all contractors effective 1-1-06, which includes training of laws and regulations. Confirmed changes in policy. Confirmed that timber contract requires that loggers follow safety and labor relations requirements.					

FC = Full Conformance EXR = Exceeds Requirements Major = Major Nonconformance Minor = Minor Nonconformance OFI = Opportunity for Improvement

Objective 12: To broaden the practice of sustainable forestry by encouraging the public and forestry community to participate in the commitment to sustainable forestry and publicly report progress.

Performance Measure/ Indicator		Auditor	----- Check Only One -----				OFI
			FC	EXR	Maj	Min	
12.1	<i>Program Participants shall support and promote efforts by consulting foresters, state and federal agencies, state or local groups, professional societies, and the American Tree Farm System® and other landowner cooperative programs to apply principles of sustainable forest management. Not reviewed 2005 SFI Surveillance Audit.</i>	MF	X				
12.1.1	Support for efforts of SFI Implementation Committees.	MF	X				
Objective Evidence & Notes	Confirmed continuing involvement in SIC meetings.						
12.1.2	Support for the development and distribution of educational materials, including information packets for use with forest landowners.	MF	X				
Objective Evidence & Notes	Confirmed continuing involvement of WI DNR personnel in SIC meetings and outreach activities. Reviewed WI DNR new publication “10 Ways to Protect Your Woodland Property – An Introduction to Wisconsin’s Forest Management Guidelines” which was supported in part by the SFI program.						
12.1.3	Support for the development and distribution of regional or statewide information materials that provide landowners with practical approaches for addressing biological diversity issues, such as specific wildlife habitat, critically imperiled or imperiled species, and threatened and endangered species.	MF	X				
Objective Evidence & Notes	Reviewed WI DNR new publication “10 Ways to Protect Your Woodland Property – An Introduction to Wisconsin’s Forest Management Guidelines” which was supported in part by the SFI program. This and the more detailed “guidelines” document, which is available in printed versions or on the web, cover all of the RTE, habitat, and biodiversity issues.						

FC = Full Conformance EXR = Exceeds Requirements Major = Major Nonconformance Minor = Minor Nonconformance OFI = Opportunity for Improvement

Performance Measure/ Indicator		Auditor	----- Check Only One -----				OFI
			FC	EXR	Maj	Min	
12.1.4	Participation in efforts to support or promote conservation of working forests through voluntary market-based incentive programs (e.g., current-use taxation programs, Forest Legacy, or conservation easements).	MF	X				
Objective Evidence & Notes	WI DNR has a strong private forestry program which has a very strong (Tree Farm Certified) current use taxation program titled the Managed Forest Law Program.						
12.1.5	Program Participants are knowledgeable about credible regional conservation planning and priority-setting efforts that include a broad range of stakeholders. Consider the results of these efforts in planning where practical and consistent with management objectives.	MF	X				
Objective Evidence & Notes	Reviewed drafts of ongoing planning documents and recently completed plans, which include regional conservation planning and priority-setting efforts that include a broad range of stakeholders (examples: Brule Rive State Forest Master Plan and EIS, NHAL State Forest Plan).						

FC = Full Conformance EXR = Exceeds Requirements Major = Major Nonconformance Minor = Minor Nonconformance OFI = Opportunity for Improvement

Performance Measure/ Indicator		Auditor	----- Check Only One -----				OFI
			FC	EXR	Maj	Min	
12.2	<i>Program Participants shall support and promote, at the state, provincial or other appropriate levels, mechanisms for public outreach, education, and involvement related to forest management.</i>	MF	X				
12.2.1	Support for the SFI Implementation Committee program to address outreach, education, and technical assistance (e.g., toll-free numbers, public sector technical assistance programs).	MF	X				
Objective Evidence & Notes	Confirmed continuing involvement of WI DNR personnel in SIC meetings and outreach activities. Reviewed WI DNR new publication “10 Ways to Protect Your Woodland Property – An Introduction to Wisconsin’s Forest Management Guidelines” which was supported in part by the SFI program.						
12.2.2	Periodic educational opportunities promoting sustainable forestry, such as a. field tours, seminars, or workshops; b. educational trips; c. self-guided forest management trails; or d. publication of articles, educational pamphlets, or newsletters.						
Objective Evidence & Notes	Not reviewed 2005 SFI Surveillance Audit.						
12.2.3	Support for state, provincial, and local forestry organizations and soil and water conservation districts.						
Objective Evidence & Notes	Not reviewed 2005 SFI Surveillance Audit.						
12.2.4	Recreation opportunities for the public, where consistent with forest management objectives.	MF		X			
Objective Evidence & Notes	Confirmed by review of recreational facilities on all three state forests. The trails, campgrounds, and visitor facilities on these lands are very well designed and maintained. This is a strength of the program.						

FC = Full Conformance EXR = Exceeds Requirements Major = Major Nonconformance Minor = Minor Nonconformance OFI = Opportunity for Improvement

Performance Measure/ Indicator		Auditor	----- Check Only One -----				OFI
			FC	EXR	Maj	Min	
12.3	<i>Program Participants with forest management responsibilities on public lands shall participate in the development of public land planning and management processes.</i>	MF	X				
12.3.1	Involvement in public land planning and management activities with appropriate governmental entities and the public.	MF	X				
Objective Evidence & Notes	Reviewed drafts of ongoing planning documents and recently completed plans, which include input from a broad range of stakeholders (examples: Brule River State Forest Master Plan and EIS, NHAL State Forest Plan).						
12.3.2	Appropriate contact with local stakeholders over forest management issues through state, provincial, federal, or independent collaboration.	MF		X			
Objective Evidence & Notes	Reviewed drafts of ongoing planning documents and recently completed plans, which include input from a broad range of stakeholders (examples: Brule River State Forest Master Plan and EIS, NHAL State Forest Plan). Confirmed through review of agendas, announcements, and meeting minutes/newsletters that all state forests held an annual stakeholder meeting in the past year. These meetings incorporated new guidance on soliciting stakeholder input. Interviews with property managers confirmed their strong interest in improving this process and the value of increased attention to this issue.						
12.4	<i>Program Participants with forest management responsibilities on public lands shall confer with affected indigenous peoples.</i>	MF	X				
12.4.1	Program that includes communicating with affected indigenous peoples to enable Program Participants to a. understand and respect traditional forest related knowledge; b. identify and protect spiritually, historically, or culturally important sites; and c. address the sustainable use of nontimber forest products of value to indigenous peoples in areas where Program Participants have management responsibilities on public lands.						
Objective Evidence & Notes	NHAL State Forest held meetings with affected tribes. This is the largest state forest, where the plan was recently completed.						

FC = Full Conformance EXR = Exceeds Requirements Major = Major Nonconformance Minor = Minor Nonconformance OFI = Opportunity for Improvement

Performance Measure/ Indicator		Auditor	----- Check Only One -----				OFI
			FC	EXR	Maj	Min	
12.5	<i>Program Participants shall establish, at the state, provincial, or other appropriate levels, procedures to address concerns raised by loggers, consulting foresters, employees, the public, or Program Participants regarding practices that appear inconsistent with the SFI Standard principles and objectives.</i>						
12.5.1	Support for SFI Implementation Committee efforts (toll-free numbers and other efforts) to address concerns about apparent nonconforming practices.						
Objective Evidence & Notes	Not reviewed 2005 SFI Surveillance Audit.						
12.5.2	Process to receive and respond to public inquiries.						
Objective Evidence & Notes	Not reviewed 2005 SFI Surveillance Audit.						
12.6	<i>Program Participants shall report annually to the SFI Program on their compliance with the SFI Standard.</i>	MF	X				
12.6.1	Prompt response to the SFI annual progress report.	MF	X				
Objective Evidence & Notes	Reviewed completed 2004 survey, confirming that Wisconsin DNR promptly responded to the annual SFI reporting survey for State Forests.						
12.6.2	Recordkeeping for all the categories of information needed for SFI annual progress reports.	MF	X				
Objective Evidence & Notes	Confirmed.						
12.6.3	Maintenance of copies of past reports to document progress and improvements to demonstrate conformance to the SFI Standard	MF	X				
Objective Evidence & Notes	Confirmed.						

FC = Full Conformance EXR = Exceeds Requirements Major = Major Nonconformance Minor = Minor Nonconformance OFI = Opportunity for Improvement

Objective 13: To promote continual improvement in the practice of sustainable forestry and monitor, measure, and report performance in achieving the commitment to sustainable forestry.

Performance Measure/ Indicator		Auditor	----- Check Only One -----				OFI
			FC	EXR	Maj	Min	
13.1	<i>Program Participants shall establish a management review system to examine findings and progress in implementing the SFI Standard, to make appropriate improvements in programs, and to inform their employees of changes.</i>		X				
13.1.1	System to review commitments, programs, and procedures to evaluate effectiveness.	MF	X				
Objective Evidence & Notes	The DNR has a long-standing program review effort (internal fiscal audits) and continues to demonstrate commitment to good management of people, programs, and resources. Leadership meeting minutes and memos to the Wisconsin Natural Resources Board demonstrate that this system is implemented effectively.						
13.1.2	System for collecting, reviewing, and reporting information to management regarding progress in achieving SFI Standard objectives and performance measures.	MF	X				
Objective Evidence & Notes	The existing Minor Non-conformance was closed, because an effective management review is occurring. However, not all elements in the Corrective Action Plan have been implemented: "Department's internal fiscal monitoring system will include SFI Objectives and Performance Measures and continuing SFI conformance as staff resource are allowed. The revised procedures will assure that the appropriate technical specialists (wildlife biologists, BMP specialists, etc.) are included on the State Forest audit teams. Negotiations with internal partners, pending approval of the state budget, are currently in progress to continue and expand internal program audits." Although the procedures have been modified, with SFI conformance added to relevant portion of Forestry Operations Handbook, funding issues have prevented full implementation by separate auditors as described in corrective action plan. Instead, central office staff have been reviewing SFI conformance to ensure continual improvement. The strong emphasis on certification has made this a workable solution, at least for the short term. This area will be reviewed during the next surveillance audit.						
13.1.3	Annual review of progress by management and determination of changes and improvements necessary to continually improve SFI conformance.	MF	X				
Objective Evidence & Notes	Confirmed through interviews and review of meeting minutes (including Forest Leadership Team minutes) that management is kept well-informed of progress and that many changes and improvements have been made to the program over the past 18 months. The most important changes have involved streamlining the planning process, enhancing training for loggers and DNR staff, and increased focus on roads, overall BMPs, and inventory updates.						

FC = Full Conformance EXR = Exceeds Requirements Major = Major Nonconformance Minor = Minor Nonconformance OFI = Opportunity for Improvement

Evidence of Continual Improvement; Opportunities for Improvement; Practices that Exceed Expectations; and Auditor Notes

The Wisconsin DNR demonstrated that it exceeds the SFI Standard in the following areas:

- “9.2.1 Participation, individually or through cooperative efforts or associations at the state, provincial, or regional level, in the development or use of ... biodiversity conservation information for family forest owners.” The DNR’s publications and web site are comprehensive and of the highest quality.
- “12.2.4 Recreation opportunities for the public, where consistent with forest management objectives” The recreational and educational programs and facilities on state forests are very well designed and maintained, with recreational use a priority in many locations.
- “12.3.2 Appropriate contact with local stakeholders over forest management issues through state, provincial, federal, or independent collaboration.” DNR’s efforts to involve and inform the public regarding management programs are strong and steadily expanding through use of the web, mailings, and newsletters.

The Department of Natural Resources has already improved its SFI Program in response to the previously identified opportunities for improvement, including:

- Increased emphasis on timely inventory updates in the recon system;
- Criteria for “excessive” rutting is under development;
- Improved record-keeping for training, particularly certification-related training; and
- Strengthened policy to encourage logger BMP training.

Wisconsin DNR has also improved its sustainable forestry program as follows:

- Developed a program for review and analysis of all state forest roads;
- Modified timber sale contracts to include safety and labor relations compliance;
- Training and staff assignments relating to SFI have been strengthened;
- Master Planning has been improved and streamlined; and
- A forest hydrologist has been hired.

**Evidence of Continual Improvement; Opportunities for Improvement;
Practices that Exceed Expectations; and Auditor Notes**

List of DNR Personnel Involved in 2005 Surveillance Audit (location of first meeting)

Opening Briefing:

Bob Mather, Paul Pingrey, Teague Prichard, Jim Warren, Jeff Barkley, Tom Watkins, Division of Lands, Planning, Carmen Wagner, Jeff Prey, Wildlife Bureau,

Leadership Briefing:

Tim Mulhern, Darrel Zastrow, Science Section, Wendy McCown, Services and Support Section, Trent Marty, Fire Section, Bob Mather, Forestry Section

Office visit with NU KMSF staff:

Jerry Leiterman, Superintendent, Frank Trcka, Southeast Region Land and Forestry Leader, Tim Beyer, Forester Greg Pilarski, Maintenance, Julie Peltier, Forester, Jason Quast, Dale Katsma, Wildlife, Pat Robinson, Owen Boyle

Field visit of KMSF:

Tim Beyer, Jerry Leiterman, Frank Trcka, Paul Pingrey, Teague Prichard, Jim Warren, Bob Mather, Robert Hrubes, Mike Ferrucci, Julie Peltier, Jason Quast, Dale Katsma, Carmen Wagner, Owen Boyle, Pat Robinson, Joe Schwantes, LTE Recon Project

Office and Field visit with Point Beach staff:

Ron Jones, Guy Willman, Sue Crowley, Carmen Wagner, Jean Rombeck-Bartels, Pat Robinson, Victoria Dirst, Jeff Pritzl, Arnie Lindauer, Jeff Pritzl, John Lubbers

Office and Field Visit with Peshtigo State Forest staff:

Dan Mertz, Sara Pearson, Aaron Buckholz, Pat Robinson, Magie Kailhofer, Joe Kovach, Steve Kaufman

Field Sites Visited, NU KMSF:

1. Headquarters Timber Sale (67): T13N, R19E, S2,10,11 Comp 13&15; 172 acres involved, only 120 acres to be thinned. 38 to 65-year old white pine, red pine, and spruce plantations. Goal for stands to be converted to hardwood: residual BA 55-80; for stands maintained to pine: residual BA 90-130. Tamarack Circle Trail runs through sale area; invasive issues including buckthorn, honeysuckle, garlic mustard and others; past buckthorn control effort not successful; viewed 65 year-old red pine plantation on its 4th thinning
2. Jersey Flats Prairie Restoration – 200 acres, started in 1983; planting with native forbs and grasses; fire to maintain on 3 to 5-year cycle
3. Ice Age Visitor Center – built and operated in cooperation with National Park Service; full time naturalist, w two federally-funded rangers; starting to replace interpretive exhibits

**Evidence of Continual Improvement; Opportunities for Improvement;
Practices that Exceed Expectations; and Auditor Notes**

4. County Road “W” Timber Sale (84): S25, T14N, R 19E; Red Pine row thinning and White Pine conversion harvest (low basal area)
5. Long Lake Campground, Recreation Areas, Shoreline Vegetation Restoration Project and Spruce Thinning. 200 site campground, day use picnic areas and beaches; replacement of grass with native plants along shoreline (many flowering plants); timber harvest of dense spruce stand adjacent to campground – T14N R19E S 25 Comp 24 Stand 19 6 acre spruce stand
6. Shamrock Road / Woodside Road wetlands restoration project – berm and standpipe for water control to create impoundment
7. Parnell Tower Timber Sale (76): T14N, R20E, S3&4; Comp31, Stand 16 – Aspen clearcut with Oak crop-tree release
8. Red Oak State Natural Area / Red Oak Habitat Preservation Area (one area no management, one area being considered for management to maintain oak component)
9. Parnell Tower Recreation Site

Field Sites Visited, Point Beach State Forest

1. Timber Sale 1-01: T20N, R25E, S9, Comp 301, Stands 15 & 16 – Red and White Pine Plantation thinning, 3 acres aspen clearcut, 4 acre Scotch pine plantation overstory removal
2. Dune area and natural opening – vegetation management and monitoring issues
3. Bike Trail / ridge and swale topography
4. Beach and Dune trail
5. Maintenance shop – pesticide storage area
6. Nature Center

Field Sites Visited, Peshtigo State Forest

1. TwoTall Pines Sale area (conducted by prior owner) to discuss silviculture
2. Medicine Brook Road, east side of Peshtigo River – road use, maintenance, and BMP discussion
3. Peshtigo River canoe landing and camp – discussion of recreational use and special sites
4. Caldron Falls Flowage – lunch and general discussions