

Forest Certification Re-registration Audit Report

Prepared by:

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Algonquin Forestry Authority

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for the following certified forest area:

Algonquin Park Forest, Ontario, Canada

File Number: 012115-08**Date of Evaluation:** July 16 - 20**Date of Report:** July 30, 2018**Certificate Registration Date:** 12/16/2016**Certificate Expiry Date:** 09/17/2018

SECTION 1 – ORGANIZATION

Certification type

Group certificate	
Single certificate	X

Name and Description of the certified organization

The Algonquin Forestry Authority (AFA) is the Ontario Crown Agency responsible for sustainable forest management in Algonquin Provincial Park. Responsibilities also include the harvesting and distribution of wood products to mills in communities adjacent to the Park.

List of co-applicants

There are no co-applicant(s) on this certificate

SECTION 2 - DESCRIPTION OF THE DEFINED FOREST AREA

Legal Tenure / Licence Description

The Algonquin Park Forestry Agreement is similar to a Sustainable Forest Licence but defines terms and conditions regarding operations in the Algonquin Park Forest (MU 451). Harvest operations are done under a Forest Resource Licence issued under section 27 of the Crown Forest Sustainability Act.

Geographic Locations

Algonquin Provincial Park is 7,635 km² in size, and is comprised of all or parts of 40 townships. It is the headwater for five major rivers, provides significant recreational opportunities and wildlife habitat, and supplies forest products to the surrounding communities. The Park, is located between Georgian Bay and the Ottawa River in south-central Ontario.

DFA description – Area and Forest types

The entire Algonquin Park forest constitutes the Defined Forest Area (DFA). Forest management activities occur only within the Recreation and Utilization Zone (R/U zone) of the Park as defined in the Algonquin Provincial Park Management Plan.

Forest cover composition of the Algonquin Park Forest

Algonquin Park Forest	
Tree Species	Percentage of DFA Area
Red pine/white pine	17%
Spruce/jack pine/balsam fir	10%
Tolerant hardwood	49%
Intolerant hardwood	8%
Other conifer	8%
Mixedwood	9%
Total	100 %

Volume Harvested: Apr 1, 2016 to Mar 31, 2017

Algonquin Park Forest	
	Volume Harvested (m3)
Conifer	170,326
Hardwood	261,637

SECTION 3 – AUDIT PROCESS

Process

All audit activities are planned with the Lead Auditor prior to the audit. An audit plan is provided detailing the scope and objectives of the audit, the audit team members, the processes to be audited and the timelines. While onsite the audit team will work to verify that the management system meets the requirements of the standard and your system documentation by assessing objective evidence. The verification is done through interviews, documentation review and observation. This verification occurs in the office as well as in the field. For the field portion a sample of active and closed operations are selected. Auditors use a detailed checklist to document evidence of compliance.

As the audit is based on a sampling of the available information there is always a level of uncertainty that exists, non-conformity can go undetected as well as good practices.

Audit Objective

To verify the AFA's documentation and the suitability, adequacy and effectiveness of the organization management system in meeting the requirements of the CSA Z809-16 National Standard of Canada Standards for the declared scope of registration and

- To confirm that the organization complies with its own policies and procedures;
- To confirm that the management system is suitable for the organization;

Audit Criteria

CAN/CSA-Z809-16 National Standard of Canada (Approved September 2016)
Sustainable forest management

Scope of the audit

Facilities/organizational units/functional units audited are

- 222 Main Street W. Huntsville, Ontario Canada, P1H 1Y1
- Algonquin Park constitutes the Defined Forest Area (DFA). Management activities occur only within the Recreation and Utilization Zone (R/U zone) of the Park.

Certificate scope

Forest management activities - planning, harvesting, transportation and silviculture on (description of the DFA)

Combined, joined or integrated audit (see the definition in annex 1)

This audit is not a combined, joined or integrated audit

Description of SAI Global and the SAI Global Audit Team

SAI Global is a third party management system certification Registrar. Established in 1984, SAI Global has worked with thousands of organizations in North America and around the world, issuing registration certificates to those that meet international and national management system standards.

The SAI Global Sustainable Forest Management audit team members bring with them considerable experience in the area of sustainable forest management and environmental management systems auditing. Audit teams are comprised of certified auditors and registered professional foresters. All audit team members are subject to strict confidentiality and conflict of interest agreements.

Audit Team

Lead auditor: Rod Seabrook

Audit time and dates

Evaluation dates:	July 13, July 16 – 20, 2018
Tasks	Person days (excluding travel)
Pre and Post-audit work (audit plan and report writing)	0.75
Audit time (Documents, Records, Fieldwork)	5.5
Stakeholders Consultation	0.5
TOTAL	6.75

Review of Changes since last audit

No significant changes since the previous audit. The AFA has begun the planning process for the 2020-2030 forest management plan for the Algonquin Park Forest.

Significant issues impacting on the audit programme

None

Noted deviations from the audit plan and their reasons

None

Description of operations (Day shift, Night shift)

Day shift

Operations visited during the field audit include

Site identification	Type of Operation Observed
OPU 124-2	Mechanical harvesting
OPU 150-2	Mechanical harvesting
OPU 379-2	Cut and skid
OPU 336	Mechanical harvesting
Eyre Twp.	Mechanical harvest/stand improvement

Interviews

Personnel (i.e. Staff/contractors)	
Position	Number
AFA staff	
• General Manager	1
• Chief Forester	1
• Area Manager	2
• Area Forester	2
• Area Supervisor	3
• Monitoring and Measurement Supervisor	1
Contractor staff	
• Feller buncher operator	2
• Skidder operator	5
• Loader operator	1
• Truck driver	1
• Chain saw operator	4
• Supervisor	1

Members of the public participation process	
Position	Number
Advisory Group member	4

Provincial Government	
Position	Number
Park Forester	1
Forestry Technical Specialist	1

Aboriginal People	
Community and position	Number
Algonquin First Nation community representative	2

Concerns relevant to the Standard and SAI Global's response

In this section - discussion of any significant concerns relevant to the Standard, made during the audit by public participation members, Aboriginal communities, government officials, DFA workers or other interested parties and the conclusions reached by the audit team in relation to them;
<u>Concerns received: None</u>
<u>SAI Global's response: N/A</u>

SECTION 4 - AUDIT FINDINGS

Status of non-conformances from the previous audit

NC#	2017-01	Grade :	Minor NC
Requirement:			
CAN/CSA - Z809-2008 7.5.2 Corrective and preventive action AFA procedure 4.5.3			
Non-conformance:			
The corrective and preventive action processes have not been fully effective in addressing deficiencies associate with a non-conformances identified during the 2016 external audit (NCR-2016-01 re: fuel management)			
Justification for Major or Minor:			
Minor: Does not result in fundamental failure to meet the requirement			
Evidence provided to close the non-conformity:			
The audit reviewed the actions developed and implemented to address the non-conformance and found them to be thorough and effective. No evidence of deficiencies associated with management of fuel were observed on the operations visited during the audit.			
Status:			Closed

Non-conformances identified during this audit

NC#	2018-01	Grade :	Minor NC
Requirement:			
7.4.7 Emergency preparedness and response			
Non-conformance:			
Emergency preparedness requirements were not fully met			
Justification for Major or Minor:			
Minor: Does not result in fundamental failure to meet the requirement			
Evidence provided to close the non-conformity:			
To be verified during the 2019 surveillance audit			
Status:		Open	

Opportunities for Improvement (OFI):

- Consider conducting a review of large spill kit contents and their use on new harvest operation
- Consider improving stabilization practices for culverts and reminding grader operators of the need to eliminate false ditches near water crossings
- Consider whether the perched water crossing in OPU 379-2 should be replaced with a portable bridge
- Consider whether ILO conventions should be listed in the legal registry
- Consider reviewing the maximum soil disturbance standards with operations staff
- Consider reminding operations to store empty oil containers upright to minimize spills
- Consider whether the target for Indicator 5.2.1.1.2 Level of investment in initiatives that contribute to community sustainability, should be adjusted for inflation
- Consider whether the intent of Indicator 2.2.1.1.1 was to use the production forest area or the productive forest area as the baseline for the target

Positive Aspects of the Management System & Best Practices

- Efforts to promote capacity development in Aboriginal forestry operations
- Comprehensive actions to address NC associated with fuel management

Key focus areas/topics to be assessed during next audit

- Emergency preparedness

Any unresolved issues, if any identified

- None

SECTION 5 - GENERAL ASSESSMENT AND RECOMMENDATION

Based on the review of the AFA's SFM program, and the audit results, the following recommendation is made:

Re-assessment audit

Below are the results of the NCRs identified during the previous cycle:

Audit Type (I/RR/S)	NC #	Grade Major - Ma Minor - Mi	Standard clause	NCR Description
RR	2015-01	Minor	CAN/CSA - Z809-2008 7.4.6	Fuel management and propane handling requirements are not being fully met
S1	2016-01	Major	CAN/CSA - Z809-2008 7.3.3	Compliance to legal requirements and procedures was not fully demonstrated
S1	2016-02	Minor	CAN/CSA - Z809-2008 7.4.2	Evidence of completion of all required non-core training for workers on the Lemay harvest operation was not produced for audit
S1	2016-03	Minor	CAN/CSA - Z809-2008 7.4.6	Algonquin Forestry Authority did not document the engineering issues and safety concerns to justify the grubbing of low vegetation cover between the height of land (e.g. the highest point on a ditch line) or within 100m of a water crossing.
S1	2016-04	Minor	CAN/CSA - Z809-2008 7.2	The SFM policy does not contain a commitment to honor all international agreements and conventions relevant to SFM to which Canada is a signatory
S2	2017-01	Minor	CAN/CSA - Z809-2008 7.5.2	The corrective and preventive action processes have not been fully effective in addressing deficiencies associate with a non-conformances identified during the 2016 external audit (NCR-2016-01 re: fuel management)

In preparation for the audit the lead auditor has reviewed the above listed NCs. This review allowed focusing the present audit on the weakness previously identified. The reregistration audit did not find reoccurring NCs identified in the previous cycle.

The AFA conducted an internal audit on September 11 to September 15, 2017 and identified five Non-conformances. Non-conformances when identified are being managed and evaluated through the AFA's corrective/preventive management process.

A management review was conducted on October 19, 2017 where the following agenda items were reviewed and discussed with the management team.

- The results of internal and independent audits and evaluations of compliance with legal requirements and with other requirements to which AFA subscribes
- Follow-up actions from 2016 Management Review
- Communication(s) from external interested parties, including complaints
- CPPA Public Inquiries/Complaints Summary
- The environmental performance of the organization, including compliance to legislation and the AFA SFM Policy
- The extent to which objectives and targets have been met
- The status of corrective and preventive actions
- Changing circumstances, including developments in legal and other requirements related to environmental aspects and updates to risk assessment if required
- Review the ongoing suitability, adequacy and effectiveness of the ESFM System
- Advances in Science & Technology
- Lessons learned from experience
- Changes in Defined Forest Area
- Recommendations for improvement
- Overall assessment of progress towards SFM
- 2017-2018 Annual Monitoring Plan
- Training

The results of the Re-assessment including the review of the performance of the Management System over the past cycle indicate the capability of the management system to meet applicable requirements and expected outcomes, that the scope remains appropriate and that the audit objectives have been fulfilled with the exception of the non-conformance(s) identified during this audit.

As discussed during the closing meeting, a root cause analysis with an action plan must be submitted within 30 days for approval by the Lead Auditor.

A recommendation for the reregistration to the standard requirements and to the scope of registration identified in this report is on hold pending the receipt, review, and acceptance of the corrective action taken and closure of the major non-conformances.

The certification decision is confirmed with the reissuance of the certificate.

Next Scheduled Audit:

Dates: November 4 to November 7, 2019

Type of Audit: 12 month surveillance

SAI Global
Team Leader

Date: July 30, 2018

ANNEXE 1

A joint audit is when two or more auditing organizations cooperate to audit a single client.

A combined audit is when a client is being audited against the requirements of two or more management systems standards together.

An integrated audit is when a client has integrated the application of requirements of two or more management systems standards into a single management system and is being audited against more than one standard.

ANNEXE 2

Standard requirement	Audited on-site	Audited off-site
4.1 General requirements	X	
4.2 Required activities	X	
5.1 General requirements	X	
5.2 Interested parties	X	
5.3 Process: Basic operating rules for advisory groups	X	
5.4 Work of the advisory group	X	
5.5 Public communication	X	
6.1 DFA-specific performance requirements	X	
6.2 SFM criteria — General	X	
6.3.1.2 Discussion items for Criterion 1- Biological diversity	X	
6.3.1.3 Element 1.1 — Ecosystem diversity (VOITS)	X	
6.3.1.4 Element 1.2 — Species diversity (VOITS)	X	
6.3.1.5 Element 1.3 — Genetic diversity (VOITS)	X	
6.3.1.6 Element 1.4 — Protected areas and sites of special biological, geological, heritage, or cultural significance (VOITS)	X	
6.3.2.2 Discussion items for Criterion 2 - Ecosystem condition and productivity	X	
6.3.2.3 Element 2.1 — Forest ecosystem condition and productivity (VOITS)	X	
6.3.3.2 Discussion items for Criterion 3 - Soil and water	X	
6.3.3.3 Element 3.1 — Soil quality and quantity (VOITS)	X	
6.3.3.4 Element 3.2 — Water quality and quantity (VOITS)	X	
6.3.4.2 Discussion items for Criterion 4 - Role in global ecological cycles	X	
6.3.4.3 Element 4.1 — Carbon uptake and storage (VOITS)	X	
6.3.4.4 Element 4.2 — Forest land conversion (VOITS)	X	
6.3.5.2 Discussion items for Criterion 5 - Economic and social	X	

benefits		
6.3.5.3 Element 5.1 — Timber and non-timber benefits (VOITS)	X	
6.3.5.4 Element 5.2 — Communities and sustainability (VOITS)	X	
6.3.6 Criterion 6 — Society's responsibility	X	
6.3.6.2 Element 6.1 — Fair and effective decision-making (VOITS)	X	
6.3.6.3 Element 6.2 — Safety (VOITS)	X	
6.3.7 Criterion 7 — Aboriginal relations	X	
6.3.7.2 Element 7.1 — Aboriginal and treaty rights (VOITS)	X	
6.3.7.3 Element 7.2 — Respect for Aboriginal forest values, knowledge, and uses (VOITS)	X	
7.1 General	X	
7.2 SFM policy	X	
7.3.1 Defined forest area	X	
7.3.2 Defined responsibilities	X	
7.3.3 Rights and regulations	X	
7.3.4 Incorporation of public participation requirements	X	
7.3.5 SFM plan	X	
7.4.1 Structure, responsibility, and resources	X	
7.4.2 Competence, training, and knowledge	X	
7.4.3 Communication	X	
7.4.4 SFM documentation	X	
7.4.5 Document control	X	
7.4.6 Operational procedures and control	X	
7.4.7 Emergency preparedness and response	X	
7.5.1 Monitoring and measurement	X	
7.5.2 Corrective action	X	
7.5.3 Records	X	
7.6 Management review	X	