

Forest Certification Surveillance #1 Audit Report

Prepared by:

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for:

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for the following certified forest area:

Algonquin Park Forest, Ontario, Canada

File Number: 012115-08

Date of Evaluation: Oct 21-24, 2019

Date of Report: November 5, 2019

Certificate Registration Date: Sep 17, 2018

Certificate Expiry Date: Sep 16, 2023

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	194,312
Hardwood	191,433

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 company'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:	Oct 21 – 24, 2019
Tasks	Person days (excluding travel)
Pre and Post-audit work (audit plan and report writing)	0.75
Audit time (Documents, Records, Fieldwork)	3.75
Stakeholders Consultation	0.25
TOTAL	4.75

Review of Changes since last audit

No significant changes since the previous audit.

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
Shelby Road	Road maintenance, aggregate pit
Block 3221, 3236, Onagan Rd., Wright Rd., Beaver Rd.	Harvesting, road construction and maintenance, water crossing installation, values protection
Block 3442, Cameron L. Rd., Main Rd.	Harvesting, skidding, processing, road construction, water crossing installation, values protection

Interviews

Personnel (i.e. Staff/contractors)	
Position	Number
Chief Forester	1
Area Manager	1
Monitoring and Measurement Supervisor	1
Area Forester	1
Operations Supervisor	2

Members of the public participation process	
Position	Number
Advisory Group member	1

Provincial Government	
Position	Number
Forester	1
Forest Technical Specialist	1

Aboriginal People	
Community and position	Number
See note below	0

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;

Comments from stakeholder

A former member of the CSA Advisory Group who is a member of an Algonquin community indicated in an email to the auditor that they did not think that the AFA had met the requirements of the CSA Z809 Standard with respect to Criterion 7 Aboriginal relations.

SAI Global's response

The commenter declined an opportunity for an interview and therefore no insights regarding the comment can be derived.

Overview of elements audited off-site and on-site

See annex 1

SECTION 4 - AUDIT FINDINGS

Status of non-conformances from the previous 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: Impact is limited in time or scale			
Evidence provided to close the non-conformity:			
During the audit the items were checked and found to be compliant to requirements: pack pumps, fire extinguishers large spill kits and were found to meet requirements. In addition, communications with staff and contractors regarding the non-conformance were verified and review of the non-conformance was included as a focus area during internal audits.			
Status:			Closed

Non-conformances identified during this audit

NC#	2019-01	Grade :	Minor NC
Requirement:			
7.4..6 Operational Control; AFA Handling and Dispensing Fuel procedure Rev T			
Non-conformance:			
he requirements of the Handling and Dispensing Fuel procedure were not fully followed			
Justification for Major or Minor:			
Minor: Impact is limited in time or scale			
Evidence provided to close the non-conformity:			
Status:		Choose an item.	

NC#	2019-02	Grade :	Minor NC
Requirement:			
7.5.2 Corrective action; AFA 2019 ESFMS Internal Audit Report; AFA CPPA Action Status Table			
Non-conformance:			
Evidence of implementation of corrective actions for six non-conformance action items, due Oct 24, 2019, was not provided for audit			
Justification for Major or Minor:			
Minor: Does not result in fundamental failure to meet the requirement			
Evidence provided to close the non-conformity:			
Status:		Choose an item.	

Opportunities for Improvement (OFI):

- Consider whether the position of processor operator should be added to the training matrix
- Consider reminding operations staff and contractors that fuel tank labels must be legible
- Consider whether explicit direction should be provided in the aggregate pit operating procedures regarding piling of grubbed material and soil into standing timber
- Consider whether a cut bank along a road adjacent to Block 3372 should be trimmed to a stable angle of repose
- Consider whether procedures should require contractors' equipment and/or vehicles to have small spill kits - *fuel handling and dispensing procedures requires "A spill kit is on site during all liquid fuel handling procedures"*

Positive Aspects of the Management System & Best Practices

- Bridge installations with attention to preventing debris from entering streams from the deck surface
- Minimal soil disturbance on logging operations

Key focus areas/topics to be assessed during next audit

- Management of corrective and preventive actions

Any unresolved issues, if any identified

- None

SECTION 5 - GENERAL ASSESSMENT AND RECOMMENDATION

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

Surveillance Audit

The company conducted two internal audits since the last external audit (Sep 17 – 21, 2018 and Aug 25 – Aug 30, 2019) and identified 10 Non-conformances. Non-conformance when identified are being managed and evaluated in the AFA's CPPA process, however, evidence of implementation actions to address six non-conformances by the due date was not provided for audit (See NCR-2019-02)

Two management reviews were conducted since the previous external audit (Oct 17, 2018 and Sep 26, 2019) 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 2017 and 2018 Management Reviews
- Communication(s) from external interested parties, including complaints
- 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
- Review the ongoing suitability, adequacy and effectiveness of the ESFM System
- Advances in Science & Technology
- Changes in Defined Forest Area
- Lessons learned from experience/Recommendations for improvement
- Overall assessment of progress towards SFM
- Other

The results of this surveillance audit 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-conformances 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 the minor non-conformances for approval by the Lead Auditor. A recommendation for the maintenance of registration to SAI Global to the CSA Z809:2016 standard and to the scope of registration identified in this report is on hold pending the receipt, review, and acceptance of the corrective action taken.

Next Scheduled Audit:

Date(s): October 19 – 22, 2020

Type of Audit: S2

Rod Seabrook
SAI Global
Team Leader

Date: November 5, 2019

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		
6.3.2.3 Element 2.1 — Forest ecosystem condition and productivity (VOITS)		
6.3.3.2 Discussion items for Criterion 3 - Soil and water		
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 benefits		
6.3.5.3 Element 5.1 — Timber and non-timber benefits (VOITS)		
6.3.5.4 Element 5.2 — Communities and sustainability (VOITS)		

6.3.6 Criterion 6 — Society's responsibility		
6.3.6.2 Element 6.1 — Fair and effective decision-making (VOITS)		
6.3.6.3 Element 6.2 — Safety (VOITS)		
6.3.7 Criterion 7 — Aboriginal relations		
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		
7.2 SFM policy		
7.3.1 Defined forest area		
7.3.2 Defined responsibilities		
7.3.3 Rights and regulations	X	
7.3.4 Incorporation of public participation requirements		
7.3.5 SFM plan		
7.4.1 Structure, responsibility, and resources	X	
7.4.2 Competence, training, and knowledge	X	
7.4.3 Communication		
7.4.4 SFM documentation		
7.4.5 Document control		
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		
7.6 Management review	X	