

## **Forest Certification Surveillance #2 Report**

**Prepared by:**

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**for the following certified forest area:**

Algonquin Park Forest, Ontario, Canada

**File Number: 012115-08****Date of Evaluation: 10/19/2020 to 10-22/2020****Date of Report: Oct 23, 2020****Certificate Registration Date: 09/17/2018****Certificate Expiry Date: 09/16/2023**

## **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 km<sup>2</sup> 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, 2018 to Mar 31, 2019**

Algonquin Park Forest	
	Volume Harvested (m3)
Conifer	155,356
Hardwood	227,586
Biofibre mixedwood	63
Total	383,005

## **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 the Algonquin Park Forest

### **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**

<b>Evaluation dates:</b>	Oct 19 to Oct 22, 2020
<b>Tasks</b>	<b>Person days (excluding travel)</b>
Pre and Post-audit work (audit plan and report writing)	0.75
Audit time (Documents, Records, Fieldwork)	3.50
Stakeholders Consultation	0.50
TOTAL	4.75

### **Review of Changes since last audit**

No significant changes

### **Significant issues impacting on the audit programme**

Due to the COVID-19 pandemic the AFA has altered its routine office work practices. Employees, for the most part, are working remotely from their assigned office location. Limitations have been placed on non-AFA staff coming on site. To accommodate these changes the surveillance audit was conducted remotely using telephone, email and file sharing methods for communication and sharing of evidence. There was no site component to the audit. Telephone interviews were conducted with a sample of logging

contractors and AFA field staff working on the Pembroke side of operations as a substitute for the field audit component.

**Noted deviations from the audit plan and their reasons**

None

**Description of operations (Day shift, Night shift)**

Day shift

**Operations reviewed during the field audit include**

Site identification	Type of Operation Reviewed
OPU 1054	Harvesting
OPU 1131	Harvesting
OPU 1461	Harvesting

**Interviews**

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

Members of the public participation process	
Position	Number
County of Renfrew rep	1
Research rep	1

Provincial Government	
Position	Number
MNRF Management Forester	1
MNRF Forestry Technical Specialist	1

Aboriginal People	
Community and position	Number
Emails were sent to representatives of nine Aboriginal communities inviting input to the audit – no responses were received	

## Concerns relevant to the Standard and SAI Global's response

None

## Overview of elements audited off-site and on-site

All elements were audited off-site as the audit was conducted remotely - See annex 1

## SECTION 4 - AUDIT FINDINGS

### Status of non-conformances from the previous audit

<b>NC#</b>	2019-01	<b>Grade :</b>	Minor NC
<b>Requirement:</b>			
7.4..6 Operational Control; AFA Handling and Dispensing Fuel procedure Rev T			
<b>Non-conformance:</b>			
2019-01 The requirements of the Handling and Dispensing Fuel procedure were not fully followed			
<b>Justification for Major or Minor:</b>			
Minor: Does not result in fundamental failure to meet the requirement			
<b>Evidence provided to close the non-conformity:</b>			
Comprehensive Root Cause analysis completed on separate AFA Cause Analysis Worksheet dated Nov 14, 2019 and signed by AFA Operations Manager			
Corrective Actions			
1. Contractor instructed to install auto shutoff nozzle on tank. Truck has been taken out of Park and has not returned to date.			
2. Contractor instructed to secure oxy/acetylene tanks upright or remove from Park. Oxy/acetylene tanks have been removed from Park.			
3. Contractor instructed to securely fasten mobile tanks in pickup trucks. Truck 1 – a second heavy duty strap has been added over the top of the tank, through the handles (see attached photo).- VERIFIED photo Truck 2 – Tank is bolted down. (Contractor maintains that it was always bolted – bolts along front edge not visible during the audit due to tool box).			
4. Records of monthly Safety and Environmental program checklists			
<b>Status:</b>	Closed		

<b>NC#</b>	2019-02	<b>Grade :</b>	Minor NC
<b>Requirement:</b>			
7.5.2 Corrective action; AFA 2019 ESFMS Internal Audit Report; AFA CPPA Action Status Table			
<b>Non-conformance:</b>			
Evidence of implementation of corrective actions for six non-conformance action items, due Oct 24, 2019, was not provided for audit			
<b>Justification for Major or Minor:</b>			

Choose an item.	
<b>Evidence provided to close the non-conformity:</b>	
Comprehensive Root Cause Analysis completed by client using Cause Analysis Worksheet dated Nov 13, 2019 and signed by Operations Manager	
Corrective Actions	
<ol style="list-style-type: none"> <li>1. Most of the outstanding items had already been actioned before the audit, but had not been properly reported to close off the CPPA items in the system.</li> <li>2. All outstanding items were either closed off or deadlines extended with appropriate rational by the staff meeting on October 31st that followed the audit.</li> <li>3. Several follow-up items were created and entered into CPPA to ensure long term corrective actions are effective.</li> <li>4. CPPA #1140 was created to ensure this cause analysis was done on schedule.</li> <li>5. Refer to attached CPPA reports for evidence of completion, extension and/or follow-up items created.</li> <li>6. Review of CPPA system found no overdue CPPAs</li> </ol>	
<b>Status:</b>	Closed

**Non-conformances identified during this audit**

<b>NC#</b>	2020-01	<b>Grade :</b>	Minor NC
<b>Requirement:</b>			
CSA/Z809 Clause 7.5.2; AFA Procedure 4.5.3 Rev O			
<b>Non-conformance:</b>			
A corrective /preventive report was not prepared for compliance issues regarding leaks/spills and waste identified during the internal audit of OPU 364-2/360-2			
<b>Justification for Major or Minor:</b>			
Minor: Does not result in fundamental failure to meet the requirement			
<b>Evidence provided to close the non-conformity:</b>			
<b>Status:</b>	Open		

**Opportunities for Improvement (OFI):**

- Consider sharing early renewal survey data for PWUS forest units (stocking surveys, survival assessments) during the PAG VOIT review meeting (Indicator 2.1.1.1.) and including Pw renewal as a topic for the next PAG field tour
- Consider issuing a reminder to field staff and contractors to minimize fluid leaks through regular equipment inspection and maintenance and to report all spills to the AFA Supervisor
- Indicator 5.2.1.2.1 – Consider whether the target for the number of production facilities receiving wood from the Algonquin Park Forest should be aligned with the number of Appendix D commitment holders associated with the reporting year

### **Positive Aspects of the Management System & Best Practices**

- AFA's continuing financial support for a variety of forestry related educational initiatives

### **Key focus areas/topics to be assessed during next audit**

- On-site field audit

### **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 internal audit in the Spring, Summer and Fall of 2020 and identified four Non-conformances. Non-conformance when identified are being managed and evaluated under the AFA's CPPA process.

A management review was conducted on October 5, 2020 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 2019 Management Review
- 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-conformance 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. Implementation of the corrective actions for the minor non-conformance will be verified at the next surveillance audit.

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):** Oct 18 to Oct 21, 2021

**Type of Audit:** S3

SAI Global  
Team Leader Rod Seabrook

Date: October 23, 2020

## **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		
4.2 Required activities		X
5.1 General requirements		
5.2 Interested parties		X
5.3 Process: Basic operating rules for advisory groups		
5.4 Work of the advisory group		
5.5 Public communication		
6.1 DFA-specific performance requirements		X
6.2 SFM criteria — General		X
6.3.1.2 Discussion items for Criterion 1- Biological diversity		
6.3.1.3 Element 1.1 — Ecosystem diversity (VOITS)		
6.3.1.4 Element 1.2 — Species diversity (VOITS)		
6.3.1.5 Element 1.3 — Genetic diversity (VOITS)		
6.3.1.6 Element 1.4 — Protected areas and sites of special biological, geological, heritage, or cultural significance (VOITS)		
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		
6.3.3.3 Element 3.1 — Soil quality and quantity (VOITS)		

Standard requirement	Audited on-site	Audited off-site
6.3.3.4 Element 3.2 — Water quality and quantity (VOITS)		
6.3.4.2 Discussion items for Criterion 4 - Role in global ecological cycles		
6.3.4.3 Element 4.1 — Carbon uptake and storage (VOITS)		
6.3.4.4 Element 4.2 — Forest land conversion (VOITS)		
6.3.5.2 Discussion items for Criterion 5 - Economic and social benefits		X
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		
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		
7.4.2 Competence, training, and knowledge		
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		
7.5.2 Corrective action		X
7.5.3 Records		X
7.6 Management review		X