

**DAISHOWA-MARUBENI INTERNATIONAL LTD.**

**Forest Resources Business Unit  
Environmental Management & Sustainable Forest Management  
System**

**(Includes CANFOR Operations: Coniferous Timber Quota CTLP 130001 in  
DTL P130001, FMA P130127 & FMA P130128)**

**Internal Audit 2010**



**August 2010**

DAISHOWA-MARUBENI INTERNATIONAL LTD.

Forest Resources Business Unit

Internal Audit 2010

August 2010

Prepared for:

DAISHOWA-MARUBENI INTERNATIONAL LTD.

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Peace River, Alberta T8S 1V5

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CONFIDENTIAL REPORT Daishowa Marubeni International Ltd. (DMI), Peace River Pulp Division, Forest Resources Business Unit (FRBU) – Internal EMS/SFM Audit: August 2010.

### **Audit Scope**

Samuel Elkins, Continuous Improvement Coordinator engaged Robert Volkman CEA (SFM), to conduct the annual internal audit of Peace River Pulp Division's (PRPD) Forest Resources Business Unit's environmental management (EMS) and sustainable forest management (SFM) systems.

Audit scope: ***“All sustainable forest management and operational activities carried out by DMI-PRPD and its contractors on public and private lands required to supply the fibre requirements of Peace River Pulp Mill”.***

### **Audit Objective**

The objective was verification that the EMS & SFM conformed to planned arrangements for environmental and sustainable forest management; and was implemented and maintained in a manner consistent with the ISO 14001:2004, the International Standard for environmental management systems; and CSA Z809-02, Canadian Standard for sustainable forest management systems.

The focus was an assessment of:

- environmental management system requirements;
- sustainable forest management system requirements;
- progress towards addressing any outstanding non-conformities from previous internal audits; and
- progress towards addressing opportunities-for-improvement from previous internal audits.

### **Audit Period**

The audit period was from June 1, 2009 to June 29, 2010.

**Audit Criteria**

The primary criterion was the *ISO 14001:2004 Standard, (CAN) CSA Z-809:02 Standard, and Forest Resources Environmental Management System & Sustainable Forest Management Manual* (Revision 1.4). This included any related documentation as described under *Chapter 15 Internal Audit Programs*.

Legal requirements and other requirements DMI FRBU subscribes to were also applicable. Legal requirements included Federal Acts (e.g. *Fisheries Act, Species at Risk Act, and Transportation of Dangerous Goods Act*) and Provincial Acts (e.g. *Environmental Protection & Enhancement Act, Forest & Prairie Protection Act, Forests Act*) and associated regulations. Other requirements may include forest management directives, standard operating procedures, and manuals developed internally by DMI or CANFOR or by government agencies such as Alberta Sustainable Resource Development.

The auditors would categorize their findings into the following levels of conformity:

**Conformity** – in conformance; where the auditor finds that a practice or activity meets the policies, procedures, work instructions or the Standards (primary criteria).

**Major Non-Conformity** – where the auditor determines a non-conformity event(s) or condition(s) was or would have the potential to be significant. An action plan is required to address the major non-conformity and a revisit to the site may be required upon completion of the action plan to assess its effectiveness.

**Minor Non-Conformity** – where the auditor, upon reaching a conclusion, determines that one or more non-conformity event(s) was not considered significant. An action plan is required to address the minor non-conformity and a revisit was not required.

**Opportunity-for-Improvement** – where the auditor believes that there is no occurrence of non-conformity but if the practice(s) or condition(s) were to continue, it would potentially lead to a minor or major non-conformance.

**Audit Team**

Robert Volkman (Lead Auditor) conducted the EMS & SFM internal audit; and is a Certified Environmental Auditor, Registered Safety Professional, Certified Environmental Practitioner (Canada), and a Registered Professional Forest Technologist in Alberta. Samuel Elkins (auditor) accompanied Robert during field and office assessment work.

**Audit Process**

The preliminary opening meeting was held January 25, 2010. Preliminary work in formulating a sample commenced in November 2009. The on-site portion of the internal EMS & SFM audit was conducted in two phases. The on-site field portion of the first phase was conducted from January 26 to 29, 2010 and the second phase of on-site field work was completed from June 24 to 29, 2010 in conjunction with the internal compliance audit.

The audit sample included review of open non-conformities and opportunities-for-improvement from 2009 audits; limited file and document reviews (i.e. DMI PRPD website, paper files, etc.) pertaining to the audit sample; interviews with staff; and field inspections of both active and non-active operations by ground-truthing, driving and aerial overviews.

The audit sample consisted of:

- Harvesting: 33 blocks (status: skid cleared, haul cleared, or final cleared)
  - 1 block was associated with private land operations and 32 blocks were on public land (7 of these blocks were harvested under CANFOR coniferous timber quotas)
  - Sample block selection was across dispositions and included 5 forest management areas, 2 deciduous timber quotas, 2 coniferous timber quotas, 1 deciduous timber permit, and small operators
- Active chipping operations: 3 sites

- Active hog operations: 1 site visited
  - hog operation not active at time (no one on-site)
- Tree length operations: 7 sites (CANFOR operations)
- Hauling: 4 chip trucks
- Temporary campsites: 4

All thirty-three sample blocks were reviewed in June 2010 to complete the compliance and SFM phases of the audit. This included a review of rehabilitation/reclamation of watercourses and/or pipeline crossings, roll back of in-block roads, and ripping of chipper/landing areas as the result of operations conducted under non-frozen ground conditions.

### **Audit Observations**

DMI FRBU and CANFOR, Grande Prairie Division were the focus of this internal EMS & SFM audit. The majority of operational activities assessed during the audit period were with DMI FRBU. CANFOR holds coniferous quota within the defined forest area covered by DMI PRPD certification and had agreed to have their operational activities assessed as a result of the geographic overlap with DMI FRBU.

DMI and CANFOR continued to ensure their operational activities conformed to the ISO 14001:2004 and Z809-02 Standards. Through their voluntary commitment to environmental and sustainable forest management practices, these companies ensured that any potential impacts to the landbase were minimized or non-existent as a direct result of identification, communication, and control of their respective significant environmental aspects.

Overall, DMI FRBU and CANFOR continued to meet their system requirements; where there was a deviation from policy, procedures, or work instructions, it was not reflected to on-the-ground practices.

## **Audit Conclusions**

### **Daishowa-Marubeni International**

#### **Status of open minor non-conformities from Internal EMS & SFM Audit 2009**

There were three minor non-conformities (**NC-IA-2009-01, NC-IA-2009-02 & NC-IA-2009-03**) identified during the 2009 internal EMS & SFM audit.

The three minor non-conformities were associated with:

- Standard/Element ISO 14001:2004 4.4.6 Operational control & CSA Z809-02 7.4.6 Operational procedures and control; and DMI Procedure Project Supervision (FR-G002);
- Standard/Element ISO 14001:2004 4.5.1 Monitoring and measurement & Z809-02 7.5.1 Monitoring & measurement; and DMI Procedure Project Supervision (FR-G002); and
- Standard/Element ISO 14001:2004 4.3.2 Legal & other requirements & CSA Z809-02 7.3 Planning; and DMI Timber Harvest Planning and Operating Ground Rules.

A review of the corrective action plans and supporting documentation (i.e. meeting minutes) showed DMI FRBU held an operations supervisor meeting in May 2009. The minutes outlined the agenda which included a review of the project supervision procedures (FR-G002) and associated checklists. The procedure was revised as of August 17, 2009 to reflect discussions and input from operations staff from this meeting. In addition, DMI implemented a review of the Temporary Field Authorization (TFA) application process and as a result, established a *Temporary Field Authorization Request* (CHK-045) as of May 13, 2009.

DMI FRBU developed and implemented the *Forest Resources Operations Manual* outlining DMI-PRPD operations supervisor procedures (Revision 2.5 dated November 1, 2009). The manual outlined the purpose, scope, and description of the inspection forms including a copy of each form. Additional evidence reviewed was a signed copy of the

MOU between DMI and Boucher Bros. with respect to inspection protocols during operational activities.

The corrective action plans implemented by DMI to address these non-conformities were deemed sufficient to close all three minor non-conformities: **NC-IA-2009-01**, **NC-IA-2009-02**, and **NC-IA-2009-03**.

*Status of open opportunities-for-improvement from Internal EMS & SFM Audit 2009*

There were two opportunities-for-improvement (**OFI-IA-2009-01 & OFI-IA-2009-02**) identified during the 2009 internal EMS & SFM audit. One OFI related to DMI operations and the other related to CANFOR operations.

OFI-IA-2009-01 was associated with **Standard/Element ISO 14001:2004 4.4.7 Emergency preparedness and response & CSA Z809-02 7.4.7 Emergency preparedness and response**; and **DMI Forest Resources Fuel Management Field Guide** (Version 1.4).

A review of the corrective action plan and supporting documentation indicated a DMI operations supervisor completed a contractor inspection on February 18, 2009 and found operations to be unsatisfactory, a re-inspection completed on March 20, 2009 found the contractor operation to be in conformance.

The corrective action undertaken by DMI to address this OFI was deemed sufficient to close this opportunity-for-improvement: **OFI-IA-2009-01**.

OFI-IA-2009-02 was associated with **Standard/Element ISO 14001:2004 4.4.7 Emergency preparedness and response & CSA Z809-02 7.4.7 Emergency preparedness and response**; and **DMI Forest Resources Fuel Management Field Guide** (Version 1.4).

A review of the corrective action plan and supporting documentation provided by CANFOR showed CANFOR and DMI held a System Review Meeting on June 30, 2009. In the meeting, CANFOR made a decision to follow DMI EMS procedures and use DMI EMS forms when operating in CANFOR quota tenures within Compartment P17.

The corrective action implemented by CANFOR and DMI to address this OFI was deemed sufficient to close this opportunity-for-improvement: **OFI-IA-2009-02**.

### **Major Non-Conformities from Internal EMS & SFM Audit 2010**

No major non-conformities noted.

### **Minor Non-Conformities from Internal EMS & SFM Audit 2010**

Three new minor non-conformities have been identified during the internal audit. These minor non-conformities were associated with **Standard/Element ISO 14001:2004 4.5.4 Control of records & CSA Z809-02 7.5.3 Records**; and **Standard/Element ISO 14001:2004 4.4.6 Operational controls & CSA Z809-02 7.4.6 Operational procedures and control**. Two minor non-conformities were identified with DMI operations and a minor non-conformity was identified with CANFOR operations.

#### ***NC-IA-2010-01 (DMI Operations)***

A minor non-conformity has been identified with **Standard/Element ISO 14001:2004 4.5.4 Control of records & CSA Z809-02 7.5.3 Records** and **DMI Procedure Project Supervision** (FR-G002), specifically **Operations Start-Up Meeting Checklist** (CHK-002).

During this internal audit, operation supervisors could not provide documented evidence a start-up meeting had taken place prior to the contractor commencing operational activities. The lack of documented evidence related to two dispositions (DTLP 530001; FMA East Peace – Keppler Creek) and a private land operation.

Chapter 10 of the *Forest Resources EMS & SFM Manual*, within section *Record Management Procedures*, bullet e states: “**Environmental records will be stored in the FRBU filing system in such a way that they are readily retrievable and protected against damage, deterioration, or loss**”. In addition, *Appendix D List of Documents & Records* identified start-up meeting checklists as one of the records to be controlled.

This lack of start-up checklist records had not translated to actual non-conformity with operational practices on-the-ground or resulted in (or the potential for) environmental harm. Also, a number of other dispositions where operations were conducted in the audit period had start-up checklists completed and were provided to the auditor as supporting evidence. Therefore, the auditor deemed this a minor non-conformance with the EMS SFM system relating to records. DMI is expected to address **NC-IA-2010-01** and it will be reassessed at the next internal audit.

#### **NC-IA-2010-02 (DMI Operations)**

A minor non-conformity has been identified with **Standard/Element ISO 14001:2004 4.4.6 Operational controls & CSA Z809-02 7.4.6 Operational procedures and control**.

Chapter 11 of the *Forest Resources EMS & SFM Manual*, under section Procedure, states ***“the supervisors are responsible for communicating the environmental requirements to the various contractors”*** and under section Roles & Responsibilities, ***“participate in the development, implementation, and communication of applicable requirements to suppliers that includes Forest Resources (direct contractors)”***.

A key operational control for the operations supervisor and the contractor was the detailed block plan map. The detailed block plan map identified the block boundary, road location, water course & utility crossings, retention patches, and the location of any environmental site features, either adjacent to or within the block boundary.

There were inconsistencies between actual on-the-ground block features and features identified on the detailed block plan map. These inconsistencies were identified during the field review of the sample blocks.

Examples of these inconsistencies were:

- DTLP 160001, Block 4002, small permanent watercourse adjacent to block not on block plan map

- DTLP 160001, Blocks 4002, 4007, 4016, 3 intermittent watercourses which entered the blocks, not on block plan map
- DTLP 160001, Blocks 4002, 4007, 4016, 22 ephemeral watercourses which entered the blocks, not on block plan map
- DTLP 160001, Blocks 4002, 4007, 4016, 6 skidder crossings not on block plan map
- DTSP 210001, Block 409, 2 ephemeral watercourses which entered the block, not on block plan map
- DTSP 210001, Block 409, skidder crossing not on block plan map
- East Peace Keppler Creek, Block 23, 2 intermittent watercourses identified on block plan map, did not exist in field
- Sulphur Lake P2200, Block 6, 1 ephemeral watercourse on access to block, not on block plan map
- Sulphur Lake P2200, Block 34, watercourse crossings identified on access to block, 2 watercourses (intermittent) not identified on block plan map
- East Peace Whiskey Jack, Block 201, 2 intermittent watercourses identified on block plan map, did not exist in field
- East Peace Whiskey Jack, Block 212, 1 ephemeral watercourse which entered the block, not on block plan map
- East Peace Whiskey Jack, Block 209, 1 large retention patch in block, not on block plan map
- East Peace Whiskey Jack, Block 209, 2 skidder crossings not on block plan map

It is critical that operation controls provide accurate information to ensure operational impacts do not occur to the significant environmental aspects identified. Therefore, the auditor deemed this a minor non-conformance with the EMS & SFM system relating to operational controls. DMI is expected to address **NC-IA-2010-02** and it will be reassessed at the next internal audit.

**NC-IA-2010-03 (CANFOR Operations)**

A minor non-conformity has been identified with **Standard/Element ISO 14001:2004 4.4.6 Operational controls & CSA Z809-02 7.4.6 Operational procedures and control**.

Chapter 10 of the *CANFOR Forest Management System Manual (FMS)*, under section Responsibilities and Procedure stated “**supervisors are responsible for ensuring their employees are aware and trained in the use of operational controls (e.g. SOPs) that apply to their work**” and “**for critical purchased services, the supervisor is responsible for clearly communicating CANFOR’s environmental requirements to the contractor**”.

A key operational control for the operations supervisor and the contractor is the Standard Operating Procedures (SOP), Work Instructions (WI), and Inspections. More specifically, as part of the *Prework and Harvest Inspection Form*, section Riparian Resources, a checkbox existed for Watercourse Crossings Installation (adequately and as per AOP). At each phase, prework (if applicable), active operations, inspection, and operations complete, it is a requirement of the inspection process to assess whether the crossing installation is adequate or needs improvement.

Road access to Block 1648 required a watercourse crossing be established on an existing cutline. The watercourse crossing was identified as a small permanent and required a wood culvert installation. The crossing structure installed was a snow fill yet the supervisor had not identified the structure change in the operational inspections (Quota Harvest Prework Inspection Form).

This watercourse structure change from a wood culvert to a snowfill had not resulted in (or the potential for) environmental harm on the small permanent watercourse. However, it is critical that internal SOPs are followed to ensure operational impacts do not occur to the significant environmental aspects identified. Therefore, the auditor deemed this a minor non-conformance with the FMS system relating to operational controls. CANFOR is expected to address **NC-IA-2010-03** and it will be reassessed at the next internal audit.

**Opportunities-for-Improvement from Internal EMS & SFM Audit 2010**

There were two new opportunities-for-improvement (***OFI-IA-2010-01 & OFI-IA-2010-02***) noted during the audit review. An opportunity-for-improvement has been identified with ISO 14001:2004 Standard/Element 4.4.2 Competence, training and awareness & Z809-02 7.4.2 training, awareness, qualifications, and knowledge and ISO 14001:2004 Standard/Element 4.4.5 Control of documents & Z809-02 7.4.5 Document control.

***OFI-IA-2010-01 (DMI Operations)***

An opportunity-for-improvement has been identified related to ***ISO 14001:2004 Standard/Element 4.4.2 Competence, training and awareness & Z809-02 7.4.2 training, awareness, qualifications, and knowledge; DMI Truck Safe Program Training Manual and Forest Resources EMS & SFM manual, Appendix C Forest Resources Training Matrix***. Chapter 8 of the *Forest Resources EMS & SFM Manual*, section Procedure, Contractors stated ***“FRBU may either provide contractor specific training or provide the appropriate information to the particular contractor for them to deliver and communicate to their employees”***. The *DMI Forest Resources Truck Safe Program Training Manual* (Version 6), *FRP 3 Assessment of Driver Competence* stated ***“Driver orientations are required for all drivers entering the DMI site. These orientations are provided as follows: chip and hog fuel drivers will receive orientation from a carrier supervisor”*** and *FRP 1 On-Site Procedures for Trucks* stated ***“a DMI orientation and card are required before entry onto the DMI-PRPD site”***. Appendix C Forest Resources Training Matrix for Contractor Personnel identified the orientation as a requirement for new drivers and a re-certification for existing drivers every three years.

During the January field site visits to active chipper sites, two drivers were not current with their required orientation. DMI provided an orientation program to its contractors and it was a requirement for all drivers to keep their orientation up-to-date, whether it is a new driver or an existing driver. However, the drivers were aware of requirements within the program and supporting evidence included knowledge of emergency response procedures, the requirement for spill kits and fire extinguishers (visible on each truck), and had a copy of the current Truck Safe manual. Therefore, the auditor

deemed this an opportunity-for-improvement with the EMS & SFM system relating to competence, awareness, and training. DMI is expected to address **OFI-IA-2010-01** and it will be reassessed at the next internal audit.

#### **OFI-IA-2010-02 (DMI Operations)**

An opportunity-for-improvement has been identified related to ISO 14001:2004 Standard/Element 4.4.5 Control of documents & Z809-02 7.4.5 Document control. Chapter 10 of the *Forest Resources EMS & SFM Manual*, section Procedure, Document Control stated "**a master list of documents is included in the EMS & SFM manual**".

The *Forest Resources EMS & SFM Manual* (Revision 1.4 dated January 23, 2009) was inconsistent with continual improvement or updates made to the environmental management system since the last audit period. These improvements or changes related to roles and responsibilities, policy, procedure, and checklists. Some examples are listed below:

- roles & responsibilities as DMI FRBU organizational structure changed:
  - change to FRBU Business Unit Leader
- policy updates:
  - "Policy 8 - Hazard Assessment" did not exist
  - "Policy 8 - First Aid" and "Policy 9 - Forest Resources Building or Mill Wide Evacuation" not identified in manual
- legislation updates:
  - reference to "Occupational Health & Safety Code 2006 Order" not "2009 Order" (legislative update)
- procedure updates:
  - descriptions for FR-002, FR-S003 & FR-S006, should be "FR-S003 – Forest Resources Fire Alarm Response and Evacuation" and "FR-S006 - Care and Use of Firearms"; missing "and Snow Mobiles" for FR-S002
- checklist:
  - reference to checklist should be "EMSP-455.1" not "EMSP-4.5.5.1"

- document list updates:
  - "FR-S017 - Serious Incident Communications" and "FR-G012 - Mapping Standard" did not exist
  - "FR-S017 - Explosive Noise Deterrents", "FR-S018 - Bear Spray Deterrent" and "FR-S019 - SPOT - Satellite Messenger" not identified in list
  - "FR-G020 - Reclamation and Native Vegetation Guidelines Rev 1.0" , "FR-G021 - Private Land Purchase Guidelines Rev 0" and "FR-G023 - Plastic Control Guidelines Rev 0" not identified in list
  - "CHK-031 - Herbicide Application Inspection Rev 1.1", "CHK-039 - Employee Sign Out Sheet Rev 1.1", "CHK-040 - Quarterly Worksite Safety Inspection Rev 1.3", "CHK-041 - Truck Safe Examination Rev 1.0", "CHK-042 - EMS and SFM Internal Audit Checklist Rev 1.1", "CHK-043 - FSC CW COC Internal Audit Checklist Rev 1.1", "CHK-044 - Employee Hazard Assessment Review Checklist Rev 1.0", "CHK-045 - Temporary Field Authorization Request Form Rev 1.0" not identified in list
  - "CHK-007A - Incident Investigation Report - Overloads Rev 1.3" not identified in list
  - description for "FR-G013 - Incident Reporting Guidelines" not "FR-G013 Incident Accident Reporting"
  
- manual updates:
  - "FR-G006 - Watercourse Crossing" had been replaced with the "Watercourse Crossing Field Guide and Strategy Manual"

The *Forest Resources EMS & SFM Manual* should reflect current policies, procedures, checklists, legislation, and associated manuals as employees and contractors rely on this information to ensure activities are conducted in a manner applicable to the EMS & SFM system. The auditor does not expect the manual to be updated each time a revision or change is made to the system; however, there had been significant change to the system during the last internal audit that required a manual update.

All documents and records on the external website ([www.prpd.ca](http://www.prpd.ca)) were current and accessible to employees, contractors, and the general public except for the manual. Therefore, the auditor deemed this an opportunity-for-improvement with the EMS & SFM system relating to control of documents and records. DMI is expected to address **OFI-IA-2010-02** and it will be reassessed at the next internal audit.

### **Audit Summary**

The DMI FRBU and CANFOR Grande Prairie Division continued to improve their internal processes to ensure that the EMS & SFM is not only implemented but is functioning properly. All minor non-conformities and opportunities-for-improvement identified in previous internal audits (2009) have been addressed and were closed.

The DMI PRPD website continued to provide all employees and contractors (including their employees) with access to the most current information regarding the EMS. The use of specific manuals, guides, or procedures is used to ensure effective implementation. The addition of videos addressing various aspects of the EMS system expanded the opportunity for communication of the system.

The EMS & SFM and FMS systems including policies, procedures, processes, guidelines, checklists, website, and databases were reviewed and where appropriate, updated to reflect continual improvement of the overall system.

Deficiencies were identified in this audit and non-conformities written requiring corrective action plans. The auditor found during the review that the operations on the ground (the practices) did not necessarily result in any adverse environmental impacts when procedural guidelines were not specifically followed. This is due to the knowledge and training of DMI staff and its contractors in recognizing the potential impact to environmental aspects during operations.

Operational activities were for the most part in conformance with the EMS system. Adherence to the system and its policies and procedures is critical in ensuring conformance and minimizing potential impacts to the environment.

Three new minor non-conformities (***NC-IA-2010-01, NC-IA-2010-02, & NC-IA-2010-03***) and two new opportunities-for-improvement (***OFI-IA-2010-01 & OFI-IA-2010-02***) have been identified and appropriate actions must be undertaken to avoid these minor non-conformities and opportunities-for-improvement being elevated in their severity.

**Disclaimer / Statement of Limitations**

This audit report was prepared exclusively for Daishowa-Marubeni International Ltd. (DMI) Peace River Pulp Division, Forest Resources Business Unit and Canadian Forest Products Ltd, Grande Prairie Division. The scope and accuracy of information, findings and recommendations contained herein is consistent with the level of effort expended and is based on: i) information provided by DMI FRBU and CANFOR personnel; the scope of operations, activities and aspects inspected or about which information was provided; ii) limited on-site inspection and interviews conducted by the audit team.

Thank you for the opportunity to complete this internal EMS & SFM audit. Please contact me if you have any questions or concerns.

Sincerely,



Robert Volkman, PMP CRSP RFT (BC&AB) CEA(SFM) CCEP

Appendix A  
Detailed EMS & SFM Checklist (CHK-042)  
(Pages 39)



Section	Specific Requirement	Additional Information	Audit Evidence	Meets Standard (Y/N)	Auditor Opinion	Gap Identification
<b>CSA Z809-02</b> 4.1 General Requirements	The organization <b>shall</b> meet the SFM requirements of this Standard, which include but are not limited to:					
	a) compliance with relevant legislation on the DFA;	See 7.5.1- Monitoring and Measuring	Refer to auditor evidence supporting documentation, interviews, and site visits throughout this checklist.	Y	Refer to auditor opinion addressing 7.5.1 Monitoring & Measurement in the pertinent sections of this checklist.	No issues noted with this specific requirement.
	b) appropriate values, objectives, indicators, and targets that clearly address the CCFM SFM criteria and CSA SFM elements in this Standard;		Refer to auditor evidence supporting documentation, interviews, and site visits throughout this checklist.	Y	Refer to auditor opinion addressing VOITs in the pertinent sections of this checklist.	No issues noted with this specific requirement.
	c) ongoing and meaningful public participation;	See 5.3.1- Basic Operating Rules	Refer to auditor evidence supporting documentation, interviews, and site visits throughout this checklist.	Y	Refer to auditor opinion addressing public participation in the pertinent sections of this checklist.	No issues noted with this specific requirement.
	d) progress towards or achievement of performance targets; and	See 6.0- SFM Performance Requirements	Refer to auditor evidence supporting documentation, interviews, and site visits throughout this checklist.	Y	Refer to auditor opinion addressing performance targets in the pertinent sections of this checklist.	No issues noted with this specific requirement.
	e) continual improvement in performance.		Refer to auditor evidence supporting documentation, interviews, and site visits throughout this checklist.	Y	Refer to auditor opinion addressing management reviews and PAC meetings in the pertinent sections of this checklist.	No issues noted with this specific requirement.
<b>CSA Z809-02</b> 4.2 Required Activities	To meet all the SFM requirements of this Standard, the organization <b>shall</b> meet the					
	a) public participation requirements described in Clause 5;	See 5.1- Basic Requirements	Refer to auditor evidence supporting documentation, interviews, and site visits under section 5.	Y	Refer to auditor opinion in section 5 of this checklist.	No issues noted with this specific requirement.
	b) performance requirements described in Clause 6; and	See 6.0- SFM Performance Requirements	Refer to auditor evidence supporting documentation, interviews, and site visits under section 6.	Y	Refer to auditor opinion in section 6 of this checklist.	No issues noted with this specific requirement.
	c) system requirements described in Clause 7.	See 7.1- General SFM Requirements	Refer to auditor evidence supporting documentation, interviews, and site visits under section 7.	Y	Refer to auditor opinion in section 7 of this checklist.	No issues noted with this specific requirement.
<b>CSA Z809-02</b> 5.1 Basic Requirements	The organization <b>shall</b> establish and implement a public participation process by either					
	a) starting a new process;		DMI PRPD website (accessed January & June 2010): <ul style="list-style-type: none"> <li>section <b>Public Advisory Committee – Minutes, PAC Meeting Minutes</b> identified 6 meetings held from August 5, 2009 to March 17, 2010 (one meeting scheduled for May 2010 did not take place).</li> </ul>	Y	DMI PRPD continued to make a concerted effort to build on the public participation process it revived in 2006. The documentation reviewed supported this opinion.	No issues noted with this specific requirement.
	b) building on an existing process; or					
	c) reviving a previous process.					



Section	Specific Requirement	Additional Information	Audit Evidence	Meets Standard (Y/N)	Auditor Opinion	Gap Identification
CSA Z809-02 5.2 Interested Parties	The organization shall					
	a) openly seek representation from a broad range of interested parties, including DFA-related workers, and invite them to participate in developing the public participation process;	The organization should openly seek representation from those directly affected or interested in Forest Management within the DFA.	<ul style="list-style-type: none"> <li>Review of the minutes from the 6 PAC meetings showed the cross-section of attendees reflects the diversity of interested parties.</li> <li>Summary of voting members showed on average 4 members-at-large and 2 municipal government members were present; 1 of the members-at-large represented a non government organization.</li> <li>Summary of non-voting members showed on average 2 government representatives, 2 quota holders and 3 advisors were present.</li> </ul>	Y	In the initial stages of reviving the PAC process DMI solicited interest from a broad range of parties and the on-going meetings showed that this` requirement continued to be met.  Participants continued to represent a broad range of parties and bring varied interests to the meetings.	No issues noted with this specific requirement.
	b) provide interested parties with relevant background information;		Refer to section 5.5 Communications for details on audit evidence reviewed.	Y	There was a huge volume of information provided to the participants in a number of media to have met this requirement.	No issues noted with this specific requirement.
	c) demonstrate through documentation that efforts were made to contact Aboriginal forest users and communities affected by or interested in forest management in the DFA	Review Provincial consultation process and ensure that the current process DMI is utilizing addresses all concerns. In some cases, Aboriginal consultation may require a separate process.	<ul style="list-style-type: none"> <li>Interviews with Aboriginal advisor</li> <li>Review of documentation related to consultations with aboriginal communities</li> <li><i>Sustainable Forest Management Principles</i></li> </ul>	Y	DMI PRPD continued to have dialogue with the aboriginal communities and forest users affected by the DFA.  Most of the evidence supporting this conclusion came from an interview with DMI's aboriginal advisor and documentation provided.  The information provided supported the intention of this specific requirement to encourage aboriginal involvement.  The auditor has assured DMI documents and interview notes remained confidential surrounding their aboriginal relationships and DMI's desire to further enhance the efforts made to date.	No issues noted with this specific requirement.
	d) demonstrate through documentation that efforts were made to encourage Aboriginal forest users and communities to become involved in identifying and addressing SFM values;					
e) recognize Aboriginal and treaty rights and agree that Aboriginal participation in the public participation process will not prejudice those rights						





Section	Specific Requirement	Additional Information	Audit Evidence	Meets Standard (Y/N)	Auditor Opinion	Gap Identification
	f) establish and maintain a list of interested parties, including those that chose to participate, those that decided not to participate, and those that were unable to participate. The list shall contain names and contact information, as well as any links to the organization	The organization must ensure to document evidence of invitations extended to participants, whether or not they choose to participate, and if they do not participate, the reason for the decision if it is available.	<ul style="list-style-type: none"> <li>Assessed in 2008 CSA Z809-02 gap analysis</li> </ul>	Y	This specific requirement was assessed in 2008 and auditor opinion can be found in the <i>CSA Z809-02 Audit Report</i> dated June 2008. Documentation reviewed under other requirements in this section supported the on-going process and DMI PRPD continued to actively engage interested parties.	No issues noted with this specific requirement.
CSA Z809-02 5.3.1 Basic Operating Rules	The organization <b>shall</b> demonstrate that					
	a) the public participation process works according to clearly defined operating rules that contain provisions on	PAC members are required that there be agreement on the operating rules that guide the process.	DMI PRPD website (accessed January & June 2010): <ul style="list-style-type: none"> <li><b>PAC Terms of Reference</b> document dated February 5, 2008 was revised and the updated version (revision 1.2) was implemented as of August 26, 2009</li> <li>Review of PAC meeting minutes held from August 5, 2009 to March 12, 2010</li> <li><b>PAC Terms of Reference</b> document dated August 26, 2009, section <b>Defined Goals</b></li> <li><b>PAC Terms of Reference</b> document dated August 26, 2009, section <b>Timelines</b></li> <li><b>PAC Terms of Reference</b> document dated August 26, 2009, section <b>Communication &amp; Information</b>, provides guidance on internal and external communication</li> <li><b>PAC Terms of Reference</b> document dated August 26, 2009, section <b>Meeting Expenses &amp; Logistics</b></li> <li><b>PAC Terms of Reference</b> document dated August 26, 2009, section <b>Roles &amp; Responsibilities</b>, provided guidance on</li> </ul>	Y	During the last audit the Terms of Reference document was in draft and the auditor was not privy to the draft. The updated version reflected a new Conflict of Interest section.  The Terms of Reference document identified the goals, timelines, internal and external communications.  DMI PRPD continued to have a contracted facilitator for all meetings.  DMI PRPD continued to provide staff to the meetings as a resource in the delivery of presentations and their presence at meetings to answer questions or provide additional information.  DMI PRPD website continued to be the portal for PAC members to obtain most of their information regarding past meeting minutes, SFM information, meeting agendas, etc.  Government representatives continued to be a resource to answer questions or provide information from a regulatory	No issues noted with this specific requirement.  Note: Completed a review of the meeting minutes and the Terms of Reference to determine that the conflict of interest issue has been addressed and the new Terms of reference have been approved.
	i) content;	The operating rules need to specify the range of considerations and issues to be addressed in the process.				
	ii) goals;	The purposes for the public participation process need to be defined.				
	iii) timelines;	The operating rules need to specify the duration of various stages of the process, including delivery dates for key outcomes.				
	iv) internal and external communication;	Thought should be given to the ways in which the organization will communicate with other participants, participants will communicate and interact with one another, and participants will communicate with the public.				





Section	Specific Requirement	Additional Information	Audit Evidence	Meets Standard (Y/N)	Auditor Opinion	Gap Identification
	v) resources (including human, physical, financial, information, and technological, as necessary and reasonable);	The operating rules need to specify the resources that will be made available for the process, by which parties, and under what conditions.	<p>structure of the PAC including voting &amp; non-voting members, PAC members roles &amp; responsibilities, membership considerations, facilitators roles, PRPD role, and ASRD role</p> <ul style="list-style-type: none"> <li>• <b>PAC Terms of Reference</b> document dated August 26, 2009, section <b>Decision Making Process in the Public Advisory Process</b></li> <li>• <b>PAC Terms of Reference</b> document dated August 26, 2009, section <b>Dispute Resolution Mechanism</b></li> <li>• <b>PAC Terms of Reference</b> document dated August 26, 2009, section <b>Conflict of Interest Guidelines</b></li> <li>• <b>PAC Terms of Reference</b> document dated August 26, 2009, section <b>Review &amp; Renewal of Terms of Reference Document</b></li> </ul>		<p>or legislative perspective.</p> <p>Other expertise has been brought in to provide any additional knowledge transfer to the PAC members.</p> <p>The revised <b>PAC Terms of Reference Revision 1.2</b> were accepted in the August 5, 2009 PAC meeting.</p>	
	vi) roles, responsibilities, and obligations of participants and their organizations;	The expectations on the part of both the participants and the organization should be clear at the outset and throughout the entire process.				
	vii) conflict of interest;	The process needs to have a system to deal with conflicts of interest that must be declared.				
	viii) decision-making methods;	Participants need to know how meetings will be conducted and decisions made.				
	ix) authority for decisions;	The operating rules should clarify which participants in the process have the authority to decide on specific matters.				
	x) mechanisms to adjust the process as needed;	Change/review process need to be identified.				
	xi) access to information (including this Standard);	Participants must be provided access to this standard and all relevant information for the process.				
	xii) the participation of experts, other interests, and government; and	The participants may at times find it useful to invite experts to discuss technical issues.				



Section	Specific Requirement	Additional Information	Audit Evidence	Meets Standard (Y/N)	Auditor Opinion	Gap Identification
	xiii) a dispute-resolution mechanism; and	The operating rules need to outline a means of dealing with conflict.				
	b) the participants have agreed to the public participation process operating rules.					
CSA Z809-02 5.4 Content	a) In the public participation process, interested parties <b>shall</b> have opportunities to work with the organization to					
	i) identify and select values, objectives, indicators and targets, based on the CSA SFM elements and any other elements of relevance to the DFA;	It is the organization's responsibility to provide interested parties with an opportunity to participate in all of the items listed in Item a). However, the level of involvement will be up to the participants. If the participants choose to focus on only some of the items that they consider to be significant, it remains the responsibility of the organization to address all of them and to report back to the participants on its decisions. The participants would then be in a position to provide input, should they so desire.	<ul style="list-style-type: none"> <li>Review of PAC meeting minutes held from August 5, 2009 to March 12, 2010 showed detailed discussions on VOITs had occurred during several meetings.</li> <li>Commitments 1, 2, 4-8, and 10-14 were approved by the PAC committee.</li> <li>Draft VOITs table dated December 14, 2009</li> </ul>	Y	<p>The Terms of Reference document specifically outlined PAC member responsibilities with respect to this requirement.</p> <p>Documented evidence obtained from DMI PRPD provided auditor assurance excluding the monitoring program requirement.</p> <p>Monitoring was first discussed at the October 5, 2009 meeting. DMI was committed to utilizing the compliance audit as part of monitoring program.</p> <p>The PAC meetings program continued and there were detailed discussions around VOITs and DMI commitments (12 accepted; 2 rejected).</p>	<p>No issues noted with this specific requirement.</p> <p>Some of the process has bogged down due to the splitting of the FMA into the East and West areas. Work is on-going and showed continued improvement</p>
	ii) develop alternative strategies to be assessed;					
	iii) assess alternative strategies and select the preferred one;					
	iv) review the SFM plan;					
	v) design monitoring programs, evaluate results, and recommend improvements; and					
	vi) discuss and resolve any issues relevant to SFM in the DFA;					
b) The organization and the public participation process <b>shall</b> ensure that the values, objectives, indicators, and targets are consistent with relevant government legislation, regulations, and policies.	The process must, at minimum, comply with the existing government laws and regulations.	<ul style="list-style-type: none"> <li><b>PAC Terms of Reference</b> document dated August 26, 2009, section <b>Alberta Sustainable Resource Development Role</b></li> <li><b>Alberta Forest Planning Standard Version 4.1</b> dated April 2006</li> <li>Approval letter from ASRD for the revised detailed forest management plan documents submitted between 2007 &amp; 2008</li> </ul>	Y	<p>There were government officials representing Alberta Sustainable Resource Development departments that actively participate on PAC. Their role was to advise on regulatory requirements, approvals, and SRD agreements regarding the development of the VOITs.</p>	No issues noted with this specific requirement.	





Section	Specific Requirement	Additional Information	Audit Evidence	Meets Standard (Y/N)	Auditor Opinion	Gap Identification
					ASRD had provincially recalled some areas requiring targets be set by industry. They were completing an internal review anticipating some direction in 2010.	
CSA Z809-02 5.5 Communication	The organization shall					
	a) provide access to information about the DFA and the SFM requirements;	The organization will need to provide information for the participants to review and comment upon.	DMI PRPD website (accessed January & June 2010): <ul style="list-style-type: none"> <li>section <b>The DMI Forest Management Area</b> had a map and links to the East &amp; West FMA agreement documents</li> <li>section <b>Forest Management Principles</b> provided a brief description of DMI's forest management philosophy and identified the 6 key forest management principles which are the cornerstone of the SFM Standard</li> <li>section <b>Forest Certification – CSA Z809</b> provided a direct link to Z809-02 Standard</li> <li>section <b>Public Advisory Committee</b></li> <li>Correspondence, inquiries, and market surveys submitted to DMI PRPD from their customers (on-going process)</li> <li>DMI PRPD provided training programs to their employees, contractors &amp; their employees (on-going)</li> <li>section <b>Photo &amp; Video Gallery</b> had videos under a number of sections related to SFM</li> <li>section <b>Photo &amp; Video Gallery</b> showed a pictorial of photos related to criterion 1 to 6</li> </ul>	Y	Review of the PRPD website provided an array of information relating to the DFA (map) and SFM requirements (access to the Standard). There were descriptions and links to additional information.  The broader public has access to most of the information (PAC meeting minutes and PAC member documents are considered private) regarding implementation of the Standard through the website. The public can ask for additional information or submit comments through a <b>Public Feedback</b> portal on the website.	No issues noted with this specific requirement.
	b) provide information to a broader public about the progress being made in the implementation of this Standard;					
	c) make allowances for different linguistic, cultural, geographic, or informational needs of interested parties;	The organization should take the public input seriously and demonstrate that it is responsive to and respectful of this input. The organization should clearly explain how decisions, including any trade offs, are reached.				
	d) demonstrate that there is ongoing public communication about the DFA, including the public participation process; and					
e) demonstrate that all input is considered, and responses are provided.						



Section	Specific Requirement	Additional Information	Audit Evidence	Meets Standard (Y/N)	Auditor Opinion	Gap Identification
<b>CSA Z809-02</b> 6.0 SFM Performance Requirements	The organization, in conformance with the public participation process requirements set out in Clause 5, shall identify DFA-specific values, objectives, indicators, and targets for each of the CSA SFM elements described in Clause 6, as well as any other values associated with the DFA.		<ul style="list-style-type: none"> <li><b>Summary Documentation Detailed Forest Management Plan – Revision 2007</b> dated July 2, 2008 (draft submitted for ASRD approval March 12, 2008)</li> <li>Approval letter from ASRD for the revised detailed forest management plan documents submitted between 2007 &amp; 2008</li> </ul>	Y	See detailed comments provided under each criteria below.	No issues noted with this specific requirement.
<b>CSA Z809-02</b> CCFM Criterion 1 Conservation of Biological Diversity	Conserve biological diversity by maintaining integrity, function, and diversity of living organisms and the complexes of which they are part.					
	<b>CSA SFM Element 1.1 Ecosystem Diversity</b>					
	Conserve ecosystem diversity at the landscape level by maintaining the variety of communities and ecosystems that naturally occur in the DFA.		<ul style="list-style-type: none"> <li>5 values and 11 objectives have been identified; 5 core indicators and 14 associated indicator/target identifiers</li> </ul>	Y	DMI PRPD has identified DFA-specific values, objectives including associated indicators & targets. This requirement has been met.	No issues noted with this specific requirement.
	<b>CSA SFM Element 1.2 Species Diversity</b>					
	Conserve species diversity by ensuring that habitats for the native species found in the DFA are maintained through time.		<ul style="list-style-type: none"> <li>1 value and 1 objective has been identified; 3 core indicators and 2 associated indicator/target identifiers</li> </ul>	Y	DMI PRPD has identified DFA-specific values, objectives including associated indicators & targets. This requirement has been met.	No issues noted with this specific requirement.
	<b>CSA SFM Element 1.3 Genetic Diversity</b>					
	Conserve genetic diversity by maintaining the variation of genes within species.	Demonstrate conservation of genetic diversity by maintaining the variations of genes within the species	<ul style="list-style-type: none"> <li>3 values and 3 objectives have been identified; 3 associated indicator/target identifiers</li> </ul>	Y	DMI PRPD has identified DFA-specific values, objectives including associated indicators & targets. This requirement has been met.	No issues noted with this specific requirement.
	<b>CSA SFM Element 1.4 Protected Areas and Sites of Special Biological Significance</b>					
Respect protected areas identified through government processes. Identify sites of special biological significance within the DFA and implement management strategies appropriate to their long-term maintenance.	Identify sites of special biological significance within the DFA and implement management strategies appropriate to their long term maintenance	<ul style="list-style-type: none"> <li>1 value and 2 objectives have been identified; 2 core indicators and 3 associated indicator/target identifiers</li> </ul>	Y	DMI PRPD has identified DFA-specific values, objectives including associated indicators & targets. This requirement has been met.	No issues noted with this specific requirement.	





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<b>CSA Z809-02</b> CCFM Criterion 2 Maintenance and Enhancement of Forest Ecosystem Condition and Productivity	Conserve forest ecosystem condition and productivity by maintaining the health, vitality, and rates of biological production.					
	<b>CSA SFM Element 2.1 Forest Ecosystem Resilience</b>					
	Conserve ecosystem resilience by maintaining both ecosystem processes and ecosystem conditions.		<ul style="list-style-type: none"> <li>1 value and 3 objectives have been identified; 1 core indicator and 13 associated indicator/target identifiers</li> </ul>	Y	DMI PRPD has identified DFA-specific values, objectives including associated indicators & targets. This requirement has been met.	No issues noted with this specific requirement.
	<b>CSA SFM Element 2.2 Forest Ecosystem Productivity</b>					
	Conserve forest ecosystem productivity and productive capacity by maintaining ecosystem conditions that are capable of supporting naturally occurring species.		<ul style="list-style-type: none"> <li>3 values and 5 objectives have been identified; 3 core indicators and 13 associated indicator/target identifiers</li> </ul>	Y	DMI PRPD has identified DFA-specific values, objectives including associated indicators & targets. This requirement has been met.	No issues noted with this specific requirement.
<b>CSA Z809-02</b> CCFM Criterion 3 Conservation of Soil and Water Resources	Conserve soil and water resources by maintaining their quantity and quality in forest ecosystems.					
	<b>CSA SFM Element 3.1 Soil Quality and Quantity</b>					
	Conserve soil resources by maintaining soil quality and quantity.		<ul style="list-style-type: none"> <li>1 value and 6 objectives have been identified; 2 core indicators and 6 associated indicator/target identifiers</li> </ul>	Y	DMI PRPD has identified DFA-specific values, objectives including associated indicators & targets. This requirement has been met.	No issues noted with this specific requirement.
	<b>CSA SFM Element 3.2 Water Quality and Quantity</b>					
	Conserve water resources by maintaining water quality and quantity.	Demonstrate conservation of water resources by maintaining soil quality and quantity	<ul style="list-style-type: none"> <li>2 values and 6 objectives have been identified; 1 core indicator and 10 associated indicator/target identifiers</li> </ul>	Y	DMI PRPD has identified DFA-specific values, objectives including associated indicators & targets. This requirement has been met.	No issues noted with this specific requirement.
<b>CSA Z809-02</b> CCFM Criterion 4 Forest Ecosystem Contributions to Global Ecological Cycles	Maintain forest conditions and management activities that contribute to the health of global ecological cycles.					
	<b>CSA SFM Element 4.1 Carbon Uptake and Storage</b>					
	Maintain the processes that take carbon from the atmosphere and store it in forest ecosystems.	Organizations need to be aware whether a specific forest is expected to be a net carbon source or sink over the period normally used for forecasting.	<ul style="list-style-type: none"> <li>1 value and 1 objective has been identified; 2 core indicators and 9 associated indicator/target identifiers</li> </ul>	Y	DMI PRPD has identified DFA-specific values, objectives including associated indicators & targets. This requirement has been met.	No issues noted with this specific requirement.



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	<b>CSA SFM Element 4.2 Forest Land Conversion</b>					
	Protect forestlands from deforestation or conversion to non-forests.	Forest managers need to reduce the amount of area converted to non-forest ecosystems as much as possible.	<ul style="list-style-type: none"> <li>1 value and 1 objective has been identified; 1 core indicator and 1 associated indicator/target identifier</li> </ul>	Y	DMI PRPD has identified DFA-specific values, objectives including associated indicators & targets. This requirement has been met.	No issues noted with this specific requirement.
<b>CSA Z809-02</b> CCFM Criterion 5 Multiple Benefits to Society	Sustain flows of forest benefits for current and future generations by providing multiple goods and services.	Through the public participation process and the implementation of the SFM, the organization should address such matters				
	<b>CSA SFM Element 5.1 Timber and Non-Timber Benefits</b>					
	Manage the forest sustainably to produce an acceptable and feasible mix of both timber and non-timber benefits.	Non timber values include outdoor activities, sustainable harvest of timber and non-timber resources, maintenance of economically viable hunting & fishing activities, tourism and protection of cultural and heritage resources.	<ul style="list-style-type: none"> <li>1 value and 1 objective has been identified; 1 core indicator and 1 associated indicator/target identifier</li> </ul>	Y	DMI PRPD has identified DFA-specific values, objectives including associated indicators & targets. This requirement has been met.	No issues noted with this specific requirement.
	<b>CSA SFM Element 5.2 Communities and Sustainability</b>					
	Contribute to the sustainability of communities by providing diverse opportunities to derive benefits from forests and to participate in their use and management.	Diversification of industry and opportunities for improvement.	<ul style="list-style-type: none"> <li>2 values and 2 objectives have been identified; 4 core indicators and 3 associated indicator/target identifiers</li> </ul>	Y	DMI PRPD has identified DFA-specific values, objectives including associated indicators & targets. This requirement has been met.	No issues noted with this specific requirement.



Section	Specific Requirement	Additional Information	Audit Evidence	Meets Standard (Y/N)	Auditor Opinion	Gap Identification
	<b>CSA SFM Element 5.3 Fair Distribution of Benefits and Costs</b>					
	Promote the fair distribution of timber and non-timber benefits and costs.	Including fair and reasonable wages for DFA related workers, fair return on investment for DFA contractors, local taxation as determined by an assessments, revenues to the crown, cost sharing activities and educational programs for DFA workers.	<ul style="list-style-type: none"> <li>2 values and 2 objectives have been identified; 4 core indicators and 3 associated indicator/target identifiers</li> </ul>	Y	DMI PRPD has identified DFA-specific values, objectives including associated indicators & targets. This requirement has been met.	No issues noted with this specific requirement.
<b>CSA Z809-02</b> CCFM Criterion 6 Accepting Society's Responsibility for Sustainable Development	Society's responsibility for sustainable forest management requires that fair, equitable, and effective forest management decisions are made.					
	<b>CSA SFM Element 6.1 Aboriginal and Treaty Rights</b>					
	Recognize and respect Aboriginal and treaty rights.	Organizations are required to be in compliance with government regulations and policies and should be able to demonstrate compliance.	<ul style="list-style-type: none"> <li>1 value and 1 objective has been identified; 3 core indicators and 1 associated indicator/target identifier</li> </ul>	Y	DMI PRPD has identified DFA-specific values, objectives including associated indicators & targets. This requirement has been met.	No issues noted with this specific requirement.
	<b>CSA SFM Element 6.2 Respect for Aboriginal Forest Values, Knowledge, and Uses</b>					
	Respect traditional Aboriginal forest values and uses identified through the Aboriginal input process.		<ul style="list-style-type: none"> <li>1 value and 2 objectives have been identified; 1 core indicator and 2 associated indicator/target identifiers</li> </ul>	Y	DMI PRPD has identified DFA-specific values, objectives including associated indicators & targets. This requirement has been met.	No issues noted with this specific requirement.
<b>CSA SFM Element 6.3 Public Participation</b>						
Demonstrate that the SFM public participation process is designed and functioning to the satisfaction of the participants.		<ul style="list-style-type: none"> <li>1 value and 1 objective has been identified; 3 core indicators and 1 associated indicator/target identifier</li> </ul>	Y	DMI PRPD has identified DFA-specific values, objectives including associated indicators & targets. This requirement has been met.	No issues noted with this specific requirement.	





Section	Specific Requirement	Additional Information	Audit Evidence	Meets Standard (Y/N)	Auditor Opinion	Gap Identification
	<b>CSA SFM Element 6.4 Information for Decision-Making</b> Provide relevant information to interested parties to support their involvement in the public participation process, and increase knowledge of ecosystem processes and human interactions with forest ecosystems.		<ul style="list-style-type: none"> <li>1 value and 1 objective has been identified; 3 core indicators and 2 associated indicator/target identifiers</li> </ul>	Y	DMI PRPD has identified DFA-specific values, objectives including associated indicators & targets. This requirement has been met.	No issues noted with this specific requirement.
<b>CSA Z809-02</b> 7.1 General SFM Requirements	The organization <b>shall</b> establish and maintain an SFM system, as described in Clause 7.	The organization is required to establish SFM values, objectives and targets for all CSA SFM elements and then develop an SFM plan that describes the methods by which the targets can be achieved.	<ul style="list-style-type: none"> <li><b>Summary Documentation Detailed Forest Management Plan – Revision 2007</b> dated July 2, 2008 (draft submitted for ASRD approval March 12, 2008)</li> <li><b>Forecasting Documentation Detailed Forest Management Plan Revision 2007</b> dated August 24, 2007</li> <li>Approval letter from ASRD for the revised detailed forest management plan documents submitted between 2007 &amp; 2008</li> </ul> <p>Other supporting documentation:</p> <ul style="list-style-type: none"> <li><b>Net Landbase Documentation Detailed Forest Management Plan 2000-2009 Version 6.1</b> dated February 23, 2006</li> <li><b>Growth &amp; Yield Information Package Detailed Forest Management Plan 2000-2009</b></li> </ul>	Y	DMI PRPD has established VOITs and incorporated these elements into the SFM plan. This requirement has been met.	No issues noted with this specific requirement.
<b>ISO 14001:2004</b> 4.1 General Requirements	<p>The organization <b>shall</b> establish, document, maintain and continually improve an environmental management system in accordance with the requirements of this International Standard and determine how it will fulfill these requirements.</p> <p>The organization <b>shall</b> define and document the scope of its environmental management system.</p>		<p>Established and maintained a system in accordance with ISO 14001.</p> <p>DMI PRPD website (accessed January &amp; June 2010):</p> <ul style="list-style-type: none"> <li>section <b>Forest Certification, ISO 14001</b> provided verification with the <b>PRPD ISO 14001 Certificate</b></li> <li>section <b>Forest Certification, Audits</b> provided ISO 14001 internal and external audit reports</li> </ul>	Y	DMI PRPD has established an environmental management system that meets the requirements of the Standard.	No issues noted with this specific requirement.





Section	Specific Requirement	Additional Information	Audit Evidence	Meets Standard (Y/N)	Auditor Opinion	Gap Identification
CSA Z809-02 7.2 SFM Policy	The top management <b>shall</b> define and maintain the organization's SFM commitment through policy statements and/or other documented public statements.		DMI PRPD website (accessed January & June 2010):	Y	DMI PRPD has defined a commitment to SFM that meets the requirements of the Standard.	No issues noted with this specific requirement.
	The statement(s) <b>shall</b> contain a commitment to		<ul style="list-style-type: none"> <li>section <b>EMS Documents – Policies</b> provided DMI's SFM policy statement <b>Sustainable Forest Management Principles Rev 3</b> signed by top management March 2010</li> <li>section <b>Forest Certification – CSA Z809</b> provided DMI's commitment to independent third-party certification in <b>PRPD Z809-02 Commitment Letter</b> dated August 15, 2008</li> </ul> Videos: <ul style="list-style-type: none"> <li><b>Sustainable Forest Management Principles</b></li> <li><b>EMS Review</b> (Environmental Management System)</li> </ul>		This commitment included: <ul style="list-style-type: none"> <li>achievement of SFM (currently third party certified)</li> <li>meeting or exceeding applicable legislation</li> <li>respecting Aboriginal and treaty rights</li> <li>participation of Aboriginal peoples in opportunities</li> <li>providing for a safe work environment</li> <li>improving knowledge</li> <li>monitoring &amp; continual improvement</li> </ul>	
	a) achieve and maintain SFM;					
	b) meet or exceed all relevant legislation, regulations, policies, and other requirements to which the organization subscribes;					
	c) respect Aboriginal and treaty rights;					
	d) provide for public participation;					
	e) provide participation opportunities for Aboriginal peoples with respect to their rights and interests in SFM;					
	provide conditions and safeguards for the health and safety of DFA-related workers and the public;					
g) improve knowledge about the forest and SFM and to monitor advances in SFM science and technology and incorporate them where applicable; and						
h) demonstrate continual improvement in SFM.						
The statement(s) <b>shall</b> be documented, communicated, and made readily available.		DMI PRPD website (accessed January & June 2010):	Y	Confirmed current policy was available on the DMI PRPD website, section <b>Stewardship - Sustainable Forest Management Principles</b> . It was also posted at the main entrance of the DMI PRPD mill and FRBU offices for the general public.	No issues noted with this specific requirement.	
		<ul style="list-style-type: none"> <li>section <b>EMS Documents – Policies</b> provided DMI's SFM policy statement <b>Sustainable Forest Management Principles Rev 3</b> signed by top management March 2010</li> </ul> Documents: <ul style="list-style-type: none"> <li>section <b>EMS Documents – Manuals, Plans &amp; Guides, 2008 Forest Resources Field Guide</b></li> <li>section <b>Truck Safe, Truck Safe Program, Training Manual Version 6</b> dated October 1, 2009</li> </ul> Videos: <ul style="list-style-type: none"> <li><b>Sustainable Forest Management Principles</b></li> </ul>		Employees and contractors have access to the policy through a number of published documents that were actively distributed including the <b>2008 Forest Resources Field Guide</b> and/or the current version of the <b>Truck Safe Program Training Manual</b> . Interviews and observations during field site visits		





Section	Specific Requirement	Additional Information	Audit Evidence	Meets Standard (Y/N)	Auditor Opinion	Gap Identification
			<ul style="list-style-type: none"> <li><b>EMS Review</b> (Environmental Management System)</li> </ul>		confirmed its distribution. A <b>2010 Forest Resources Field Guide</b> was published during June 2010, but had not been distributed.	
ISO 14001:2004 4.2 Environmental Policy	<p>Top management <b>shall</b> define the organization's environmental policy and ensure that, within the defined scope of its environmental management system, it:</p> <p>a) is appropriate to the nature, scale and environmental impacts of its activities, products and services;  b) includes a commitment to continual improvement and prevention of pollution;  c) includes a commitment to comply with applicable legal requirements and other requirements to which the organization subscribes which relate to its environmental aspects;  d) provides the framework for setting and reviewing environmental objectives and targets;  e) is documented, implemented, and maintained;  f) is communicated to all persons working for or on behalf of the organization; and  g) is available to the public.</p>		<p>DMI PRPD website (accessed January &amp; June 2010):</p> <ul style="list-style-type: none"> <li>section <b>EMS Documents – Policies</b> provided DMI's Environmental policy statement <b>Environmental Policy</b> signed by top management September 2009</li> </ul> <p>Documents:</p> <ul style="list-style-type: none"> <li>section <b>EMS Documents – Manuals, Plans &amp; Guides, 2008 Forest Resources Field Guide</b></li> <li>section <b>Health and Safety, Forest Resources Health &amp; Safety Guide and EPRP – Contractor Version</b> dated August 1, 2009</li> <li>section <b>Health and Safety, Forest Resources Health &amp; Safety Guide and EPRP – Employee Version</b> dated August 1, 2009</li> <li>section <b>Truck Safe, Truck Safe Program Training Manual Version 6</b> dated October 1, 2009</li> </ul> <p>Videos:</p> <ul style="list-style-type: none"> <li><b>EMS Review</b> (Environmental Management System)</li> </ul>	Y	<p>Review of the environmental policy document met this specific requirement.</p> <p>Confirmed current policy was available on the DMI PRPD website, section <b>Stewardship - Environmental Policies</b>. It was also posted at the main entrance of the DMI PRPD mill and FRBU offices for the general public.</p> <p>Employees and contractors have access to the policy through a number of published documents that were actively distributed including the <b>2008 Forest Resources Field Guide</b> and/or the current version of the <b>Truck Safe Program Training Manual</b>. Interviews and observations during field site visits confirmed its distribution.</p>	No issues noted with this specific requirement.



Section	Specific Requirement	Additional Information	Audit Evidence	Meets Standard (Y/N)	Auditor Opinion	Gap Identification
ISO 14001:2004 4.3.1 Environmental Aspects	<p>The organization <b>shall</b> establish and maintain procedure(s):</p> <p>a) to identify the environmental aspects of its activities, products and services within the defined scope of the environmental management system that it can control and those that it can influence taking into account planned or new developments, or new or modified activities, products and services; and</p> <p>b) to determine those aspects that have or can have significant impact(s) on the environment (i.e., significant environmental aspects).</p> <p>The organization <b>shall</b> document the information and keep it up to date.</p> <p>The organization <b>shall</b> ensure that the significant environmental aspects are taken into account in establishing, implementing and maintaining its environmental management system.</p>	<p>There is a requirement to review the environmental aspects every three years.</p>	<p>Established and maintained a procedure in the <b>Forest Resources Environmental Management System &amp; Sustainable Forest Management (EMS &amp; SFM) Manual Revision 1.4</b> dated January 23, 2009.</p> <ul style="list-style-type: none"> <li>chapter 4, <b>Environmental Aspects</b> and the associated <b>Appendix A - Summary of Significant Environmental Aspects</b>.</li> </ul>	Y	<p>Confirmed that in August 2009 an environmental aspects update was completed incorporating Canfor operations related to silviculture.</p> <p>Confirmed that no major modifications to existing activities have occurred requiring a revision to the significant environmental aspects.</p> <p>Only change in operations was the addition of new sewage requirements for temporary camp.</p>	<p>No issues noted with this specific requirement.</p>
ISO 14001:2004 4.3.2 Legal and Other Requirements	<p>The organization <b>shall</b> establish and maintain a procedure(s) to:</p> <p>a) to identify and access to the applicable legal requirements and other requirements to which the organization subscribes related to its environmental aspects, and</p> <p>b) to determine how these requirements apply to its environmental aspects.</p> <p>The organization <b>shall</b> ensure that these applicable legal and other requirements to which the organization subscribes are taken into account in establishing, implementing, and maintaining its environmental management system.</p>		<p>Established and maintained a procedure in the <b>Forest Resources Environmental Management System &amp; Sustainable Forest Management (EMS &amp; SFM) Manual Revision 1.4</b> dated January 23, 2009.</p> <ul style="list-style-type: none"> <li>chapter 5, <b>Legal and Other Requirements</b> and associated <b>Appendix B - List of Legal and Other Requirements</b>.</li> </ul>	Y	<p>Confirmed a link in the manual was provided to the Queens Printer Alberta that provides the latest information regarding Acts and regulations.</p> <p>Confirmed a link to a subscription site <b>naturalresource.ca</b> that provided the most up-to-date legislation for Alberta as well as Canada (Federal).</p> <p>Reviewed the list in <b>Appendix B</b> and it was thorough, up-to-date, and complete.</p>	<p>No issues noted with this specific requirement.</p>



Section	Specific Requirement	Additional Information	Audit Evidence	Meets Standard (Y/N)	Auditor Opinion	Gap Identification
ISO 14001:2004 4.3.3 Objectives, Targets, and Programme(s)	<p>The organization <b>shall</b> establish, implement, and maintain documented environmental objectives and targets, at relevant functions and levels within the organization. The objectives and targets <b>shall</b> be measurable where practicable, and consistent with the environmental policy, including the commitments to prevention of pollution, to compliance with applicable legal requirements and with other requirements which the organization subscribes, and to continual improvement.</p> <p>When establishing and reviewing its objectives and targets, an organization shall take into account the legal and other requirements to which the organization subscribes, and its significant environmental aspects. It shall also consider technological options, its financial, operational and business requirements, and the views of interested parties. The organization shall establish and maintain a programme(s) for achieving its objectives and targets. Programme(s) shall include:</p> <p>a) designation of responsibility for achieving objectives and targets at relevant functions and levels of the organization; and b) the means and time-frame by which they are to be achieved.</p>		<p>DMI PRPD website (accessed January &amp; June 2010):</p> <ul style="list-style-type: none"> <li>section <i>EMS Documents – Manuals, Plans &amp; Guides, 2009 Objectives and Targets Rev 1.1</i> dated August 8, 2009</li> <li>section <i>EMS Documents – Manuals, Plans &amp; Guides, 2009 Objectives and Targets Evaluation Rev 1.1</i> dated January 6, 2010</li> </ul>	Y	<p>The targets were specific and included initiatives (by quarter) to ensure the targets are met. The initiatives identified who was either responsible or who should be participating or involved.</p> <p>The evaluation reviewed targets 2009-02 and 2008-02 as per the quarterly plan. Reviews for targets 2009-01 and 2008-01 were completed in July 2009.</p>	No issues noted with this specific requirement.
CSA Z809-02 7.3.1 Planning	The organization <b>shall</b> designate a clearly defined forest area to which this Standard applies.	Require a map and defined document of DFA. Area of DFA must be updated regularly (annually) with area (deletions from industrial development).	<p>DMI PRPD website (accessed January &amp; June 2010):</p> <ul style="list-style-type: none"> <li>section <i>Sustainable Forest Management Plan - Defined Forest Area</i> contained the <i>Defined Forest Area Map</i> dated August 12, 2009</li> <li><i>PAC Terms of Reference</i> document dated August 26, 2009 contained a map and provided a detailed description.</li> </ul>	Y	<p>Confirmed that the map was available on the website. The accompanying text with the map clearly described the area to which the Standard applies.</p> <p>Reviewed the Terms of Reference document and confirmed the description and map.</p>	No issues noted with this specific requirement.
	The organization <b>shall</b> define the geographic extent and the respective ownership and management responsibilities for the DFA.	Require a map and defined document of DFA. Area of DFA must be updated regularly (annually) with area (deletions from industrial development).	<p>DMI PRPD website (accessed January &amp; June 2010):</p> <ul style="list-style-type: none"> <li>section <i>Sustainable Forest Management Plan - Defined Forest Area</i> contained the <i>Defined Forest Area Map</i> dated August 12, 2009</li> <li><i>PAC Terms of Reference</i> document dated August 26, 2009 contained a map and provided a detailed description.</li> </ul>	Y	<p>Confirmed that the map was available on the website. The accompanying text with the map clearly described the area to which the Standard applies.</p> <p>Reviewed the Terms of Reference document and confirmed the description and map.</p>	No issues noted with this specific requirement.





Section	Specific Requirement	Additional Information	Audit Evidence	Meets Standard (Y/N)	Auditor Opinion	Gap Identification
CSA Z809-02 7.3.2 Ownership Rights and Responsibilities	The organization <b>shall</b> respect the legal rights and responsibilities of other parties in the DFA that are not part of the registration applicant.	Other parties in the DFA that are not part of the registration applicant but whose legal rights and responsibilities must be respected and documented (trappers, guide and outfitters, quota holders, etc)	DMI PRPD website (accessed January & June 2010): <ul style="list-style-type: none"> <li>section <b>EMS Documents – Policies</b> provided DMI’s SFM policy statement <b>Sustainable Forest Management Principles Rev 3</b> signed by top management March 2010</li> <li>section <b>Forest Certification – CSA Z809</b> provided DMI’s commitment to independent third-party certification <b>in PRPD Z809-02 Commitment Letter</b> dated August 15, 2008</li> <li><b>PAC Terms of Reference</b> document dated August 26, 2009</li> <li>Review of PAC meeting minutes held from August 5, 2009 to March 12, 2010</li> <li>Notification letters including AOP documents sent to trappers</li> </ul>	Y	DMI PRPD communicated with other parties through consultation, PAC process, meetings with quota holders, etc. This requirement has been met.	No issues noted with this specific requirement.
CSA Z809-02 7.3.3 Shared Responsibilities	The organization <b>shall</b> ensure that all parties necessary to address the CSA SFM elements for the DFA are involved in the process.	Demonstrate contribution to the sustainability of communities by providing diverse opportunities to derive benefits from forests and to participate in their use and management	DMI PRPD website (accessed January & June 2010): <ul style="list-style-type: none"> <li>section <b>EMS Documents – Policies</b> provided DMI’s SFM policy statement <b>Sustainable Forest Management Principles Rev 3</b> signed by top management March 2010</li> <li>section <b>Forest Certification – CSA Z809</b> provided DMI’s commitment to independent third-party certification <b>in PRPD Z809-02 Commitment Letter</b> dated August 15, 2008</li> <li><b>PAC Terms of Reference</b> document dated August 26, 2009</li> <li>Review of PAC meeting minutes held from August 5, 2009 to March 12, 2010</li> </ul>	Y	DMI PRPD addressed this requirement through the PAC process and meetings held with applicable quota holders. Meetings with aboriginal groups have also been undertaken.	No issues noted with this specific requirement.
	The organization <b>shall</b> clearly describe the respective roles and responsibilities of the parties involved.		<ul style="list-style-type: none"> <li><b>PAC Terms of Reference</b> document dated August 26, 2009</li> <li>Review of PAC meeting minutes held from August 5, 2009 to March 12, 2010</li> <li>Interviews with DMI PRD employees including the aboriginal advisor</li> </ul>	Y	DMI PRPD addressed this requirement through the PAC process and meetings held with applicable quota holders. Meetings with aboriginal groups have also been undertaken.	No issues noted with this specific requirement.





Section	Specific Requirement	Additional Information	Audit Evidence	Meets Standard (Y/N)	Auditor Opinion	Gap Identification
CSA Z809-02 7.3.4 Rights and Regulations	The organization shall					
	a) demonstrate that relevant legislation and regulatory requirements that relate to ownership, tenures, and rights and responsibilities in the DFA have been identified and complied with;	The organization should establish and maintain a list of all legal requirements and demonstrate that it is aware of the legal requirements and has a system to ensure compliance. Issues that need to be considered are the organizations access to and identification of legal and other requirements, its tracking of changes and associated communication of relevant information to personnel, contractors, and subcontractors.	Established and maintained a procedure in the <b>Forest Resources Environmental Management System &amp; Sustainable Forest Management (EMS &amp; SFM) Manual Revision 1.4</b> dated January 23, 2009. <ul style="list-style-type: none"> <li>chapter 5, <b>Legal and Other Requirements</b> and associated <b>Appendix B - List of Legal and Other Requirements</b>.</li> </ul> DMI PRPD website (accessed January & June 2010): <ul style="list-style-type: none"> <li>section <b>Forest Certification, Audits</b> provided Compliance audit reports</li> <li>SRD website publishes compliance reports for all contraventions assessed in the previous five year period <ul style="list-style-type: none"> <li><a href="http://www.srd.alberta.ca/ManagingPrograms/ForestManagement/ForestManagementDirectives/ComplianceEnforcement.aspx">http://www.srd.alberta.ca/ManagingPrograms/ForestManagement/ForestManagementDirectives/ComplianceEnforcement.aspx</a></li> </ul> </li> <li>Action plans relating to audit findings</li> <li>Corrective action plans</li> <li>2009 Contractor Training Session</li> </ul>	Y	Reviewed the manual and the SRD compliance audit with reporting in the audit period.	No issues noted with this specific requirement.
	b) demonstrate that Aboriginal and treaty rights have been identified and respected;	Refer to 5.2 (interested parties)	<ul style="list-style-type: none"> <li>Interview with Aboriginal Advisor</li> </ul>	Y	DMI PRPD met this requirement.	No issues noted with this specific requirement.
	c) demonstrate that the legal and constitutional rights, and the health and safety of DFA-related workers, are respected and their contributions to SFM are encouraged;	Ensure that DFA-related workers are able to contribute to SFM	<ul style="list-style-type: none"> <li>Interviews with employees and contractors</li> </ul>	Y	DMI PRPD met this requirement.	No issues noted with this specific requirement.
	d) demonstrate that the acquired and legal rights of private woodlot owners to set their own values, objectives, indicators, and targets relating to their properties are respected;	Not applicable to the DFA.	Not assessed as not applicable to the DFA area. No private woodlots within the DFA.	N/A	Not assessed as not applicable to the DFA area. No private woodlots within the DFA.	N/A
e) establish and maintain procedures to identify and have access to all legal and other requirements to which the organization subscribes that are applicable to the DFA. This includes requirements that relate to ownership tenures, rights, and responsibilities in the DFA		Refer to section 4.3.2 Legal and Other Requirements of this checklist for auditor evidence.	Y	Refer to section 4.3.2 Legal and Other Requirements of this checklist for auditor opinion.	No issues noted with this specific requirement.	



Section	Specific Requirement	Additional Information	Audit Evidence	Meets Standard (Y/N)	Auditor Opinion	Gap Identification
CSA Z809-02 7.3.5 Incorporation of Public Participation Requirements	The public participation requirements set out in Clause 5 of this Standard <b>shall</b> be incorporated into the SFM system.	PAC process must be documented and included in the SFM system.	Refer to section 5.4 Content of this checklist for auditor evidence.	Y	Refer to section 5.4 Content of this checklist for auditor opinion.	No issues noted with this specific requirement.
CSA Z809-02 7.3.6.1 Planning- General	The organization, working with interested parties in the public participation process at each stage, <b>shall</b> establish DFA-specific performance requirements that address all the CSA SFM elements in Clause 6. The work <b>shall</b> be recorded in the SFM plan and <b>shall</b> be summarized in accordance with the example in Annex C.	The organization needs a clear and transparent mechanism for identifying DFA-specific values and translating them into detailed targets that can be met with implementation of a chosen strategy.	<ul style="list-style-type: none"> <li><b>Summary Documentation Detailed Forest Management Plan – Revision 2007</b> dated July 2, 2008 (draft submitted for ASRD approval March 12, 2008)</li> <li>Approval letter from ASRD for the revised detailed forest management plan documents submitted between 2007 &amp; 2008</li> </ul>	Y	DMI PRPD has identified VOITs and incorporated the information into the Detailed Forest Management Plan.	No issues noted with this specific requirement.
	For each element, one or more DFA-specific values <b>shall</b> be identified.	A values ID exercise is needed to create a set of values that pertain specifically to the DFA.	<ul style="list-style-type: none"> <li>Review of PAC meeting minutes held from August 5, 2009 to March 12, 2010</li> </ul>	Y	DMI PRPD through the PAC process and consultation with Aboriginal groups has met this requirement.	No issues noted with this specific requirement.
	For each value, one or more objectives <b>shall</b> be set.	Each value needs at least one objective that describes the desired future condition of the value.	<ul style="list-style-type: none"> <li>Refer to the section of this checklist (pages 7 to 11) which outlines the CCFM criterion and the <b>Summary Documentation Detailed Forest Management Plan – Revision 2007</b> dated July 2, 2008 (draft submitted for ASRD approval March 12, 2008), section 4 Values &amp; Objectives</li> </ul>	Y	DMI PRPD had set one or more objectives for each value. The requirement has been met.	No issues noted with this specific requirement.
	For each value, one or more indicators <b>shall</b> be identified. Indicators <b>shall</b> be quantitative where feasible.	The relationship between the selected indicator and the condition being measured should be clearly established and periodically checked to ensure that the stated relationship remains valid.	<ul style="list-style-type: none"> <li>Refer to the section of this checklist (pages 7 to 11) which outlines the CCFM criterion and the <b>Summary Documentation Detailed Forest Management Plan – Revision 2007</b> dated July 2, 2008 (draft submitted for ASRD approval March 12, 2008), section 4.0 Values &amp; Objectives</li> </ul>	Y	DMI PRPD had set one or more indicators for each value. The requirement has been met.	No issues noted with this specific requirement.



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	For each indicator, data on the current status <b>shall</b> be provided, and one target shall be set. Each target <b>shall</b> specify acceptable levels of variance for the indicator and clear time frames for achievement.	Targets need to specify acceptable departures (i.e. the size, location, duration, and frequency of the deviation from the chosen limits that are acceptable).	<ul style="list-style-type: none"> <li>Refer to the section of this checklist (pages 7 to 11) which outlines the CCFM criterion and the <b>Summary Documentation Detailed Forest Management Plan – Revision 2007</b> dated July 2, 2008 (draft submitted for ASRD approval March 12, 2008), section 5.0 Indicator &amp; Target Matrices</li> </ul>	Y	DMI PRPD had set one target for each value. The requirement has been met.	No issues noted with this specific requirement.
	Alternative strategies <b>shall</b> be identified and elaborated.	It is advisable to keep the strategies to be assessed limited to a few and easily distinguishable.	<ul style="list-style-type: none"> <li><b>Summary Documentation Detailed Forest Management Plan – Revision 2007</b> dated July 2, 2008 (draft submitted for ASRD approval March 12, 2008)</li> </ul>	Y	DMI PRPD had identified alternate strategies and elaborated on these strategies. This requirement has been met.	No issues noted with this specific requirement.
	Forecasts <b>shall</b> be prepared for the expected responses of each indicator to each alternative strategy. Assumptions and analytical methods used for making each forecast <b>shall</b> be described. During plan implementation, measurements <b>shall</b> be taken for each indicator at appropriate times and places. Measurement results <b>shall</b> be interpreted in the context of the forecasts in the SFM plan.	Organizations must address two issues when making indicator forecasts. The first is potential interactions amongst indicators. The second issue relates to the fact that indicators are influenced as much by other human actions in the DFA as they are by actions related to the SFM.	<ul style="list-style-type: none"> <li><b>Summary Documentation Detailed Forest Management Plan – Revision 2007</b> dated July 2, 2008 (draft submitted for ASRD approval March 12, 2008)</li> <li><b>Forecasting Documentation Detailed Forest Management Plan Revision 2007</b> dated August 24, 2007</li> </ul>	Y	DMI PRPD had forecasts and these have been described including the analytical methods used. This requirement has been met.	No issues noted with this specific requirement.
CSA Z809-02 7.3.7 SFM Plan	The organization <b>shall</b> document, maintain, and make publicly available an SFM plan for the DFA. The SFM plan for each DFA <b>shall</b> include	An organization <b>needs</b> to ensure that the SFM plan not only contains the right information but also presents the info in such a way that makes it readily understandable to interested parties.	<ul style="list-style-type: none"> <li><b>Summary Documentation Detailed Forest Management Plan – Revision 2007</b> dated July 2, 2008 (draft submitted for ASRD approval March 12, 2008)</li> </ul>	Y	This document is publicly available on the DMI PRPD website under section Sustainable Forest Management Plan, Detailed Forest Management Plan. This requirement has been met.	No issues noted with this specific requirement.
	a) a comprehensive description of the DFA;		<ul style="list-style-type: none"> <li><b>Summary Documentation Detailed Forest Management Plan – Revision 2007</b> dated July 2, 2008 (draft submitted for ASRD approval March 12, 2008)</li> </ul>	Y	This requirement has been met.	No issues noted with this specific requirement.



Section	Specific Requirement	Additional Information	Audit Evidence	Meets Standard (Y/N)	Auditor Opinion	Gap Identification
	b) a summary of the most recent forest management plan and the management outcomes, including the conclusions drawn in the management review;		<ul style="list-style-type: none"> <li><b>Summary Documentation Detailed Forest Management Plan – Revision 2007</b> dated July 2, 2008 (draft submitted for ASRD approval March 12, 2008)</li> </ul>	Y	This requirement has been met.	No issues noted with this specific requirement.
	c) a statement of values, objectives, indicators, and targets;		<ul style="list-style-type: none"> <li><b>Summary Documentation Detailed Forest Management Plan – Revision 2007</b> dated July 2, 2008 (draft submitted for ASRD approval March 12, 2008)</li> </ul>	Y	This requirement has been met.	No issues noted with this specific requirement.
	d) current status and forecasts for each indicator, including a description of the assumptions and analytical methods used for forecasting;		<ul style="list-style-type: none"> <li><b>Summary Documentation Detailed Forest Management Plan – Revision 2007</b> dated July 2, 2008 (draft submitted for ASRD approval March 12, 2008)</li> <li><b>Forecasting Documentation Detailed Forest Management Plan Revision 2007</b> dated August 24, 2007</li> </ul>	Y	DMI PRPD produced a forecasting document that addressed this requirement.	No issues noted with this specific requirement.
	e) a description of the chosen strategy, including all significant actions to be undertaken and their associated implementation schedule;		<ul style="list-style-type: none"> <li><b>Summary Documentation Detailed Forest Management Plan – Revision 2007</b> dated July 2, 2008 (draft submitted for ASRD approval March 12, 2008), section 6.0 The Preferred Forest Management Scenario</li> </ul>	Y	In addition, DMI PRPD produced a forecasting document that addressed this requirement.	No issues noted with this specific requirement.
	f) a description of the monitoring program;		<ul style="list-style-type: none"> <li><b>Summary Documentation Detailed Forest Management Plan – Revision 2007</b> dated July 2, 2008 (draft submitted for ASRD approval March 12, 2008)</li> </ul>	Y	The monitoring strategy is identified for each target as well as within sections within the summary document; specifically sections are 2.3.7, 2.6.3, 2.8.7.	No issues noted with this specific requirement.
	g) a comparative analysis of the actual and expected outcomes; and		<ul style="list-style-type: none"> <li><b>Summary Documentation Detailed Forest Management Plan – Revision 2007</b> dated July 2, 2008 (draft submitted for ASRD approval March 12, 2008)</li> <li><b>Forecasting Documentation Detailed Forest Management Plan Revision 2007</b> dated August 24, 2007</li> </ul>	Y	There is analysis that has been undertaken to provide support for planning based on historic activities.	No issues noted with this specific requirement.



Section	Specific Requirement	Additional Information	Audit Evidence	Meets Standard (Y/N)	Auditor Opinion	Gap Identification
	h) a demonstration of the links between short-term operational plans and the SFM plan.	Short term plans <b>must</b> clearly demonstrate how the planned activities lead to the achievement of the SFM targets.	<ul style="list-style-type: none"> <li>• <b>Summary Documentation Detailed Forest Management Plan – Revision 2007</b> dated July 2, 2008 (draft submitted for ASRD approval March 12, 2008)</li> <li>• <b>2009 General Development Plan</b></li> <li>• <b>2009 Annual Operating Plans for various licenses</b></li> </ul>	Y	DMI PRPD has provided a link between short-term plans in several planning documents and the link is further demonstrated in field site visit reviews on individual cutblocks during the compliance audit.	No issues noted with this specific requirement.
CSA Z809-02 7.4.1 Structure and Responsibility	Roles, responsibilities, and authorities required to implement and maintain conformance with the SFM requirements <b>shall</b> be defined, documented, and communicated within the organization. The organization <b>shall</b> provide resources essential to the implementation and control of the SFM requirements. Resources include human resources and specialized skills, technology, and financial resources.		Established and maintained a procedure in the <b>Forest Resources Environmental Management System &amp; Sustainable Forest Management (EMS &amp; SFM) Manual Revision 1.4</b> dated January 23, 2009. <ul style="list-style-type: none"> <li>• chapter 7, <b>Resources, Roles, and Responsibility, and Authority.</b></li> <li>• Organizational structure for FRBU</li> <li>• SFM management review meeting minutes &amp; powerpoint presentation</li> <li>• <b>Truck Safe Program Training Manual Revision 6.0</b> dated October 1, 2009</li> </ul>	Y	Reviewed the organizational structure and interviewed FRBU leader, advisors/leaders, and SFM representative.  There was a requirement to ensure the Standard is met including the reporting to top management.	No issues noted with this specific requirement.
	The organization <b>shall</b> appoint a specific management representative(s) who <b>shall</b> have defined roles, responsibilities, and authority for					
	a) ensuring that the SFM requirements are established and maintained in accordance with this Standard; and					
	b) reporting on the SFM requirements to top management for review and as a basis for continual improvement.					



Section	Specific Requirement	Additional Information	Audit Evidence	Meets Standard (Y/N)	Auditor Opinion	Gap Identification
ISO 14001:2004 4.4.1 Resources, Roles, Responsibility, and Authority	<p>Management <b>shall</b> ensure the availability of resources essential to establish, implement, maintain and improve the environmental management system. Resources include human resources and specialized skills, organizational infrastructure, technology, and financial resources?</p> <p>Roles, responsibilities, and authorities <b>shall</b> be defined, documented and communicated in order to facilitate effective environmental management?</p> <p>The organization's top management <b>shall</b> appoint a specific management representative(s) who, irrespective of other responsibilities, <b>shall have</b> defined roles, responsibilities and authority for:</p> <p>a) ensuring that an environmental management system is established, implemented and maintained in accordance with this International Standard; and</p> <p>b) reporting to top management on the performance of the environmental management system for review, including recommendations for improvement.</p>		<p>Established and maintained a procedure in the <b>Forest Resources Environmental Management System &amp; Sustainable Forest Management (EMS &amp; SFM) Manual Revision 1.4</b> dated January 23, 2009.</p> <ul style="list-style-type: none"> <li>chapter 7, <b>Resources, Roles, and Responsibility, and Authority.</b></li> <li>Organizational structure for FRBU</li> <li><b>Forest Resources Health &amp; Safety Guide and EPRP – Contractor</b> Version dated August 1, 2009</li> <li><b>Forest Resources Health &amp; Safety Guide and EPRP – Employee</b> Version dated August 1, 2009</li> <li><b>Truck Safe Program Training Manual Revision 6.0</b> dated October 1, 2009</li> <li>Various updates, revisions, or approvals of EMS procedure documents</li> </ul>	Y	<p>Reviewed the organizational structure and interviewed FRBU leader, advisors/leaders, and EMS representative.</p> <p>Roles and responsibilities of FRBU staff were defined in <b>Roles &amp; Responsibilities</b> document including various manuals, guides, procedures, and checklists.</p>	No issues noted with this specific requirement.
CSA Z809-02 7.4.2 Training, Awareness, Qualifications, and Knowledge	<p>The organization <b>shall</b> identify training needs. It <b>shall</b> also ensure that personnel receive training related to the impact of their work upon the DFA and to their ability to ensure that the SFM requirements are met.</p>	<p>Training programs typically include: a) ID of qualification requirements for personnel and tasks; b) ID of personnel and contractor training needs; c) development of a training plan to address defined needs; e) training of target personnel/contractor groups; f) documentation of training received; and g) evaluation of training received.</p>	<p>Established and maintained a procedure in the <b>Forest Resources Environmental Management System &amp; Sustainable Forest Management (EMS &amp; SFM) Manual Revision 1.4</b> dated January 23, 2009.</p> <ul style="list-style-type: none"> <li>chapter 8, <b>Competence, Training, and Awareness</b> and associated <b>Appendix C - Forest Resources Training Matrix.</b></li> </ul> <p>Training Material:</p> <ul style="list-style-type: none"> <li>Environmental Management Systems</li> <li>Safety &amp; EMS Orientation Hog Fuel Trucks</li> <li>Safety &amp; EMS Orientation Chip Trucks</li> <li>Truck Safe Program including Pre-Trip Inspection video</li> <li>A History of Indian Treaties in Canada</li> </ul>	Y	<p>The training matrix identified a training program for FRBU staff and contractors that outlines the specific requirements depending on the job function.</p> <p>DMI PRPD has developed training material in a variety of different delivery media including videos, powerpoint presentations, manuals, and guides. Some courses have utilized partnerships with organizations such as WOLF.</p> <p>Along with this media, DMI PRPD provided training to its staff and contractors on a variety of topics.</p>	No issues noted with this specific requirement.





Section	Specific Requirement	Additional Information	Audit Evidence	Meets Standard (Y/N)	Auditor Opinion	Gap Identification
	The organization <b>shall</b> establish and maintain procedures to make its personnel at each relevant function and level aware of					
	a) the importance of conformance with the SFM policy and with the SFM requirements;		Videos: <ul style="list-style-type: none"> <li>Sustainable Forest Management Principles</li> <li>Environmental Stewardship</li> <li>Forest Stewardship Training</li> </ul>	Y	These training videos reiterated the importance of SFM and conformance to the Standard. This requirement has been met.	No issues noted with this specific requirement.
	b) the environmental impacts, actual or potential, of their work and the benefits of achieving the SFM requirements;		<ul style="list-style-type: none"> <li>2009 Contractor Training Session</li> <li>Harvest &amp; Road Layout (DMI/Wolf)</li> </ul>	Y	Reviewed agenda and topics covered: <ul style="list-style-type: none"> <li>contractor training</li> <li>watercourses – summer practices</li> <li>block map basics</li> <li>road &amp; chipper site specs</li> <li>diesel fuel slip tank</li> <li>weeds</li> <li>safety</li> <li>reforestation challenges.</li> </ul> These were relevant SFM applicable presentations.	No issues noted with this specific requirement.
	c) their roles and responsibilities in achieving conformance with the SFM policy and with the SFM requirements, including emergency preparedness and response requirements; and		Established and maintained a procedure in the <b>Forest Resources Environmental Management System &amp; Sustainable Forest Management (EMS &amp; SFM) Manual Revision 1.4</b> dated January 23, 2009. <ul style="list-style-type: none"> <li>chapter 12, <b>Emergency Preparedness &amp; Response.</b></li> <li>2009 Contractor Training Session</li> </ul>	Y	Reviewed 2009 contractor session training agenda. There were relevant EPR applicable presentations.	No issues noted with this specific requirement.
	d) the potential consequences of deviations from specified operating procedures.		<ul style="list-style-type: none"> <li>2009 Contractor Training Session</li> <li><b>Watercourse Crossing Field Guide and Strategy Manual Rev 0</b> dated November 13, 2008</li> <li>DMI Safety Awareness</li> <li>EMS/SFM Awareness</li> </ul>	Y	Reviewed 2009 contractor session training agenda. There were relevant operational procedure applicable presentations.	No issues noted with this specific requirement.



Section	Specific Requirement	Additional Information	Audit Evidence	Meets Standard (Y/N)	Auditor Opinion	Gap Identification
	The organization <b>shall</b> ensure that its personnel are qualified on the basis of appropriate training and/or work experience and have opportunities to gain new knowledge.		<ul style="list-style-type: none"> <li>• <b>Appendix C - Forest Resources Training Matrix</b></li> <li>• FRBU training tracking database</li> <li>• DMI-PRPD training database</li> <li>• Employee training records/files</li> </ul>	Y	Confirmed through a review of employee training records, course attendance sheets, and interviews such as the 2009 Contractor Training Session.	No issues noted with this specific requirement.
	The organization <b>shall</b> also require contractors working on its behalf to demonstrate that their personnel have the requisite training and awareness levels.		<ul style="list-style-type: none"> <li>• <b>Appendix C- Forest Resources Training Matrix</b></li> <li>• FRBU training tracking database</li> <li>• DMI-PRPD training database</li> <li>• Contractor training records/files</li> <li>• 2009 Contractor Training Session</li> <li>• Truck Safe Log Truck Driver Orientation</li> </ul>	Y	Confirmed through a review of contractor training records and interviews during field site visits.  The drivers were aware of requirements within the program. Supporting evidence: <ul style="list-style-type: none"> <li>• They had knowledge of emergency response procedures</li> <li>• Spill kits and fire extinguishers were visible on each truck</li> <li>• They had a copy of the current Truck Safe manual.</li> </ul>	An opportunity for improvement has been identified.  Deficiency noted was two chip truck drivers were not current with their required orientation.
	The organization <b>shall</b> improve knowledge about the DFA and SFM and shall monitor advances in SFM science and technology and incorporate them where and when applicable.		<ul style="list-style-type: none"> <li>• 2009 Contractor Training Session</li> <li>• Species Risk Assessment &amp; Prioritization of High-Risk Species in DMI's FMA</li> <li>• Species Risk Assessment for Fur-Bearers in DMI's Forest Management Area</li> <li>• Foothills Research Institute               <ul style="list-style-type: none"> <li>○ Grizzly Bear Program</li> <li>○ Western Boreal Wildlife Study</li> </ul> </li> </ul>	Y	DMI continued to support research through several funding initiatives and provided presentations to employees, contractors, PAC and the general public.	No issues noted with this specific requirement.



Section	Specific Requirement	Additional Information	Audit Evidence	Meets Standard (Y/N)	Auditor Opinion	Gap Identification
ISO 14001:2004 4.4.2 Competence, Training, and Awareness	<p>The organization <b>shall</b> ensure that any person(s) performing tasks for it or on its behalf that have the potential to cause a significant environmental impact(s) identified by the organization is(are) competent on the basis of appropriate education, training or experience, and <b>shall</b> retain associated records.</p> <p>The organization shall identify training needs associated with its environmental aspects and its environmental management system. It shall provide training or take other action to meet these needs, and <b>shall</b> retain associated records.</p> <p>The organization shall establish, implement, and maintain procedure(s) to make persons working for it or on its behalf aware of</p> <p>a) the importance of conformity with the environmental policy and procedures and with the requirements of the environmental management system;</p> <p>b) the significant environmental aspects and related actual or potential impacts, associated with their work and the environmental benefits of improved personal performance;</p> <p>c) their roles and responsibilities in achieving conformity with the requirements of the environmental management system; and</p> <p>d) the potential consequences of departure from specified procedures.</p>		Refer to section 7.4.2 Training, Awareness, Qualifications, and Knowledge in this document for audit evidence reviewed.	Y	Refer to section 7.4.2 Training, Awareness, Qualifications, and Knowledge in this document for audit opinion.	Refer to section 7.4.2 Training, Awareness, Qualifications, and Knowledge in this document for audit opinion.
CSA Z809-02 7.4.3.1 Communication- General	The organization <b>shall</b>					
	a) establish and maintain procedures for internal communication between its various levels and functions;		Established and maintained a procedure in the <b>Forest Resources Environmental Management System &amp; Sustainable Forest Management (EMS &amp; SFM) Manual Revision 1.4</b> dated January 23, 2009. <ul style="list-style-type: none"> <li>chapter 9, <b>Communication</b>, procedure <b>Internal Communication</b></li> </ul>	Y	Confirmed the procedure has been established and is maintained. The manual has been revised and updated as the latest was version 1.4.	No issues noted with this specific requirement.
	b) establish and maintain procedures for receiving, documenting, and responding to relevant communication from external interested parties;		Established and maintained a procedure in the <b>Forest Resources Environmental Management System &amp; Sustainable Forest Management (EMS &amp; SFM) Manual Revision 1.4</b> dated January 23, 2009. <ul style="list-style-type: none"> <li>chapter 9, <b>Communication</b>, procedure <b>External Communication</b></li> </ul>	Y	Confirmed that the procedure has been established and is maintained. The manual has been revised and updated as the latest was version 1.4.	No issues noted with this specific requirement.





Section	Specific Requirement	Additional Information	Audit Evidence	Meets Standard (Y/N)	Auditor Opinion	Gap Identification
	c) make the SFM plan publicly available;		DMI PRPD website (accessed January & June 2010): <ul style="list-style-type: none"> <li>section <b>Sustainable Forest Management Plan – SFM Plan, DMI Stewardship Principles, Values, &amp; Objectives-Draft</b></li> </ul>	Y	Confirmed SFM plan was publicly available.	No issues noted with this specific requirement.
	d) make an annual report on its performance in meeting and maintaining the SFM requirements publicly available; and		<ul style="list-style-type: none"> <li>section <b>Sustainable Forest Management Plan – Annual SFM Report, DMI, CSA &amp; You</b></li> </ul>	Y	Confirmed annual report was publicly available.	No issues noted with this specific requirement.
	e) make the results of independent certification and surveillance audit reports publicly available.		<ul style="list-style-type: none"> <li>section <b>Forest Certification - Audits</b></li> </ul>		Confirmed that all audit reports from 2005 to the present were available on the website.	No issues noted with this specific requirement.
ISO 14001:2004 4.4.3 Communications	With regard to its environmental aspects and environmental management system, has the organization established and maintained (a) procedure(s) for: a) internal communication among the various levels and functions of the organization; and b) receiving, documenting and responding to relevant communication from external interested parties? The organization <b>shall</b> decide whether to communicate externally about its significant environmental aspects and <b>shall</b> document its decision. If the decision is to communicate, the organization <b>shall</b> establish (a) method(s) for this external communication.		Established and maintained a procedure in the <b>Forest Resources Environmental Management System &amp; Sustainable Forest Management (EMS &amp; SFM) Manual Revision 1.4</b> dated January 23, 2009. <ul style="list-style-type: none"> <li>chapter 9, <b>Communication</b>.</li> </ul>	Y	Confirmed that the procedure has been established and is maintained.	No issues noted with this specific requirement.
CSA Z809-02 7.4.3.4 Annual Report	An annual report describing the organization’s progress in meeting and maintaining the SFM requirements <b>must</b> be prepared and made available to the public. The annual report <b>should</b> be open and factual so that the reader can be confident that all of the SFM requirements continue to be met and that the organization is living up to its SFM policy statement and its commitment to continual improvement, progress, success, shortcomings, emerging issues, future plans, corrective actions, and management commitment are some of the topics an annual report <b>should</b> address.	The annual report must include the following sections: Progress, success, shortcomings, emerging issues, future plans, corrective actions and management commitment.	The indicator report had not yet been completed in the audit time period.	Y	The indicator report was considered a work in progress.	No issues noted with this specific requirement.
CSA Z809-02 7.4.4.1 SFM Documentation- General	The organization <b>shall</b> establish and maintain information, in paper or electronic form, to a) describe the SFM requirements and their interaction; and b) provide direction to related documentation.	SFM documentation may be integrated into an existing Environmental Management System.	Established and maintained a manual, <b>Forest Resources Environmental Management System &amp; Sustainable Forest Management (EMS &amp; SFM) Manual Revision 1.4</b> dated January 23, 2009.	Y	Reviewed manual and DMI PRPD has integrated SFM requirements into the manual. Confirmed manual is available in hard copy or on the DMI PRPD website.	No issues noted with this specific requirement.





Section	Specific Requirement	Additional Information	Audit Evidence	Meets Standard (Y/N)	Auditor Opinion	Gap Identification
	Organizations <b>shall</b> ensure that DFA-related workers and contractors have access to documentation relevant to their responsibilities and tasks.		<ul style="list-style-type: none"> <li>DMI PRPD website</li> </ul>		Other relevant information was available to employees, contractors and their employees through various print media and the website.	
<b>ISO 14001:2004</b> 4.4.4 Documentation	The environmental management system <b>shall</b> include: a) the environmental policy, objectives and targets; b) description of the scope of the environmental management system; c) description of the main elements of the environmental management system and their interaction and reference to related documents; d) documents, including records, required by this International Standard; and e) documents, including records, determined by the organization to be necessary to ensure the effective planning, operation and control of processes that relate to its significant environmental aspects.		Established and maintained a manual, <b>Forest Resources Environmental Management System &amp; Sustainable Forest Management (EMS &amp; SFM) Manual Revision 1.4</b> dated January 23, 2009.	Y	Reviewed manual and associated documentation (i.e. environmental policy, objectives & targets, training videos, files, inspection forms, etc.) and records and DMI PRPD met this specific requirement.	No issues noted with this specific requirement.
<b>CSA Z809-02</b> 7.4.4.2 SFM System Manual	Organizations <b>may</b> consider developing an SFM system manual as the main document to describe the methods of fulfilling each of the SFM requirements.	Individuals responsible for each section of the manual should be clearly identified within the manual.	Established and maintained a manual, <b>Forest Resources Environmental Management System &amp; Sustainable Forest Management (EMS &amp; SFM) Manual Revision 1.4</b> dated January 23, 2009.	Y	Reviewed manual and it met this specific requirement.	No issues noted with this specific requirement.
<b>CSA Z809-02</b> 7.4.5 Document Control	The organization <b>shall</b> establish and maintain procedures for controlling all documents (paper or electronic) required by this Standard to ensure that		Established and maintained a procedure in the <b>Forest Resources Environmental Management System &amp; Sustainable Forest Management (EMS &amp; SFM) Manual Revision 1.4</b> dated January 23, 2009. <ul style="list-style-type: none"> <li>chapter 10, <b>Documentation and Control of Documents and Records</b> and associated <b>Appendix D - List of Documents and Records.</b></li> </ul>	Y	Reviewed the manual and associated procedures and DMI PRPD met this requirement.	No issues noted with this specific requirement.
	a) they can be readily located;		<ul style="list-style-type: none"> <li>DMI PRPD website, section EMS documents – Policies: Manuals, Plans &amp; Guides, Procedures; Checklists &amp; Forms</li> </ul>	Y	Reviewed website, confirmed documents were readily available.	No issues noted with this specific requirement.
	b) they are periodically reviewed, revised as necessary, and approved for adequacy by authorized personnel;		<ul style="list-style-type: none"> <li>DMI PRPD website, section EMS documents – Policies; Manuals, Plans &amp; Guides, Procedures; Checklists &amp; Forms</li> </ul>	Y	Reviewed a number of documents which have been updated (or added, new) during the audit period and authorized by the Continuous Improvement Coordinator and approved by the FRBU leader.	No issues noted with this specific requirement.





Section	Specific Requirement	Additional Information	Audit Evidence	Meets Standard (Y/N)	Auditor Opinion	Gap Identification
	c) the current versions of relevant documents are available at all locations where operations essential to the fulfillment of the SFM requirements and the SFM plan are performed;		<ul style="list-style-type: none"> <li>• DMI PRPD website</li> <li>• DMI FRBU office, file storage rooms</li> <li>• Field sites visited</li> </ul>	Y	<p>The manual was inconsistent with continual improvement or updates made to the EMS &amp; SFM system in the areas of:</p> <ul style="list-style-type: none"> <li>• Roles &amp; responsibilities</li> <li>• Policy updates</li> <li>• Legislative updates</li> <li>• Procedure updates</li> <li>• Checklists</li> <li>• Document list updates</li> <li>• Manual updates</li> </ul>	<p>An opportunity for improvement has been identified.</p> <p>Deficiency noted was the <b>Forest Resources EMS &amp; SFM Manual</b> was not kept current.</p>
	d) obsolete documents are promptly removed from all points of issue and use, or otherwise assured against unintended use;		<ul style="list-style-type: none"> <li>• DMI PRPD website</li> <li>• DMI FRBU office</li> <li>• Field sites visited</li> </ul>	Y	Observations and interviews during field site and office visits did not reveal any obsolete documents. Documents posted to the website were current with the system.	No issues noted with this specific requirement.
	e) any obsolete documents retained for legal and/or knowledge preservation purposes are suitably identified.		<ul style="list-style-type: none"> <li>• DMI FRBU office, file storage rooms</li> </ul>	Y	Confirmed appropriate documents retained as per <b>Appendix D List of Documents and Records</b> .	No issues noted with this specific requirement.
	Documentation <b>shall</b> be legible, dated (with dates of revision), readily identifiable, maintained in an orderly manner, and retained for a specified period.		<ul style="list-style-type: none"> <li>• DMI PRPD website</li> <li>• DMI FRBU office</li> </ul>	Y	Reviewed a number of documents pertaining to the EMS/SFM system and the documents were legible, dated with revision, and readily identifiable.	No issues noted with this specific requirement.
	Procedures and responsibilities for the creation and modification of the various types of documents <b>shall</b> be established and maintained.		<p>Established and maintained a procedure in the <b>Forest Resources Environmental Management System &amp; Sustainable Forest Management (EMS &amp; SFM) Manual Revision 1.4</b> dated January 23, 2009.</p> <ul style="list-style-type: none"> <li>• chapter 10, <b>Documentation and Control of Documents and Records</b>.</li> </ul>	Y	Reviewed manual and procedures for document control, documents of external origin, forest management data & land use maps, and record management have been established. Roles and responsibilities for document control were outlined in a table format. This requirement has been met.	No issues noted with this specific requirement.



Section	Specific Requirement	Additional Information	Audit Evidence	Meets Standard (Y/N)	Auditor Opinion	Gap Identification
ISO 14001:2004 4.4.5 Control of Documents	Documents required by the environmental management system and by this International Standard <b>shall</b> be controlled. Records are a special type of document and <b>shall</b> be controlled in accordance with the requirements given in 4.5.4 The organization <b>shall</b> establish and maintain(a) procedure(s) to: a) approve documents for adequacy prior to issue; b) review and update as necessary and re-approve documents; c) ensure that changes and the current revision status of documents are identified; d) ensure that relevant versions of applicable documents are available at points of use; e) ensure that documents remain legible and readily identifiable; f) ensure that documents of external origin determined by the organization to be necessary for the planning and operation of the EMS are identified and their distribution controlled; and g) prevent the unintended use of obsolete documents and to apply suitable identification to them if they are retained for any purpose.		Refer to section 7.4.5 Document Control in this document for audit evidence reviewed.	Y	Refer to section 7.4.5 Document Control in this document for audit opinion.	Refer to section 7.4.5 Document Control in this document for audit opinion.
	The organization <b>shall</b>					
CSA Z809-02 7.4.6 Operational Procedures and Control	a) identify the operational procedures and controls needed to meet the SFM requirements;		Established and maintained a procedure in the <b>Forest Resources Environmental Management System &amp; Sustainable Forest Management (EMS &amp; SFM) Manual Revision 1.4</b> dated January 23, 2009. <ul style="list-style-type: none"> <li>chapter 10, <b>Documentation and Control of Documents and Records</b> and associated <b>Appendix D - List of Documents and Records.</b></li> </ul>	Y	Reviewed the manual and the procedures have been established and maintained.	No issues noted with this specific requirement.
	b) establish and maintain documented procedures to cover situations where the absence of such procedures could lead to deviations from the SFM requirements;		<ul style="list-style-type: none"> <li>DMI PRPD website, section EMS documents – Policies; Manuals, Plans &amp; Guides, Procedures; Checklists &amp; Forms</li> </ul>	Y	DMI PRPD has established and maintains procedures for environmental response and field operations to ensure deviations do not occur.	No issues noted with this specific requirement.





Section	Specific Requirement	Additional Information	Audit Evidence	Meets Standard (Y/N)	Auditor Opinion	Gap Identification
	c) stipulate operating criteria, including maintenance and calibration requirements;		<ul style="list-style-type: none"> <li>DMI PRPD website, section EMS documents – Policies; Manuals, Plans &amp; Guides, Procedures; Checklists &amp; Forms</li> </ul>	Y	The established procedures provided criteria for operations and include maintenance and calibration requirements.	No issues noted with this specific requirement.
	d) communicate relevant procedures, controls, and requirements to suppliers and contractors; and		<p>Established and maintained procedures in the <i>Forest Resources Environmental Management System &amp; Sustainable Forest Management (EMS &amp; SFM) Manual Revision 1.4</i> dated January 23, 2009.</p> <ul style="list-style-type: none"> <li>chapter 8, <i>Competence, Training, and Awareness</i> and</li> <li>chapter 9, <i>Communication</i>.</li> </ul>	Y	Communication was the responsibility of the operations supervisors. The EMS & SFM manual provided the procedures and the start-up meeting and associated checklist (001 to 003) provided the control.	No issues noted with this specific requirement.
	e) ensure that contractors working on behalf of the organization have the necessary operational procedures and controls.		<ul style="list-style-type: none"> <li><i>2008 Forest Resources Field Guide</i></li> <li><i>Forest Resources Health &amp; Safety Guide and EPRP – Contractor Version</i> dated August 1, 2009</li> <li><i>Truck Safe Program Training Manual Version 6</i> dated October 1, 2009</li> <li><i>Annual Operating Plan, overview map, and associated Block maps</i></li> </ul>	Y	Interviews and observations confirmed contractors have the necessary operational procedures and controls through training, awareness, communication, and documentation.	No issues noted with this specific requirement.
ISO 14001:2004 4.4.6 Operational Control	The organization shall identify and plan those operations that are associated with the identified significant environmental aspects consistent with its environmental policy, objectives and targets, in order to ensure that they are carried out under specified conditions, by: a) establishing and maintaining (a) documented procedure(s) to control situations where their absence could lead to deviation from the environmental policy, objectives targets, and b) stipulating the operating criteria in the procedures, and c) establishing and maintaining procedures related to the identified significant environmental aspects of goods and services used by the organization and communicating applicable procedures and requirements to suppliers, including contractors.		<p>Established and maintained a procedure in the <i>Forest Resources Environmental Management System &amp; Sustainable Forest Management (EMS &amp; SFM) Manual Revision 1.4</i> dated January 23, 2009.</p> <ul style="list-style-type: none"> <li>chapter 10, <i>Documentation and Control of Documents and Records</i> and associated <i>Appendix D - List of Documents and Records</i>.</li> <li>DMI PRPD website, section EMS documents – Policies; Manuals, Plans &amp; Guides, Procedures; Checklists &amp; Forms</li> </ul> <p>Established and maintained procedures in the <i>Forest Resources Environmental Management System &amp; Sustainable Forest Management (EMS &amp; SFM) Manual Revision 1.4</i> dated January 23, 2009.</p> <ul style="list-style-type: none"> <li>chapter 8, <i>Competence, Training, and Awareness</i> and</li> </ul>	N	<p>Reviewed the manual and the procedures have been established and are maintained.</p> <p>Communication was the responsibility of the DMI operation supervisors. A key operational control for the DMI operation supervisors and the contractor was the detailed block plan map.</p>	<p>Two minor non-conformities have been identified with this element.</p> <p>One applied to DMI where there were inconsistencies between the actual on-the-ground block features and features identified on the detailed block plan map, examples included:</p> <ul style="list-style-type: none"> <li>Watercourses adjacent to blocks not identified</li> <li>Watercourses entering the blocks not identified</li> <li>Skidder crossings in block were not identified</li> <li>Watercourses on access roads to block were not</li> </ul>





Section	Specific Requirement	Additional Information	Audit Evidence	Meets Standard (Y/N)	Auditor Opinion	Gap Identification
			<ul style="list-style-type: none"> <li>chapter 9, <i>Communication</i>.</li> <li><i>2008 Forest Resources Field Guide</i></li> <li><i>Forest Resources Health &amp; Safety Guide and EPRP – Contractor</i> Version dated August 1, 2009</li> <li><i>Forest Resources Health &amp; Safety Guide and EPRP – Employee</i> Version dated August 1, 2009</li> <li><i>Truck Safe Program Training Manual</i> Version 6 dated October 1, 2009</li> <li><i>Annual Operating Plan, overview map, and associated Block maps</i></li> </ul>		Communication was the responsibility of the CANFOR operation supervisors. A key operational control for the operation supervisors and the contractor was the Standard Operating Procedures, Work instructions, and Inspections.	<ul style="list-style-type: none"> <li>identified</li> <li>A large retention patch was not identified</li> <li>Watercourses identified did not exist in the field</li> </ul> <p>One applied to CANFOR where the watercourse crossing structure changed, but the operation supervisor had not identified the structure change in the operational inspections.</p>
CSA Z809-02 7.4.7 Emergency Preparedness and Response	The organization shall	Emergency plans <b>must</b> include: a) a list of all types of emergencies; b) ID of emergency organizations and responsibilities; c) a list of key personnel and their contact info; d) details of emergency services; e) internal and external communication plans; f) action taken in the event of different types of emergencies; g) info on hazardous materials including potential impact on the environment; h) provisions for clean up and remediation; i) training plans and testing for effectiveness.	Established and maintained a procedure in the <i>Forest Resources Environmental Management System &amp; Sustainable Forest Management (EMS &amp; SFM) Manual Revision 1.4</i> dated January 23, 2009. <ul style="list-style-type: none"> <li>chapter 12, <i>Emergency Preparedness and Response</i>.</li> </ul> Manuals & Guides: <ul style="list-style-type: none"> <li><i>2008 Forest Resources Field Guide</i></li> <li><i>Forest Resources Health &amp; Safety Guide and EPRP – Contractor</i> Version dated August 1, 2009</li> <li><i>Forest Resources Health &amp; Safety Guide and EPRP – Employee</i> Version dated August 1, 2009</li> <li><i>2010 Fire Control Plan Revision 1.0</i> dated April 16, 2010</li> <li><i>Truck Safe Program Training Manual</i> Version 6 dated October 1, 2009</li> <li><i>Fuel Management Field Guide Revision 1.6</i> dated July 31, 2009</li> </ul>	Y	The auditor reviewed the procedure and it met this requirement.	No issues noted with this specific requirement.
	a) establish and maintain procedures to identify the potential for and to respond to accidents and emergencies on the DFA;					
	b) establish and maintain procedures to prevent and mitigate the impacts that may be associated with accidents and emergencies;					
	c) review and revise, where necessary, its emergency preparedness and response procedures, in particular, after the occurrence of accidents or emergencies; and d) where practicable, periodically test procedures.					





Section	Specific Requirement	Additional Information	Audit Evidence	Meets Standard (Y/N)	Auditor Opinion	Gap Identification
ISO 14001:2004 4.4.7 Emergency Preparedness and Response	The organization <b>shall</b> establish and maintain (a) procedure(s) to identify potential emergency situations and potential accidents that can have (an) impact(s) on the environment and how it will respond to them. The organization <b>shall</b> respond to actual emergency situations and accidents and prevent or mitigate associated adverse environmental impacts. The organization <b>shall</b> periodically review and, where necessary, revise its emergency preparedness and response procedures, in particular, after the occurrence of accidents or emergency situations. The organization <b>shall</b> also periodically test its emergency preparedness and response procedures where practicable.		Established and maintained a procedure in the <b>Forest Resources Environmental Management System &amp; Sustainable Forest Management (EMS &amp; SFM) Manual Revision 1.4</b> dated January 23, 2009. <ul style="list-style-type: none"> <li>chapter 12, <b>Emergency Preparedness and Response</b>.</li> </ul> Manuals & Guides: <ul style="list-style-type: none"> <li><b>2008 Forest Resources Field Guide</b></li> <li><b>Forest Resources Health &amp; Safety Guide and EPRP – Contractor</b> Version dated August 1, 2009</li> <li><b>Forest Resources Health &amp; Safety Guide and EPRP – Employee</b> Version dated August 1, 2009</li> <li><b>Truck Safe Program Training Manual</b> Version 6 dated October 1, 2009</li> <li><b>Fuel Management Field Guide</b> Revision 1.6 dated July 31, 2009</li> </ul> Procedures: <ul style="list-style-type: none"> <li>section <b>EMS Procedures - Environmental Response Procedures</b></li> </ul>	Y	The auditor reviewed the procedure and it met this requirement.  DMI has developed a number of manuals to address provincial and federal regulations. These manuals were readily available on the DMI PRPD website and were distributed to contractors as well.  The <b>2008 Forest Resources Field Guide</b> and the <b>Truck Safe Program Training Manual</b> were distributed to pertinent employees, contractors and their employees. These field guides provided each person with a handy reference in the event of an emergency (i.e. personal injury, fire, spill/release, etc.).  DMI internal procedures related to accidental spill/release, hydraulic oil & propane storage, used oil handling, private sewage disposal, and waste management.  During field site visits, there was an overall high level of conformity to this Standard and DMI internal procedures.	No issues noted with this specific requirement.
	The organization <b>shall</b>					
CSA Z809-02 7.5.1 Monitoring and Measurement	a) establish and maintain documented procedures to monitor, on a regular basis, the key characteristics of its operations and activities that demonstrate progress towards SFM in the DFA. This shall include the recording of performance levels, relevant operational controls, and conformance with the SFM requirements;	Harvesting, construction, timber development and fuel & facility inspection monitoring.	Established and maintained a procedure in the <b>Forest Resources Environmental Management System &amp; Sustainable Forest Management (EMS &amp; SFM) Manual Revision 1.4</b> dated January 23, 2009. <ul style="list-style-type: none"> <li>chapter 13, <b>Monitoring, Measuring and Evaluation of Compliance</b>.</li> </ul> Procedures: <ul style="list-style-type: none"> <li><b>Project Supervision Guideline</b> (FR-G002)</li> </ul>	Y	DMI PRPD has developed a procedure and several checklists that assess operational activities.  The auditor deemed DMI PRPD has met this requirement.	No issues noted with this specific requirement.





Section	Specific Requirement	Additional Information	Audit Evidence	Meets Standard (Y/N)	Auditor Opinion	Gap Identification
			Checklists: <ul style="list-style-type: none"> <li>▪ <b>Planning/Inspection Monitoring</b> (CHK-004)</li> <li>▪ <b>Operations/Inspection Monitoring</b> (CHK-005)</li> <li>▪ <b>Silviculture Inspection/Monitoring</b> (CHK-006)</li> <li>▪ <b>Industrial Waste, Fuel &amp; Facility Inspection</b> (CHK-011)</li> <li>▪ <b>Haul Route Assessment</b> (CHK-022)</li> </ul>			
	b) monitor the indicators for comparison against the forecasts; and		Indicators continued to be refined through the PAC Phase II process and all aspects of the 2009 DFMP had not yet been completed.	Y	The auditor deemed DMI PRPD has met this requirement.  Considered a work in progress which showed continual improvement.	No issues noted with this specific requirement.
	c) establish and maintain a documented procedure for periodically evaluating compliance with relevant legislation and regulations, and conformance with relevant policies applying to the DFA. If non-compliances or non-conformances are found, the organization shall address these through the corrective and preventive action process.	Internal and external 3rd party verification of EMS, SFM and Compliance Audit.	Established and maintained procedures in the <b>Forest Resources Environmental Management System &amp; Sustainable Forest Management (EMS &amp; SFM) Manual Revision 1.4</b> dated January 23, 2009. <ul style="list-style-type: none"> <li>• chapter 13, <b>Monitoring, Measuring and Evaluation of Compliance, and</b></li> <li>• chapter 14, <b>Nonconformity, Corrective Action, and Preventative Action.</b></li> </ul>	Y	The auditor deemed DMI PRPD has met this requirement.	No issues noted with this specific requirement.
<b>ISO 14001:2004</b> 4.5 Checking 4.5.1 Monitoring and Measurement	The organization <b>shall</b> establish, implement, and maintained (a) procedure(s) to monitor and measure, on a regular basis, the key characteristics of its operations that can have a significant environmental impact. The procedure(s) <b>shall</b> include the documenting of information to monitor performance, applicable operational controls and conformity with the organization's environmental objectives and targets. The organization <b>shall</b> ensure that calibrated or verified monitoring and measurement equipment is used and maintained and <b>shall</b> retain associated records.		Established and maintained a procedure in the <b>Forest Resources Environmental Management System &amp; Sustainable Forest Management (EMS &amp; SFM) Manual Revision 1.4</b> dated January 23, 2009. <ul style="list-style-type: none"> <li>• chapter 13, <b>Monitoring, Measuring and Evaluation of Compliance.</b></li> </ul> Procedures: <ul style="list-style-type: none"> <li>▪ <b>Project Supervision Guideline</b> (FR-G002)</li> </ul> Checklists: <ul style="list-style-type: none"> <li>▪ <b>Planning/Inspection Monitoring</b> (CHK-004)</li> <li>▪ <b>Operations/Inspection Monitoring</b> (CHK-005)</li> <li>▪ <b>Silviculture Inspection/Monitoring</b> (CHK-006)</li> <li>▪ <b>Industrial Waste, Fuel &amp; Facility Inspection</b> (CHK-011)</li> <li>▪ <b>Haul Route Assessment</b> (CHK-022)</li> </ul>	Y	DMI implemented a procedure for project supervision which provided guidance to the operation supervisors when monitoring field operations.  This procedure stated the frequency of inspections for various activities including harvesting, temporary camps, fuel storage, etc. Frequency was based on the length of the activity and the subsequent risk to the environment.	No issues noted with this specific requirement.





Section	Specific Requirement	Additional Information	Audit Evidence	Meets Standard (Y/N)	Auditor Opinion	Gap Identification
ISO 14001:2004 4.5 Checking 4.5.2 Evaluation of Compliance 4.5.2.1	Consistent with its commitment to compliance, the organization <b>shall</b> establish, implement, and maintain (a) procedure(s) for periodically evaluating compliance with applicable legal requirements.  The organization <b>shall</b> keep records of the results of periodic evaluations.		Established and maintained a procedure in the <b>Forest Resources Environmental Management System &amp; Sustainable Forest Management (EMS &amp; SFM) Manual Revision 1.4</b> dated January 23, 2009. <ul style="list-style-type: none"><li>chapter 13, <b>Monitoring, Measuring and Evaluation of Compliance.</b></li></ul>	Y	DMI PRPD has established the FRBU Operations Monitoring Database and was committed to tracking potential legal non-compliances.	No issues noted with this specific requirement.
ISO 14001:2004 4.5 Checking 4.5.2 Evaluation of Compliance 4.5.2.2	The organization shall evaluate compliance with other requirements to which it subscribes. The organization may wish to combine this evaluation of legal compliance referred to in 4.5.2.1 or establish a separate procedure(s). The organization <b>shall</b> keep records of the results of the periodic evaluations.		Established and maintained a procedure in the <b>Forest Resources Environmental Management System &amp; Sustainable Forest Management (EMS &amp; SFM) Manual Revision 1.4</b> dated January 23, 2009. <ul style="list-style-type: none"><li>chapter 15, <b>Internal Audit Programs</b>, section 2 <b>Compliance Audit.</b></li></ul>	Y	A compliance audit and associated checklists were established under the <b>Internal Audit</b> procedures in the EMS & SFM manual.  This audit was reported out publicly.	No issues noted with this specific requirement.
CSA Z809-02 7.5.1.2 Assessing the Public Participation Process	At periodic intervals, the organization and those involved in the public participation process <b>should</b> undertake an assessment of the entire public participation process to ensure that it continues to meet SFM requirements and participants' expectations.		<ul style="list-style-type: none"><li>VOIT Discussion Wrap-Up: Opinion Survey dated January 2009</li></ul>	Y	DMI PRPD developed and completed an opinion survey basing it on the PAC participants "values of interest" expressed when responding to this key question: " <b>What do you want the forest to look like...now...10 years...in 200 years</b> ".  A review of the survey response showed only 2 out of 55 statements were not being met (threshold of < 50% positive response)and they related to a similar interest.  This survey showed the auditor that the participants' expectations are being met.	No issues noted with this specific requirement.
CSA Z809-02 7.5.1.3 Assessing Values, Objectives, Indicators, and Targets	As knowledge and experience are gained and objectives achieved, organizations <b>should</b> continue to assess the quality and validity of their values, objectives, indicators, and targets.	At periodic intervals, the organization and those involved in the public participation process should undertake an assessment of the entire public participation process	As the result of the original FMAs being split into the East and West, including the resubmission of separate DFMPs, it was considered a work in progress.	Y	Considered a work in progress which showed continual improvement.	No issues noted with this specific requirement.





Section	Specific Requirement	Additional Information	Audit Evidence	Meets Standard (Y/N)	Auditor Opinion	Gap Identification
<b>CSA Z809-02</b> 7.5.1.4 Assessing SFM Performance Requirements	Indicators <b>should</b> be compared against targets (or shorter-term benchmarks) according to a defined schedule	As knowledge and experience are gained and objectives achieved, organizations should continue to assess the quality and validity of their values, objectives, indicators, and targets	As the result of the original FMAs being split into the East and West, including the resubmission of separate DFMPs, it was considered a work in progress.	Y	Considered a work in progress which showed continual improvement.	No issues noted with this specific requirement.
<b>CSA Z809-02</b> 7.5.1.5 Assessing the SFM System Requirements	Since the SFM system requirements are the delivery mechanism for the overall SFM requirements, the effectiveness of the SFM system <b>should</b> be regularly assessed and improved as necessary.	Indicators should be compared against targets (or shorter-term benchmarks) according to a defined schedule	As the result of the original FMAs being split into the East and West, including the resubmission of separate DFMPs, it was considered a work in progress.	Y	Considered a work in progress which showed continual improvement.	No issues noted with this specific requirement.
<b>CSA Z809-02</b> 7.5.2 Corrective and Preventive Action	The organization <b>shall</b> establish and maintain procedures for		Established and maintained a procedure in the <b>Forest Resources Environmental Management System &amp; Sustainable Forest Management (EMS &amp; SFM) Manual Revision 1.4</b> dated January 23, 2009. <ul style="list-style-type: none"> <li>chapter 14, <b>Nonconformity, Corrective Action, and Preventative Action.</b></li> </ul>	Y	Reviewed the procedures outlined in the manual and in the auditor's opinion, these procedures met the requirement.	No issues noted with this specific requirement.
	a) defining responsibility and authority for identifying and investigating non-conformance;		<b>Forest Resources Environmental Management System &amp; Sustainable Forest Management (EMS &amp; SFM) Manual Revision 1.4</b> dated January 23, 2009. <ul style="list-style-type: none"> <li>chapter 14, <b>Nonconformity, Corrective Action, and Preventative Action</b>, section 3 <b>Identifying &amp; Correcting Nonconformities.</b></li> </ul>	Y	DMI PRPD has defined the supervisor as the front line person responsible through the inspection/monitoring procedures for identification of nonconformance. Advisers/Leaders review and comment on corrective actions, and the Continual Improvement Coordinator completes quality assurance.	No issues noted with this specific requirement.
	b) taking action to mitigate any impacts caused; and		<ul style="list-style-type: none"> <li><i>Operations Monitoring Tracking Database</i></li> <li><i>TrAction Database</i></li> <li>FRBU Filing system</li> </ul>	Y	An action plan is outlined in the inspection form and entered into one of the databases depending on the type of corrective action.	No issues noted with this specific requirement.
	c) initiating and completing corrective and preventive action.		<ul style="list-style-type: none"> <li><i>Operations Monitoring Tracking Database</i></li> <li><i>TrAction Database</i></li> <li>FRBU Filing system</li> </ul>	Y	The databases tracked outstanding inspections where a corrective or preventative action has been identified. Any follow-up actions were discussed at the weekly operations/planning meeting until deemed closed.	No issues noted with this specific requirement.



Section	Specific Requirement	Additional Information	Audit Evidence	Meets Standard (Y/N)	Auditor Opinion	Gap Identification
	Any corrective or preventive action taken to eliminate the causes of actual and potential non-conformances <b>shall</b> be appropriate to the magnitude of problem and commensurate with the impact encountered.		<ul style="list-style-type: none"> <li>• <i>Operations Monitoring Tracking Database</i></li> <li>• <i>TrAction Database</i></li> <li>• FRBU Filing system</li> </ul>	Y	Reviewed corrective actions from internal audits and operations; follow-up was deemed appropriate to the problem including steps to take preventative action.	No issues noted with this specific requirement.
ISO 14001:2004 4.5.3 Nonconformity, corrective action, and preventative action	<p>The organization <b>shall</b> establish, implement, and maintain a procedure(s) for dealing with actual and potential nonconformity(ies) and for taking corrective action. The procedure(s) <b>shall</b> define requirements for:</p> <p>a) identifying and correcting nonconformity(ies) and taking action(s) to mitigate their environmental impacts;</p> <p>b) investigating nonconformity(ies), determining their cause(s) and taking actions in order to avoid their recurrence;</p> <p>c) evaluating the need for action(s) to prevent nonconformity(ies) and implementing appropriate actions designed to avoid their occurrence;</p> <p>d) recording the results of corrective action(s) and preventive action(s) taken; and</p> <p>e) reviewing the effectiveness of corrective action(s) and preventive action(s) taken.</p> <p>Actions taken <b>shall</b> be appropriate to the magnitude of the problems and the environmental impacts encountered. The organization <b>shall</b> ensure that necessary changes are made to environmental management system documentation.</p>		Refer to section 7.5.2 Corrective and Preventative Action in this document for audit evidence reviewed.	Y	Refer to section 7.5.2 Corrective and Preventative Action in this document for audit opinion.	No issues noted with this specific requirement.
CSA Z809-02 7.5.3 Records	The organization <b>shall</b> establish and maintain procedures for the identification, maintenance, and disposition of SFM requirement records. These records <b>shall</b> include training records and the results of audits and reviews.		Refer to section 7.4.5 Document Control in this document for audit evidence reviewed.	Y	Refer to section 7.4.5 Document Control in this document for audit opinion.	No issues noted with this specific requirement.
	SFM requirement records <b>shall</b> be legible, identifiable, and traceable to the activity involved. SFM requirement records <b>shall</b> be stored and maintained in such a way that they are readily retrievable and protected against damage, deterioration, or loss. Their retention times <b>shall</b> be established and recorded.		Refer to section 7.4.5 Document Control in this document for audit evidence reviewed.	N	Records Management procedures require records to be stored in the filing system so they are retrievable and protected against loss.	<p>A minor non-conformity has been identified with this element.</p> <p>Deficiency noted was operation supervisors could not provide documented evidence of some start-up meetings.</p>





Section	Specific Requirement	Additional Information	Audit Evidence	Meets Standard (Y/N)	Auditor Opinion	Gap Identification
	Records <b>shall</b> be maintained, in a manner appropriate to the system and to the organization, to demonstrate conformance to the requirements of this Standard.		Refer to section 7.4.5 Document Control in this document for audit evidence reviewed.	Y	Refer to section 7.4.5 Document Control in this document for audit opinion.	No issues noted with this specific requirement.
<b>ISO 14001:2004</b> 4.5.4 Control of Records	The organization <b>shall</b> establish and maintain records as necessary to demonstrate conformity to the requirements of its environmental management system and of this International Standard, and the results achieved. The organization <b>shall</b> establish, implement, and maintain a procedure(s) for the identification, storage, protection, retrieval, retention and disposal of records.  Records <b>shall</b> be and remain legible, identifiable and traceable.		Refer to section 7.4.3 Records in this document for audit evidence reviewed.	N	Refer to section 7.4.3 Records in this document for audit opinion.	Refer to section 7.4.3 Records in this document for audit opinion.
	The organization <b>shall</b>					
<b>CSA Z809-02</b> 7.5.4 Internal Audits to the SFM Requirements	a) establish and maintain procedures for annual internal audits to ensure that it conforms to the SFM requirements set out in this Standard; and	Audit procedures and protocols should be clearly defined.	Established and maintained a procedure in the <b>Forest Resources Environmental Management System &amp; Sustainable Forest Management (EMS &amp; SFM) Manual Revision 1.4</b> dated January 23, 2009. <ul style="list-style-type: none"> <li>chapter 15, <b>Internal Audit Programs</b>.</li> </ul>	Y	Reviewed the manual and the procedure has been established and maintained. This requirement has been met.	No issues noted with this specific requirement.
	b) provide information on the results of these internal audits to top management.		<ul style="list-style-type: none"> <li>Email distribution</li> <li>Management review meeting minutes</li> <li>Management review powerpoint presentations</li> </ul>	Y	Reviewed emails where audit results were distributed to top management. A management review was conducted to share results as well.	No issues noted with this specific requirement.
	The organization's internal audit program, including any schedules, <b>shall</b> be based on the importance of the specific SFM activity and the results of previous audits.		<ul style="list-style-type: none"> <li>section <b>Checklists &amp; Forms, EMS and SFM Internal Audit Checklist (CHK-042)</b></li> </ul>	Y	The audit checklist is detailed, thorough, and followed the Standards for EMS & SFM. This requirement has been met.	No issues noted with this specific requirement.
	To be comprehensive, the audit procedures <b>shall</b> cover the audit scope, frequency, and methods, as well as the responsibilities and requirements for conducting audits, auditor qualifications, and reporting results.		Established and maintained a procedure in the <b>Forest Resources Environmental Management System &amp; Sustainable Forest Management (EMS &amp; SFM) Manual Revision 1.4</b> dated January 23, 2009. <ul style="list-style-type: none"> <li>chapter 15, <b>Internal Audit Programs</b>, section 1 <b>Internal Audit</b> and section 3 <b>Reporting Internal Audit</b>. A compliance audit is also identified in section 2 as an integral part of the internal audit process.</li> </ul>	Y	The internal audits were conducted annually for SFM, EMS, and compliance. The site visits covered two periods of time to capture all activities conducted under the scope of the certifications.	No issues noted with this specific requirement.





Section	Specific Requirement	Additional Information	Audit Evidence	Meets Standard (Y/N)	Auditor Opinion	Gap Identification
ISO 14001:2004 4.5.5 Internal Audit	<p>The organization <b>shall</b> ensure that internal audits of the environmental management system are conducted at planned intervals to:</p> <p>a) determine whether the environmental management system</p> <ol style="list-style-type: none"> <li>1. conforms to planned arrangements for environmental management including the requirements of this International Standard, and</li> <li>2. has been properly implemented and is maintained, and</li> </ol> <p>b) provides information on the results of audits to management.</p> <p>Audit programme(s) shall be planned, established, implemented, and maintained by the organization, taking into consideration the environmental importance of the operation(s) concerned and the results of previous audits. Audit procedures <b>shall</b> be established, implemented, and maintained that address</p> <ul style="list-style-type: none"> <li>- the responsibilities and requirements for planning and conducting audits, reporting results and for retaining associated records,</li> <li>- the determination of audit criteria, scope, frequency and methods.</li> </ul> <p>Selection of auditors and conduct of audits <b>shall</b> ensure objectivity and the impartiality of the audit process.</p>		Refer to section 7.5.4 Internal Audits to SFM Requirements in this document for audit evidence reviewed.	Y	Refer to section 7.5.4 Internal Audits to SFM Requirements in this document for audit opinion.	No issues noted with this specific requirement.
CSA Z809-02 7.6 Management Review	<p>The organization's top management <b>shall</b>, at least annually, review the SFM requirements to ensure that progress towards SFM continues to be suitable, adequate, and effective. The management review process <b>shall</b> ensure that the information necessary to allow top management to carry out this evaluation is collected. This review <b>shall</b> be documented.</p>		<ul style="list-style-type: none"> <li>• Management review meeting minutes</li> <li>• Management review powerpoint presentations</li> </ul>	Y	A management review was conducted that addressed this requirement.	No issues noted with this specific requirement.
	<p>In order to be adaptive, the management review <b>shall</b> address the possible need for changes to policy, targets, and other SFM requirements, in light of audit results, changing circumstances, and the commitment to continual improvement.</p>		<ul style="list-style-type: none"> <li>• Management review meeting minutes</li> <li>• Management review powerpoint presentations</li> </ul>	Y	A management review was conducted that addressed this requirement.	No issues noted with this specific requirement.





Section	Specific Requirement	Additional Information	Audit Evidence	Meets Standard (Y/N)	Auditor Opinion	Gap Identification
<p><b>ISO 14001:2004</b> 4.6 Management Review</p>	<p>Top management <b>shall</b> review the organization's environmental management system, at planned intervals, to ensure its continued suitability, adequacy, and effectiveness. Reviews <b>shall</b> include assessing opportunities for improvement and the need for changes to the environmental management system, including the environmental policy and environmental objectives and targets. Records of the management review <b>shall</b> be retained.</p> <p>Input into management reviews <b>shall</b> include :</p> <ul style="list-style-type: none"> <li>a) results of internal audits and evaluations of compliance with legal requirements and with other requirements to which the organization subscribes,</li> <li>b) communication(s) from external interested parties, including complaints,</li> <li>c) the environmental performance of the organization,</li> <li>d) the extent to which objectives and targets have been met,</li> <li>e) status of corrective and preventive actions,</li> <li>f) follow-up actions from previous management reviews,</li> <li>g) changing circumstances, including developments in legal and other requirements related to its environmental aspects, and</li> <li>h) recommendations for improvement.</li> </ul> <p>The outputs from the management reviews <b>shall</b> include any decisions and actions related to possible changes to environmental policy, objectives, targets and other elements of the environmental management system, consistent with the commitment to continual improvement.</p>		<p>Refer to section 7.6 Management Review in this document for audit evidence reviewed.</p>	<p>Y</p>	<p>Refer to section 7.6 Management Review in this document for audit opinion.</p>	<p>No issues noted with this specific requirement.</p>