

**Forest Management and Stump-to-Forest Gate Chain-of-Custody
Recertification Evaluation Report for the:**

**Swanton Pacific Ranch-California Polytechnic State University
Foundation**

**Conducted under auspices of the SCS Forest Conservation Program
SCS is an FSC Accredited Certification Body**

**CERTIFICATION REGISTRATION NUMBER
SCS-FM/COC-00071N**

Submitted to:

Swanton Pacific Ranch – Davenport California

**Lead Author:
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**Date of Field Audit:
March 18-19, 2009**

**Date of Report:
May 1, 2009**

Updated: October, 2010

Certified: May 3, 2009

By:

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Organization of the Report

This report of the results of our evaluation is divided into two sections. Section A provides the public summary and background information that is required by the Forest Stewardship Council. This section is made available to the general public and is intended to provide an overview of the evaluation process, the management programs and policies applied to the forest, and the results of the evaluation. Section A will be posted on the SCS website (www.scscertified.com) no less than 30 days after issue of the certificate. Section B contains more detailed results and information for the use of the California Polytechnic State University Foundation, Swanton Pacific Ranch (SPR).

FOREWORD

Scientific Certification Systems, a certification body accredited by the Forest Stewardship Council (FSC), was retained by the California Polytechnic State University Foundation, Swanton Pacific Ranch (SPR) to conduct a certification evaluation of its forested lands on the ranch as well as the Valencia Tract near Aptos, CA that is also owned and managed by the Foundation. Under the FSC/SCS certification system, forest management operations meeting international standards of forest stewardship can be certified as “well managed”, thereby enabling use of the FSC endorsement and logo in the marketplace.

In March 2009, an interdisciplinary team of natural resource specialists was empanelled by SCS to conduct the evaluation. The team collected and analyzed written materials, conducted interviews and completed a 2 day field and office audit of the subject property as part of the certification evaluation. Upon completion of the fact-finding phase of the evaluation, the team determined conformance to the 56 FSC Criteria in order to determine whether award of certification was warranted.

This report is issued in support of a recommendation to award FSC-endorsed certification to California Polytechnic State University Foundation, Swanton Pacific Ranch (SPR), for the management of its forested lands. In the event that a certificate is awarded, Scientific Certification Systems will post this public summary of the report on its web site (www.scscertified.com).

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SECTION A- PUBLIC SUMMARY AND BACKGROUND INFORMATION

1.0 GENERAL INFORMATION

1.1 FSC Data Request

Applicant entity	California Polytechnic State University Foundation, Swanton Pacific Ranch
Contact person	Steve Auten
Address	125 Swanton Road, Davenport, CA 95017
Telephone	(831) 427-1718
Fax	(831) 458-5411
E-mail	sauten@calpoly.edu
Certificate Number	SCS-FM/COC-00071N
Certificate/Expiration Date	May 2, 2014
Certificate Type	Single FMU
SLIMF	i) a small SLIMF certificate ii) low intensity SLIMF certificate
Number of FMUs in scope that are	
less than 100 ha in area	0
100 - 1000 ha in area	1
1000 - 10 000 ha in area	0
more than 10 000 ha in area	0
Location of certified forest area	
Latitude	37° 1' 59.5128"
Longitude	-122° 13' 10.0524"
Forest zone	Temperate
Total forest area in scope of certificate which is included in FMUs that:	
are less than 100 ha in area	0
are between 100 ha and 1000 ha in area	0
meet the eligibility criteria as <i>low intensity</i> SLIMF FMUs	2100 ac
Total forest area in scope of certificate which is:	
privately managed ¹	2100 ac
state managed	0
community managed ²	0
Number of forest workers (including contractors) working in forest within scope of certificate	10
Area of forest and non-forest land protected from commercial harvesting of timber and managed primarily for conservation objectives	12 ac
Area of forest protected from commercial harvesting of timber and managed primarily for the production of NTFPs or services	0 ac
Area of forest classified as 'high conservation value forest'	1000 ac
List of high conservation values present ³	HCV 1, 3 and 4

¹ The category of 'private management' includes state owned forests that are leased to private companies for management, e.g. through a concession system.

² A community managed forest management unit is one in which the management and use of the forest and tree resources is controlled by local communities.

Chemical pesticides used	
Total area of production forest (i.e. forest from which timber may be harvested)	1182 ac
Area of production forest classified as 'plantation' for the purpose of calculating the Annual Accreditation Fee (AAF)	0
Area of production forest regenerated primarily by replanting ⁴	1182 ac
Area of production forest regenerated primarily by natural regeneration	1182 ac
List of main commercial timber and non-timber species included in scope of certificate (botanical name and common trade name)	Coastal redwood (<i>Sequoia sempervirens</i>) and Douglas-fir (<i>Pseudotsuga menziesii</i>)
Approximate annual allowable cut (AAC) of commercial timber	Approximately 703,445 bf/ac/year
Approximate annual commercial production of non-timber forest products included in the scope of the certificate, by product type	
List of product categories included in scope of joint FM/COC certificate and therefore available for sale as FSC-certified products (include basic description of product - e.g. round wood, pulp wood, sawn timber, kiln-dried sawn timber, chips, resin, non-timber forest products, etc.)	Coastal redwood and Douglas-fir logs.

Conversion Table English Units to Metric Units

Length Conversion Factors

To convert from	to	multiply by
mile (US Statute)	kilometer (km)	1.609347
foot (ft)	meter (m)	0.3048
yard (yd)	meter (m)	0.9144

Area Conversion Factors

To convert from	to	multiply by
square foot (sq ft)	square meter (sq m)	0.09290304
acre (ac)	hectare (ha)	0.4047

Volume Conversion Factors

Volume

To convert from	to	multiply by
cubic foot (cu ft)	cubic meter (cu m)	0.02831685
gallon (gal)	liter	4.546

1 acre	= 0.404686 hectares
1,000 acres	= 404.686 hectares
1 board foot	= 0.00348 cubic meters
1,000 board feet	= 3.48 cubic meters
1 cubic foot	= 0.028317 cubic meters
1,000 cubic feet	= 28.317 cubic meters

³ High conservation values should be classified following the numbering system given in the ProForest High Conservation Value Forest Toolkit (2003) available at www.ProForest.net

⁴ The area is the *total* area being regenerated primarily by planting, *not* the area which is replanted annually. NB this area may be different to the area defined as a 'plantation' for the purpose of calculating the Annual Accreditation Fee (AAF) or for other purposes.

Breast height = 1.4 meters, or 4 1/2 feet, above ground level

Although 1,000 board feet is theoretically equivalent to 2.36 cubic meters, this is true only when a board foot is actually a piece of wood with a volume 1/12 of cubic foot. The conversion given here, 3.48 cubic meters, is based on the cubic volume of a log 16 feet long and 15 inches in diameter inside bark at the small end.

1.2.1 Environmental Context

The setting of SPR is dominated by the Santa Cruz Mountains, the most southerly extension of the coast redwood forest type in Central California, USA. Many active faults, including the San Andreas, are located northeast of SPR. Much of SPR is underlain by Tertiary Santa Cruz Mudstone, a medium to thick siliceous mudstone. Landslides are common on steeper slopes. Forest soils are typically well-drained and loamy in texture. Scotts, Little, Querseria, and Valencia Creeks are major hydrological features locally that influence forest and fisheries management.

Coast Redwood Forest Type

Coast Redwood (*Sequoia sempervirens*) has limited distribution from southwestern Oregon southward to Salmon Creek in Monterey County, California. It generally grows near sea level to about 2,500 feet in elevation and mainly on the seaward side of the coastal mountains within the fog belt.

Average rainfall throughout its range is 35 to 100 inches, with dense dripping fog in the summer. The growing season is 6 to 12 months, with 200 to 350 frost-free days. Temperature fluctuation is minimal both diurnally and seasonally; the mean summer maximum is 68°-84°F and the mean winter minimum is 33°-40°F.

South of San Francisco, Coastal redwood is found almost exclusively on the seaward side of the coast range, covering crests and west slopes in usually mixed associations with other tree and shrub species (*Pseudotsuga menziesii*, *Myrica californica*, *Lithocarpus densiflora*, *Vaccinium ovatum*, *Rhododendron macrophyllum*, *Oxalis oregona*, *Polystichum munitum*, and others). Throughout the Santa Cruz Mountains, the most common habitat associated with the Coastal redwood type is the Coast Oak Woodland (CWHR habitat type).

According to the CWHR system, Coastal redwood ecosystems provide food, cover or special habitat elements (for at least one season) for 193 species. This list includes 12 reptiles, 18 amphibians, 109 birds and 54 mammals. Of these species, 18 are considered harvestable. Depending on geographic location, sensitive species associated with the Coastal redwood type include: red-legged frog, *Ensatina*, osprey, ringtail, fisher and marbled murrelet.

Central Coast Ranges

Many sources do not separate the North Coast Range from the Central Ranges since geologically they are very similar. Selecting a southern terminus for this range is somewhat controversial since there is no sharp distinction between the Central Coast Ranges and the western Transverse Ranges.

The Central Coast Province is approximately 250 miles long and 50 miles wide. The mountains are not high, principally between 2,000 feet and 4,000 feet in altitude. Viewed from the sea, they appear as a continuous mountain wall rising from the sea with few intermittent breaks of small valleys and plains. Wide or long beaches are the exception; rather high coastal terraces are the norm.

The Santa Cruz Range, part of the larger Central Coast Range, is about 75 miles long and ranges in altitude from 2,000 feet just south of San Francisco to nearly 3,800 feet in the south. The eastern slope is determined by the San Andreas Fault line, which continues to traverse this region southward along the western base of the Diablo and Temblor Ranges. The Range is generally flat crested between San Francisco and Santa Cruz. South of Monterey Bay the Santa Cruz Ranges, interrupted by the Pájaro River Valley, are renamed the Gabilan Range.

As described in the *Draft Swanton Ranch Draft Management Plan* (2004) approximately 1,435 acres of SPR are forested (including the 80 acres owned by Al Smith's family for which Cal Poly has timber rights), of which 1,160 acres are dominated by conifers and 275 acres by hardwoods. In addition SPR owns and manages 633 acres of redwood and Douglas-fir forestland in the Valencia Creek drainage.

1.2.2 Socioeconomic Context

Santa Cruz County relies heavily upon agriculture and tourism, with significant employment also in the areas of electronics-related manufacturing, information technology, government, and education. Although Santa Cruz County is rural in many respects, it has also developed traits and qualities of a more urban or metropolitan area, and thus, attracts local and tourist populations of diverse cultures and lifestyles. SPR's main influence to the socio-economic setting is its contribution of many educational opportunities to the community and students of various disciplines- which are continually being developed with expanded educational facilities.

1.3 Forest Management Enterprise

1.3.1 Land Use

The Swanton Pacific Ranch has lands dedicated to conservation, native grasslands, forestry, ranching, and agriculture. There are also areas dedicated to housing, education, logging competitions, and storage of vehicles and farming equipment.

SPR has documented the land use history of the property in its *Draft Management Plan* (2004). In a span of just over a hundred years, the property has passed from local indigenous tribes to large Mexican land grants interspersed with smaller landowners, and then through the transition of California from Mexico to the United States, which brought an influx of settlers from all over the world. The United States honored many of the land grants, although many of them started to break up after the 1850s.

The 3,000 acres of SPR comprise much of the original Agua Puerca y Las Trancas Land Grant, which changed ownership several times from the 1860s onward and part of which was subdivided into smaller tracts and sold to smaller landholders. Al Smith, benefactor of the Swanton Pacific Ranch, took ownership of the area in the late 1940s. Agricultural land uses during this time included beef and dairy cattle, flowers, and Brussels sprouts, artichokes and other row crops. Clear-cutting of the forested areas occurred in the 1920s followed 30 years later by high-grading in the 1950s. The construction of dams and the divvying up of water rights were essential to the development of many of these land uses.

The Valencia Creek property was added to the largest land grant in Santa Cruz County, the Rancho Soquel, in 1844. This rancho was granted to Martina Castro and later patented to her in 1860. In the early 1900s, this tract was clear-cut. The resultant stand became second-growth Coastal redwood-Douglas-fir with some areas of tanoak and brush. At least two re-entries of selection harvest took place in the 1960s and 1970s under ownership prior to Al Smith (who purchased the tract in 1980). The NTMP was approved in 2001 for the Valencia Creek Division and SPR performed a selection harvest in 2002-2003.

Al Smith purchased the parcels that eventually became Swanton Pacific Ranch over a 40-year period. Al Smith led a very active life and was the founder and original owner of Orchard Supply Hardware, which he and his family sold in the 1970s. Mr. Smith emphasized how important Cal Poly's "learning by doing" philosophy was instrumental in his personal and professional development. He donated most of his assets, including Swanton Pacific Ranch and its original endowment, to Cal Poly.

Currently at SPR rangeland management, organic agriculture, forestry, water management and monitoring, research, and hunting are all regulated activities.

1.3.2 Partial Certification – Land outside Scope of Certification

All of SPR's forested lands are included in the scope of its FSC certification.

1.4 Management Plan

1.4.1 Management Objectives

From the 2004 Draft Management Plan:

2.1. Donor's Vision

Al Smith, the donor of Swanton Pacific Ranch, wished to maintain Swanton Pacific Ranch "intact and natural, a lab and a classroom for the College of Agriculture for 'Learn by Doing' forever". He had the vision of acquiring as much of the land contained in the original Agua Puerca y Las Trancas land grant as possible. He wanted the property to remain as open space, the railroad to be maintained intact and available to the public and the remaining large redwoods, including the tree known as General Smith, left untouched.

2.2. CAGR Cal Poly College of Agriculture Vision

To provide Cal Poly students, staff, faculty, and the general public a unique interdisciplinary environment in which to live and learn. To foster the 'learn by doing' philosophy by providing learning experiences on a working ranch with diversified agricultural and forest resources.

2.3. Swanton Pacific Ranch Vision

- 1. To foster Al Smith's vision and Cal Poly's "learn by doing" philosophy by providing collaborative, interdisciplinary, and technology-mediated learning experiences on a working ranch with diversified agricultural and natural resources in California's coastal region.*
- 2. To provide Cal Poly students, staff, faculty, and the general public with a unique interdisciplinary environment in which to live and learn.*
- 3. To explore such interdisciplinary areas as: experimental agriculture; agri-Tourism; environmentally conscious architectural design and construction; sustainable uses of the land; and environmental, conservation and ecology studies.*
- 4. To offer educational programs that emphasize pedagogies and formats appropriate to Cal Poly's commitment to active and applied learning.*
- 5. To provide an opportunity for residential living/learning, co-curricular learning, and participation in applied research projects and community service activities.*
- 6. To assist and guide the University in its realization of the goal to develop a comprehensive environmental vision through teaching environmental literacy and protecting the environmental quality of the Ranch.*

2.3.1. Ranch Projects' Goals

The following are general goals for each of the principal activities at Swanton Pacific Ranch:

Education

To expand the present educational facilities and curriculum so as to offer additional 'learn by doing' experiences including 'learning by living' at Swanton Pacific Ranch

Agriculture

To foster healthy crop production with minimal cost and artificial inputs

Forestry

To develop and demonstrate uneven-aged forest management and sustainable yields

Grassland

To improve the grassland and the water supply, resulting in a sustainable rangeland that supports biodiversity and protects the natural habitat for animals and plants

Natural Habitat Management

To protect and enhance the natural functions and diversity of the varied ranch ecosystems
The Swanton Pacific Railroad Society

To preserve, protect, and expand the Swanton Pacific Railroad

2.3.2. Ranch Specific Goals

The College of Agriculture, Food and Environmental Sciences (CAFES) is responsible for deciding the future specific goals of Swanton Pacific Ranch with input from the Ranch Director. The overall management plans and annual budgets are approved by the Cal Poly Foundation Board of Directors.

Facilities Expansion

It is planned to develop an institute that supports the educational and research opportunities at Swanton Pacific Ranch. This will require expansion of the facilities so that up to 24 students at a time can be accommodated, as well as interns, research students, Ranch staff and visiting faculty.

Field Study Term Program

The Forest and Natural Resources (FNR) department will offer the field study term program for a quarter each year once the existing facilities have been remodeled to accommodate the students.

Upgrade of Existing Infrastructure

All residences, except Al Smith's House and the Staub House, have potable water from a filtration system. The Al Smith House and the Staub House should have potable water in the near future. The Al Smith House has high speed internet after a cable was installed along Swanton Road. The Staub house is likely to have high speed internet next year. Repairs and remodels on all buildings will be implemented as time and resources permit.

Sustainable Agriculture

Continue leasing the majority of crop fields to an approved organic operation with whom students can participate and learn. Offer other learning opportunities through apple, Christmas trees, hay and pumpkin crops that are not labor-intensive and offer both economic returns and a diversity of learning.

Timber Harvesting

Integrate Valencia Creek's forest harvest plans with Swanton's to provide students with ongoing opportunities in all aspects of forest timberland management. Maintain forest certification through the Forest Stewardship Council (FSC) to improve financial returns and demonstrate sustainable practices.

Enterprise Projects

Offer opportunities for students to participate in enterprise projects in a variety of existing and potential Ranch activities. Existing enterprise projects include the Stocker Enterprise, Natural Beef Enterprise and Christmas Tree Enterprise.

Scotts Creek Watershed

Cal Poly Foundation and Swanton Pacific Ranch are committed to protecting the Scotts Creek Watershed. The Ranch plans to continue hosting Watershed Council meetings and to

participate in implementing actions recommended in the Scotts Creek Watershed Roads and Landslide Inventory (SCWC, 2000) and the Scotts Creek Watershed Assessment (SCWC, 2003). Representatives of the Ranch will also assist in the educational and cooperative efforts of the Council to ensure long-term viability of the area.

Queseria Creek Restoration Project

Restore the hydrological functioning and riparian habitat of the Queseria Creek to avoid flood damage and improve riparian habitat for salmonids and other pertinent species.

Scotts Creek Marsh

Explore the potential of restoring the hydrological functioning of the marsh in conjunction with the rebuilding of the Highway 1 bridge by CalTrans. Work with other interested stakeholders to obtain funding and permits for the proposed modifications.

2.4. Project Action Plan

In addition to the general goals of the property, the various elements of the Management Plan contains a summary of goals in the form of recommended specific actions.

These shall be designated as either ongoing or with a specific time period as follows:

- 0 - Ongoing maintenance action*
- 1 - Action desired within the next 2 years*
- 2 - Action desired in the next 2 - 5 years*
- 3 - Action desirable when resources are available.*

These specific actions provide a management basis that can be reviewed and modified as needed. They are developed by the project leaders and a time frame identified based on budget allocations and the time available by Ranch staff. They are summarized both in the beginning of each relevant section and on the summary of actions spreadsheet. The five-year summary of actions plan identifies in more detail the year in which these actions are to be implemented and also who is to be involved for approximately how many hours and how much money each action will cost.

1.4.2 Forest Composition

The main tree species on SPR and the Valencia property are Coast redwood, Douglas-fir and mixed hardwood with a predominance of live oak and tanoak. The majority of all the forestlands were clear-cut at the turn of the century, creating an even-aged 100 year old forest. Curiously, due to its central location on a bio-geographical scale, SPR contains sites on which Monterey pine is considered either exotic or native. Monterey pine was planted on sites of SPR where it does not occur naturally in the late 1970s and 1980s using seed stock from New Zealand. Many of the native stands suffer from pitch canker.

The species component of the forest tends to change with elevation and soil moisture content, with Coastal redwood being most prevalent closer to the valleys, changing to a greater preponderance of Douglas-fir mid-slope and Monterey pine and Tanoak predominately on ridges and other dry sites.

1.4.3 Silvicultural Systems

As has been the long-term norm for this region (pursuant to forest practice regulations), SPR practices selection silviculture that results in continuous forest cover. Harvest prescriptions are normally oriented towards sanitation and salvage activities designed to capture mortality and to improve the health of timber stands. As the extent of mortality and inferior trees within a stand decreases from successive entries, the harvest orientations turn more towards spacing and concentration of growth on the best phenotypes of the desired species. Unless dictated by inordinate mortality, the SPR selection harvest entries are planned to occur on 10-15 year intervals within a given stand. Eventual stand conversion to uneven-aged management is planned to occur between 30 to 50 years.

Where naturally occurring, Monterey pines are managed to improve the vigor of the remaining stock while removing trees affected by pitch canker and creating regeneration openings for more resistant varieties to seed in. On sites where Monterey pine was planted outside of its natural range, it is removed to the extent possible to promote the growth and regeneration of native tree species. Hardwoods are managed for firewood production or controlled with spot herbicide when a certain species composition is desired.

1.4.4 Management Systems

Whenever possible, SPR bases its management on watershed divisions. The conifer area is divided into three management units: the Little Creek Unit, the Scotts Creek unit and the Satellite Stands. The Valencia property is divided into three units, with Unit 1 having 213 acres, Unit 2 having 254 acres and Unit 3 with 37 acres. A Non-Industrial Timber Management Plan (NTMP) was approved for Valencia Creek in June 2001 and another for the SPR forested areas was approved in June 2008.

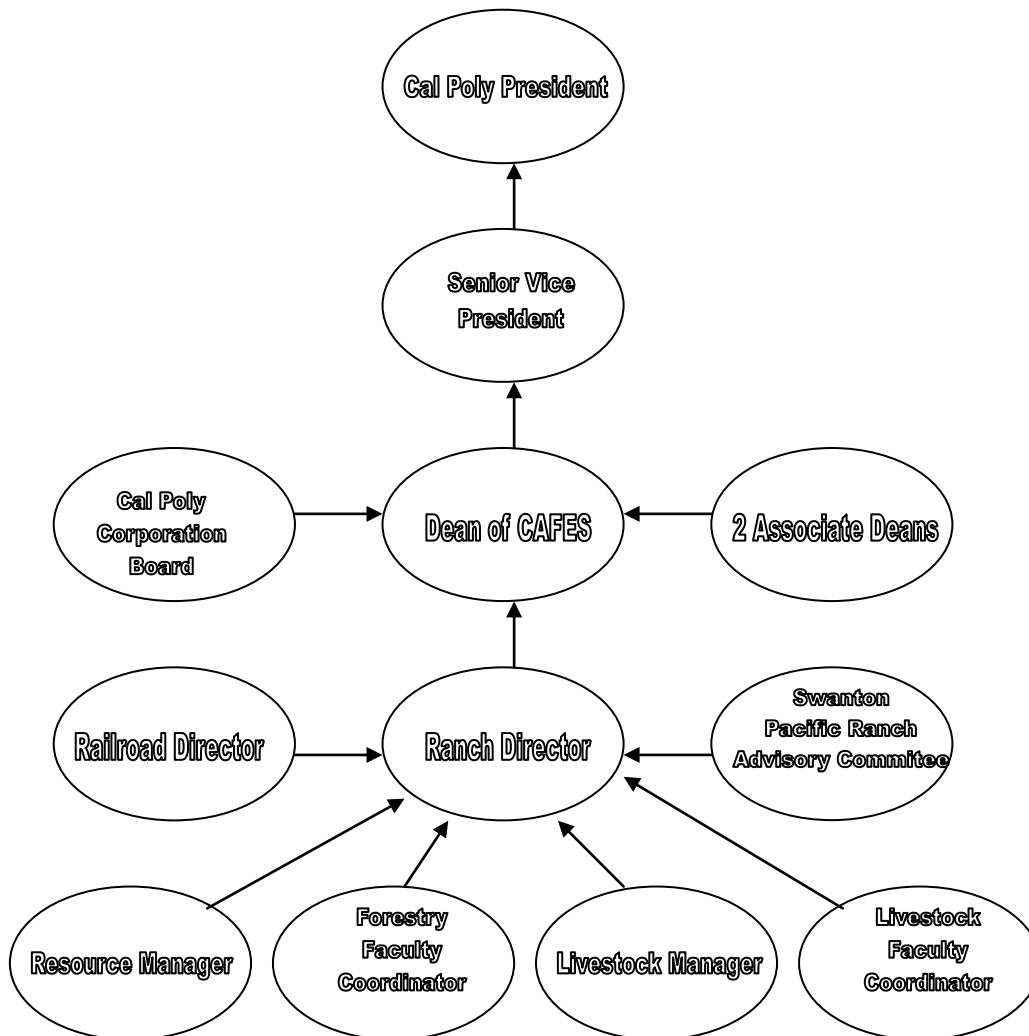
SPR's division of responsibilities is detailed in the organizational chart on the next page (Fig. 1). SPR's Director is responsible for planning the educational curriculum, supervising special projects, senior projects, and intern activities. The Resource Manager and Livestock Manager propose projects to the director, in consultation with the appropriate faculty coordinator. This budget is reviewed and approved by the Director before being approved by the Dean of Agriculture and the Cal Poly Corporation Board. SPR's planning is coordinated by the Director and the Director reports program activities to the Dean of the College of Agriculture who in turn advises the Senior Vice President who advises the President of the college.

The SPR advisory committee is made up of Cal Poly faculty within the College of Agriculture, Food and Environmental Sciences (CAFES). This entity acts as a positive

attribute to supplying valued opinions on a variety of different issues that Swanton Pacific Ranch encounters in its land management.

The Forestry Program relies on outside services for timber harvest planning, road maintenance, harvesting operations, and reforestation. The Resource Manager administers contracts and supervises the projects they are assigned. SPR most recently collaborated with Big Creek Lumber Company on its NTMP including significant upgrades to the forest road in Little Creek. SPR employs contractors for forest unit measurements, vehicle and equipment repairs, construction, and geological and botanical surveys. Provisional/seasonal labor is used on an as-needed basis and paid hourly and must meet federal/local wage requirements. SPR has an intern program that provides students with hands-on experience in forestry, ranching, farming, resource management, and research projects.

Figure 1. Organizational Chart for Ranch Operations



1.4.5 Monitoring System

SPR’s monitoring program includes an extensive network of flumes for water quality assessment and paired watershed studies, in addition to Salmonid recovery monitoring in cooperation with NOAA. Under the NTMP, SPR is required to monitor habitat for a number of protected species, including the California red-legged frog and Marbled Murrelet.

SPR monitors forest growth dynamics and regeneration using a continuous forest inventory (CFI) system consisting of permanent plots. Road monitoring occurs frequently, especially after rain events. SPR also performs environmental impact assessments of harvesting and

other management activities, monitoring of flora and fauna compositional changes, and an evaluation of timber harvest yield, cost and revenue. Students and other researchers are responsible for a myriad of research and monitoring activities, including riparian zone restoration/ rehabilitation, herbicide application, Sudden Oak Death, Pitch Canker resistance, rare plant communities, and the effects of selective silvicultural systems on streams.

In addition to the advisory committee, the NTMP process provides a mechanism for public input and comment on SPR's forest management activities. However, SPR lacks a cohesive initiative for performing social impact assessments and monitoring. See CAR 2009.3

1.4.6 Estimate of Maximum Sustainable Yield

As previously mentioned, the area of active timber management on SPR is divided into three units. Additionally, the Valencia property is regulated as its own unit. On the Valencia property growth rates over the last 20 years, were 636 and 391 board feet per acre per year for units 1 and 2, respectively. To meet the SPR goal of increased growth, harvesting will remain below 80% of growth for the Valencia property. SPR uses two types of inventory for sustained yield analysis: a continuous forest inventory (CFI) and cluster plots. CFI is an intense sampling method employing fixed plots for re-measurement of the forest every 10 years. CFI was conducted by Bonner (31 plots) and Andersen (79 plots) in 1997 and 2003, respectively, on the SPR units. SPR uses less intensive cluster plots to supplement sampling for silvicultural prescriptions of harvesting and timber inventory. Most recently, Haupt (2006) and Gilbert and McClung (2007) conducted cluster plots measuring over 30 plots each. Based on stand typing, sampling, and growth projections, the SPR units will be harvested every 10-20 years. Each entry will harvest approximately 30% of the standing volume based on CFI measurements. Updates to the sustained yield analysis will occur in conjunction with CFI cycle. The 2007 estimate of redwood on the SPR units is 32,763 bf/ac of redwood and Douglas-fir.

1.4.7 Estimated, Current and Projected Production

The CFI and cluster plot system cited in SPR's NTMP (2008) provide the raw data for input into estimated current and projected volumes. SPR also tallies harvested timber. For example, harvests on the Little Creek Unit in 1990-91 and 1993-95 yielded a total of 3.0 million bf.

On SPR units, two projection cycles were calculated: one from 2007-2022 and another from 2022-2037. Most stands are modeled on 15 year harvest reentry cycles, with the exception of the RW IV stand, which has a 20 year cycle. Estimated annual growth rates for redwood and Douglas-fir on SPR is 1,007.9 bf/ac for stand RW III, 1,111.6 bf/ac for RW II, 864.7 bf/ac for RW IV, 257.8 bf/ac for the DF stand, and finally 224.2 bf/ac for the DF HW stand. The total available harvest of all of these stands is approximately 12,000 bf/ac per harvest based on current CFI data that is updated every 10 years..

On the Valencia Creek Property the NTMP estimated growth rates in Unit 1 to be 636 bf/ac and a 15-year cutting cycle would allow 2,030,750 bf for the unit. For Unit 2 the estimated

growth rate is 391 bf/ac and the 15-year cutting cycle would allow 1,489,238 bf for the unit.

Further details growth, volume and harvest projections can be found in the SPR and Valencia NTMPs.

1.4.8 Chemical Pesticide Use

SPR occasionally uses chemical herbicides to control Tanoak in sites where it has the potential to outcompete conifer regeneration. Chemicals are applied by hand.

See Recommendation 2009.4.

1.5 SLIMF Qualifications

Under FSC rules, a forest management operation is eligible to be a SLIMF based on size or a low intensity harvest rate. In the United States of America, the threshold size for SLIMFs under FSC rules is 1,000 ha, or approximately 2,471 acres. SPR is approximately 2,100 acres of forest land and thus qualifies under the size-limit rule.

2.0 GUIDELINES/STANDARDS EMPLOYED

As SPR is located in Central California, the certification evaluation was conducted against the Pacific Coast Regional FSC Standard, Version 9.0, as approved on May 9, 2005. The standard is available at the FSC-US web site (<http://www.fscus.org/documents/>) or is available, upon request, from Scientific Certification Systems (www.scscertified.com).

3.0 THE CERTIFICATION ASSESSMENT PROCESS

3.1 Assessment Dates

The field and office audit took place March 18-19, 2009 on location at SPR and Valencia Creek.

Preliminary Evaluation:

As this was a 5-year re-evaluation, no preliminary evaluation was conducted.

Main Evaluation:

3.2 Assessment Team

Dr. Robert J. Hrubes, Ph.D. – Lead auditor, Scientific Certification Systems. Dr. Hrubes is a California registered professional forester (#2228) and forest economist with over 30 years of professional experience in both public and public forest management issues. He is the

principal architect of the SCS Forest Conservation Program, accredited by the Forest Stewardship Council since 1995. He is currently Senior Vice-President of Scientific Certification Systems. Dr. Hrubes has served as lead auditor for a large number of SCS Forest Conservation Program certification evaluations of North American public forests, industrial forest ownerships and non-industrial forests, as well as operations in Scandinavia, Chile, Brazil, Papua New Guinea, Japan, Malaysia, Australia and New Zealand. Dr. Hrubes holds graduate degrees in forest economics, economics and resource systems management from the University of California-Berkeley and the University of Michigan. His professional forestry degree (B.S.F. with double major in Outdoor Recreation) was awarded from Iowa State University.

Kyle Meister, M.F. – Assistant auditor, Scientific Certification Systems. Mr. Meister is a Certification Forester with Scientific Certification Systems. Recent audits include the Mendocino Redwood Company's Resource Manager Program, Michigan DNR, Trout Mountain Forestry, Collins-Lakeview, Humboldt Redwood Company, Los Olivos y Otros, and Fort Lewis. He holds a B.S. in Natural Resource Ecology and Management and a B.A. in Spanish from the University of Michigan. He recently completed a Master of Forestry degree at the Yale School of Forestry and Environmental Studies. He has experience as an environmental educator and natural resource consultant in the U.S., Mexico, Ecuador, Costa Rica, and Colombia.

3.3 Assessment Process

3.3.1 Itinerary

March 18, 2009 – Office

On the first day, the SCS auditors met with management staff from SPR and their contracted RPF from Big Creek Lumber Company to finalize the itinerary and do the office portion of the audit. The auditors selected various stakeholders to contact later on.

SPR staff reviewed the NTMP for the SPR units and presented a summary of educational activities that occurred in 2008, as well as an overview of SPR's management philosophy and objectives.

March 18, 2009 – Field

Lower Little Creek Unit

- Bridge removal site – educational video for road decommissioning
- Various road repairs and upgrades – extensive amounts of rock laid and retention systems put in place.
- Old Boy Scout Camp – Class I Stream with Steelhead and Coho habitat; explanation of flume network (good pre-harvest data from 2001 onward).
- Monitoring – photo points, flumes, rain gauges, botanical study of UC-SC, NOAA fish traps, Mountain Lion GPS collars, Marbles Murrelet surveys, LiDAR and groundtruthing study, rare plant/floristic survey, forest health, CFI

- Timber Harvest – Northfork – 2008 selection harvest with retention of Douglas-fir, Redwood, Tanoak, Madrone, and snags. Very minimal stand damage. Goal was to reduce Tanoak competition. Supplementary understory planting of Redwood.
- Timber Harvest – Tranquility Flats – road repair, culvert installation, Class II watercourse with facultative wetland plants, 4 permanently retained trees for cultural values. Selection harvest with yarding operation. Erosion control on landings and roads was good (i.e., utilization of rock, slash, seed and straw as appropriate)

3/19/2009 – Field

Valencia Unit

- French broom controlled w/ mowing
- SPR staff mentioned that timber harvest schedule here needs to be updated.
- Past issues with illicit activity on property – SPR has involved local law enforcement and repaired damaged gates.

3/19/2009 – Office

Stakeholder consultation

Exit meeting with SPR and issuance of preliminary CARs and recommendations.

3.3.5 Stakeholder Consultation

Pursuant to SCS protocols, consultations with key stakeholders were an integral component of the evaluation process. Consultation took place prior to, concurrent with, and following the field audit. The following were distinct purposes to the consultations:

- To solicit input from affected parties as to the strengths and weaknesses of Cal Poly’s management of the Swanton Pacific Ranch and Valencia forests, relative to the FSC Pacific Coast Regional Standard, and the nature of the interaction between the University’s forest managers and the surrounding communities.
- To solicit input on whether the forest management operation has consulted with stakeholders regarding identifying any high conservation value forests.

Principal stakeholder groups of relevance to this evaluation were identified based upon results from the scoping evaluation (if applicable), lists of stakeholders provided by Swanton forest managers, and additional stakeholder contacts from other sources (e.g., chair of the regional FSC working group).

Prior to the field work, a public notice was widely distributed in which stakeholder comments were solicited. As with many FSC certification projects, the response elicited from the email notification was small. Prior to, during, and following the site evaluation, a cross-section of stakeholders from the regional area were consulted in regard to their relationship with the Swanton forest managers, and their views on the management of the Swanton Ranch and Valencia forested properties. Stakeholders included FSC contact persons, state regulatory personnel involved in non-federal forest

management in California, local citizens and groups, and employees.

3.3.5.1 Summary of Stakeholder Concerns and Perspectives and Responses from the Team Where Applicable

Below is summary of the comments (observations, commendations, concerns) expressed by the stakeholders that were consulted during the course of this evaluation.

Economic Concerns

Comment/Concern	Response
<ul style="list-style-type: none"> Lumber markets are poor right now, so we have not been buying as much timber as in past years. 	<p>Cal Poly harvesting is intermittent and not driven by a financial imperative; as such, reduced demand for timber in the regional market, due to the global downturn in the economy, does stress the managers' commitment to adhering to the management plan.</p>

Social Concerns

Comment/Concern	Response
<ul style="list-style-type: none"> Key stakeholders should have better opportunities to provide input into management planning on the Swanton Ranch 	<p>FSC standards emphasis opportunities for stakeholder input and the Swanton managers have initiated discussions with interested stakeholders to assure that opportunities for input are being provided.</p>
<ul style="list-style-type: none"> Swanton personnel, including consulting foresters, are very helpful and easy to work with on state forest practice regulatory matters 	<p>Noted</p>

Environmental Concerns

Comment/Concern	Response
<ul style="list-style-type: none"> There is a risk of flooding and landslides at the bottom of Little Creek, as evidenced by the flood event back in the 1950's 	<p>Based upon our assessment of management activities in the lower Little Creek watershed, we concluded that Swanton managers are not taking actions that increase the risk of flooding and landslides</p>
<ul style="list-style-type: none"> Swanton Ranch management practices may be threatening old growth resources 	<p>We have looked into this concern and determined that Swanton forest management practices are in full conformance with the old growth management requirements found in the Pacific Coast Regional Standard</p>
<ul style="list-style-type: none"> Swanton forest managers and their consulting foresters demonstrate an exemplary sensitivity to water quality considerations 	<p>Noted</p>
<ul style="list-style-type: none"> Very high quality maps are generated and submitted to agency personnel for review purposes 	<p>Noted</p>
<ul style="list-style-type: none"> Data on the area of impact associated with the road and skid trail system on the property is not as robust as it could be 	<p>Swanton managers are aware of this particular stakeholder perspective and are in active dialogue with this individual. From a certification standpoint, we are satisfied that Swanton managers are pursuing this issue in an appropriate manner</p>

<ul style="list-style-type: none"> • There is a lack of clear goals and inventory information regarding large woody debris within the forest. 	See REC 2009.3
<ul style="list-style-type: none"> • There is an opportunity for Swanton managers to take the lead in initiating a greater level of multi-ownership planning coordination. 	This suggestion has been forwarded onto Swanton managers.

3.4 Total Time Spent on audit

Approximately 4.5 auditor days were spent in the field and office portions of the audit and 3 days spent writing and reviewing the report.

3.5 Process of Determining Conformance

FSC accredited forest stewardship standards consist of a three-level hierarchy, principle, then the criteria that make up that principle, then the indicators that make up each criteria. Consistent with SCS Forest Conservation Program evaluation protocols, the team collectively determines whether or not the subject forest management operation is in conformance with every applicable indicator of the relevant forest stewardship standard. Each non-conformance must be evaluated to determine whether it constitutes a major or minor non-conformance at the level of the associated criterion or sub-criterion. Not all indicators are equally important, and there is no simple numerical formula to determine whether an operation is in non-conformance. The team must use their collective judgment to assess each criterion and indicator to determine if it is in conformance. If the forest management operation is determined to be in non-conformance at the criterion level, then at least one of the indicators must be in major non-conformance.

Corrective action requests (CAR's) are issued for every instance of non-conformance. Major non-conformances trigger major CAR's and minor non-conformances trigger minor CAR's

Interpretations of Major CAR's (Preconditions), Minor CARs and Recommendations

Major CARs/Preconditions: Major non-conformances, either alone or in combination with non-conformances of other indicators, result (or are likely to result) in a fundamental failure to achieve the objectives of the relevant FSC Criterion given the uniqueness and fragility of each forest resource. These are corrective actions that must be resolved or closed out prior to award of the certificate. If major CAR's arise after an operation is certified, the timeframe for correcting these non-conformances is typically shorter than for minor CAR's. Certification is contingent on the certified operations response to the CAR within the stipulated time frame.

Minor CARs: These are corrective action requests in response to minor non-conformances, which are typically limited in scale or can be characterized as an unusual lapse in the system. Corrective actions must be closed out within a specified time period of award of the certificate.

Recommendations: These are suggestions that the audit team concludes would help the company move even further towards exemplary status. Action on the recommendations is voluntary and does not affect the maintenance of the certificate. Recommendations can be changed to CARs if performance with respect to the criterion triggering the recommendation falls into non-conformance.

4.0 RESULTS OF THE EVALUATION

Table 4.1 below, contains the evaluation team's findings as to the strengths and weaknesses of the subject forest management operation relative to the FSC Principles of forest stewardship. The table also presents the corrective action request (car) numbers related to each principle.

Table 4.1 Notable strengths and weaknesses of the forest management enterprise relative to the P&C

Principle/Subject Area	Strengths Relative to the Standard	Weaknesses Relative to the Standard	CAR/REC #s
P1: FSC Commitment and Legal Compliance	<ul style="list-style-type: none"> ▪ The development of the NTMP demonstrates SPR's commitment to compliance with laws ▪ Most of SPRs documents are available to the public 	<ul style="list-style-type: none"> ▪ SPR has not conducted an analysis of applicable international agreements to its forest management. 	<ul style="list-style-type: none"> ▪ CAR 2009.1
P2: Tenure & Use Rights & Responsibilities	<ul style="list-style-type: none"> ▪ SPR describes the land use history and land rights in detail in its management plan. ▪ SPR regularly consults with its neighbors 	<ul style="list-style-type: none"> ▪ SPR could improve its stakeholder conflict resolution process. 	<ul style="list-style-type: none"> ▪ CAR 2009.2
P3: Indigenous Peoples' Rights	<ul style="list-style-type: none"> ▪ The NTMP process ensures much consultation with local American Indian tribes. ▪ SPR keeps archeological site confidential 	<ul style="list-style-type: none"> ▪ SPR could engage in more outreach to local American Indian tribes to work collaboratively. 	<ul style="list-style-type: none"> ▪ REC 2009.1
P4: Community Relations & Workers' Rights	<ul style="list-style-type: none"> ▪ SPR employs many local workers and contractors. ▪ SPR offers many educational opportunities for students and community members. 	<ul style="list-style-type: none"> ▪ SPR lacks a social impact assessment. 	<ul style="list-style-type: none"> ▪ CAR 2009.3
P5: Benefits from the Forest	<ul style="list-style-type: none"> ▪ Utilization and forestry operations are carried out in near textbook-style fashion. ▪ SPR's wood is bought and sold locally. ▪ SPR realizes the benefit of non-economic uses of its forest. 	<ul style="list-style-type: none"> ▪ Objectives for snags and woody debris retention have not been defined for the entire property. 	<ul style="list-style-type: none"> ▪ REC 2009.2, REC 2009.3

P6: Environmental Impact	<ul style="list-style-type: none"> ▪ SPR environmental impact assessments and mitigation efforts remain strong and steady. ▪ SPR's care of its roads reduces impacts to streams and soils. 	<ul style="list-style-type: none"> ▪ SPR could improve its regional collaboration efforts in identifying representative samples of existing ecosystems. ▪ SPR could consult the FSC pesticide guidance policy to better integrate its strategy for the use of chemical herbicides in its management activities. 	<ul style="list-style-type: none"> ▪ CAR 2009.4, REC 2009.4, REC 2009.5
P7: Management Plan	<ul style="list-style-type: none"> ▪ SPR has a publically available management plan. ▪ SPR's management plan is highly informative and presents clear objectives. 	<ul style="list-style-type: none"> ▪ SPR's management plan is still in draft form. 	<ul style="list-style-type: none"> ▪ REC 2009.6
P8: Monitoring & Assessment	<ul style="list-style-type: none"> ▪ SPR engages in a number of monitoring activities, including water courses and forest inventory. ▪ Student and faculty research is often treated as monitoring and considered in the management plan. 	<ul style="list-style-type: none"> ▪ SPR does not yet have a written chain of custody strategy should it ever wish to sell its own products. ▪ SPR does not have a formal mechanism for receiving public comment. 	<ul style="list-style-type: none"> ▪ CAR 2009.3, REC 2009.1
P9: Maintenance of High Conservation Value Forest	<ul style="list-style-type: none"> ▪ SPR's HCV assessment involved several local and federal agencies. ▪ For a small landowner, SPR has much of its land in HCV status. ▪ SPR HCV assessment was coordinated with an interdisciplinary team. 	<ul style="list-style-type: none"> ▪ The HCV document does not describe the nature of how conservation efforts were coordinated with other forest managers of HCVPs. 	<ul style="list-style-type: none"> ▪ None

4.2 Preconditions

Preconditions are major corrective action requests that are placed on a forest management operation after the initial evaluation and before the operation is certified. Certification cannot be awarded if open preconditions exist.

No preconditions were placed on SPR during the re-certification evaluation.

5.0 CERTIFICATION DECISION

5.1 Certification Recommendation

As determined by the full and proper execution of the SCS *Forest Conservation Program* evaluation protocols, the evaluation team hereby recommends that SPR be awarded FSC certification as a “Well-Managed Forest” subject to the corrective action requests stated in Section 5.2. SPR has demonstrated that their system of management is capable of ensuring that all of the requirements of the Pacific Coast Regional Standard, Version 9.0, are met over the forest area covered by the scope of the evaluation. SPR has also demonstrated that the described system of management is being implemented consistently over the forest area covered by the scope of the certificate.

5.2 Initial Corrective Action Requests

Background/Justification: While there is no evidence that SPR is in non-compliance with U.S. government ratified treaties and international agreements, SPR has not conducted an analysis of all applicable agreements to its forest and ecosystem management.	
CAR 2009.1	SPR must conduct an analysis of treaties and other international agreements that are relevant to its forest and ecosystem management operations.
Deadline	Annual Audit 2010
Reference	<i>FSC Indicator 1.3.a</i>

Background/Justification: SPR did not inform certifier of a dispute with a landowner in the 80 acre timber easement parcel.	
CAR 2009.2	SPR must develop policy and/or procedure of informing the certifier of disputes over tenure and use rights and keeping the certifier updated on any resolutions or agreements that have been made.
Deadline	Annual Audit 2010
Reference	<i>FSC Indicator 2.3.b</i>

Background/Justification: SPR conducts many monitoring activities and shares this information with researchers, government agencies, and the public through its educational programs. However, a public summary of SPR’s monitoring activities is not yet available. SPR also lacks a centralized, formal mechanism to carry out social impact	
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assessments and incorporate the results into planning and operations.	
CAR 2009.3	<p>SPR shall maintain a registry of public comments and document any concerns provided from interested parties. These comments and concerns shall be addressed in management plans and operations.</p> <p>SPR shall develop a comprehensive public summary of its monitoring program, incorporating the elements detailed in criterion 8.2.d.</p>
Deadline	Annual Audit 2010
Reference	<i>FSC Indicators 4.4.b, 8.2.d, and 8.5.a</i>

Background/Justification: SPR's floristic survey and analysis and assessment of protected areas on its land go above and beyond what most landowners in the Central California region are doing. However, SPR has not conducted a regional analysis of the adequacy of representation of their forest types in protected areas across the landscape.	
CAR 2009.4	SPR shall conduct a regional analysis per indicator 6.4.a., including collaboration with relevant state natural heritage programs, public agencies and other groups as detailed in the indicator.
Deadline	Annual Audit 2010
Reference	<i>FSC Indicator 6.4.a and 6.4.b</i>

Background/Justification: The California Forest Practice Rules provide many opportunities for notification of local indigenous tribes on archaeological issues and SPR has been exemplary in its outreach efforts to local indigenous communities. There is an opportunity, however, to seek participation of tribal representatives in planning management operations that affect American Indian resources.	
REC 2009.1	SPR should engage in more affirmative outreach to local indigenous tribes to develop plans for the management and protection of American Indian resources on SPR lands.
Reference	<i>FSC Indicators 3.2.a., 3.3.b, and 8.2.d.5</i>

Background/Justification: The auditors observed severe girdling damage caused by mounting cables onto a tree in a yarding operation. Upon consultation with SPR and the Big Creek Lumber Co. forester, the auditors discovered that it was the only one which straps were not used.	
REC 2009.2	SPR should ensure greater consistency in use of straps in yarding operations to protect anchor trees.
Reference	<i>FSC Indicator 5.3.b</i>

Background/Justification: SPR does retain woody debris of various types, but has no targets for woody debris retention.	
REC 2009.3	SPR should develop targets and guidelines for the retention and recruitment of snags, cavity trees, and downed woody debris throughout the property. This is a restatement of REC 2003.5.
Reference	<i>FSC Indicator 5.3.c</i>

Background/Justification: SPR practices a high level of diligence in identifying old growth trees and stands, for which there is little- if any- chance of them cutting an old growth tree. Current guidelines on old growth management are located at various points in the management plan, however. Mendocino Redwood Company's old growth policy could be a good reference. See also REC 2003.4.	
REC 2009.4	SPR should develop a more formal policy on old growth trees.
Reference	<i>FSC Indicator 6.3.d.3</i>

Background/Justification: SPR uses mechanical control of invasive species on the Valencia property. However, in the SPR NTMP, herbicide use is allowed as a control method for invasive species as long as it is in compliance with local laws and FSC P&C.	
REC 2009.5	SPR should consult current FSC guidelines on chemical herbicide and pesticide use before using them in operations.
Reference	<i>FSC Indicator 6.6.a and 6.9.b</i>

Background/Justification: SPR's management plan has been a working draft since 2004.	
REC 2009.6	SPR should finalize the draft management plan.
Reference	<i>FSC Criterion 7.1</i>

6.0 SURVEILLANCE EVALUATIONS

If certification is awarded, surveillance evaluations will take place at least annually to monitor the status of any open corrective action requests and review the continued conformance of SPR to the Pacific Coast Standard, Version 9.0, as approved on May 9, 2005. Public summaries of surveillance evaluations will be posted separately on the SCS website (www.scscertified.com).

6.1. 2010 Annual Audit

6.1.1 Annual Audit Team

Dr. Robert J. Hrubes, Ph.D. – Lead auditor, Scientific Certification Systems. Dr. Hrubes is a California registered professional forester (#2228) and forest economist with over 30 years of professional experience in both public and public forest management issues. He is the principal architect of the SCS Forest Conservation Program, accredited by the Forest Stewardship Council since 1995. He is currently Senior Vice-President of Scientific Certification Systems. Dr. Hrubes has served as lead auditor for a large number of SCS Forest Conservation Program certification evaluations of North American public forests, industrial forest ownerships and non-industrial forests, as well as operations in Scandinavia, Chile, Brazil, Papua New Guinea, Japan, Malaysia, Australia and New Zealand. Dr. Hrubes holds graduate degrees in forest economics, economics and resource systems management from the University of California-Berkeley and the University of Michigan. His professional forestry degree (B.S.F. with double major in Outdoor Recreation) was awarded from Iowa State University.

Liz Forwand, M.F. – Auditor trainee, Scientific Certification Systems. Ms. Forwand is a Program Associate in the LegalHarvest program with Scientific Certification Systems. She holds a B.A. in Human Biology from Stanford University, and Masters of Environmental Management and Masters of Forestry degrees from Duke University's

Nicholas School of Earth and Environmental Science. She has experience in rural land use planning and community based environmental management in Colorado and Montana, and has worked in forest certification and sustainable agriculture in Indonesia.

6.1.2 Total auditor time spent on evaluation

A. Number of days spent on-site assessing the applicant:	1
B. Number of auditors participating in on-site evaluation:	2
C. Additional days spent on stakeholder consultation, document review, audit planning, etc.:	1
D. Total number of person days used in evaluation:	3
(Line D = (Total number of days in Line A x Total number of auditors from Line B) + additional days from Line C.	

6.1.3 Standards Employed

Box 1.3.1. – Applicable FSC-Accredited Standards		
Title	Version	Date of Finalization
Revised Final Pacific Coast (USSA) Regional FSC Standard	V9-0	5 – May – 2005
All standards employed are available on the websites of FSC International (www.fsc.org), the FSC-US (www.fscus.org) or the SCS Forest Conservation Program homepage (www.scscertified.com/forestry). Standards are also available, upon request, from Scientific Certification Systems (www.scscertified.com).		

6.1.4 Annual Audit Dates and Activities

Annual Audit Itinerary and Activities

Date	FMU/Location/ sites visited	Activities/ notes
5/27/10	Al Smith House	<ul style="list-style-type: none"> • Opening meeting • Overview of events/activities since the last audit, including Lockheed fire • Review of SPR response to 2009 CARs and RECs
5/27/10	Field: landing sites 11 and 12, French broom management area and Hill Slope study area	<ul style="list-style-type: none"> • Reconnaissance of high intensity burn area and salvage logging in Hill Slope Study area • Review and inspection of planned French broom management activities

5/27/10	Al Smith House	<ul style="list-style-type: none"> • Auditor deliberations • Closing meeting; disposition of active CARs
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6.1.5 Changes in Management Practices

The most significant change in management that has occurred at Swanton Pacific Ranch since the last audit was the salvage logging operation instigated by the 2009 Lockheed fire. The fire began on August 12, and burned in total just over 7,800 acres across several ownerships; most of the SPR’s forested acres east of Swanton Road were burned at varying degrees of intensity. The fire spread via strong NE winds; 92% of the Little Creek watershed burned, with NE oriented hill slopes, drainages and ridge tops burning with the highest intensity.

Following the fire, SPR convened a Fire Recovery Committee (comprised of faculty members and ranch personnel) to assess hazards, plan new management, weigh harvesting options and amend the sustainability analysis and generate mortality guidelines. A number of concerns and opinions were represented, including financial concerns, worry over hazard trees, erosion and landslide risks, and the pros and cons of conducting an emergency salvage operation. After much consideration, SPR applied for an emergency notice with CAL FIRE on 91 acres, removing approximately 900,000 bf of redwood. Douglas fir was not harvested. SPR believes they took a conservative approach to their salvage harvest, focusing on stands of highest burn intensity and trees that were “substantially damaged,” though they acknowledge that they harvested over Santa Cruz County allowable intensities in approximately one third of the emergency notice area, which is allowed under emergency notices.

The audit team takes positive note that the salvage operation generated a considerable amount of discussion regarding pros and cons and various options presented to the ranch after the fire. The formation of the Fire Recovery Committee constitutes a deliberative approach so that decisions regarding management in the aftermath of the fire were informed by a diverse group of interested parties, with sound science to back up decisions of the team on the ground.

The audit team notes the extraordinary circumstances that the fire posed, and the intensity of the response required on the part of ranch staff to deal not only with the logistics of the fire, but also the ongoing issues and interest generated by the event. It seems now more than ever the ranch has the opportunity to be a living laboratory for research on the effects of the fire on the forest and surrounding vegetation communities, and the ranch can even more fully live up to its goal of learning by doing. We also recognize the publicity that the fire generated, and commend the fact that the ranch has been so open to the public and other organizations who seek to learn from the fire and its associated effects, by holding public meetings, classes, field trips, etc. This also means that the ranch’s forest management practices will be under even greater public scrutiny, particularly the salvage logging, as this represents an often controversial management practice. SPR has demonstrated an adequate awareness of the added scrutiny and pressure to fulfill its mission and represent exemplary forest management practices in the face of new and changing conditions.

We also note that no adverse stakeholder comments were received regarding SPR’s response to the Lockheed Fire.

6.1.6 Annual Summary of Pesticide and Other Chemical Use

While no pesticide use has occurred in the past year, there are plans for a thoroughly planned and highly controlled pesticide application as part of the planned management action for the control and eradication at a specific French Broom site. The plan was evaluated as part of this annual audit and found to be in full compliance with the Standard, specifically relevant Criteria under Principle 6. The project will be partially funded by the Santa Cruz County Weed Management Area, and the chemical application will be conducted by a licensed PCA. The information listed in the table below describes the planned action for the coming year, and the headings have been amended as such.

Commercial name of pesticide/herbicide	Active ingredient	Quantity applied annually (kg or lbs)	Size of area to be treated (ha or ac)	Reason for use
Round-up	Glyphosate		7 acres	Control of invasive French broom

6.1.7 Open Corrective Action Requests (CARs)

Nonconformity: While there is no evidence that SPR is in non-compliance with U.S. government ratified treaties and international agreements, SPR has not conducted an analysis of all applicable agreements to its forest and ecosystem management.	
Minor CAR 2009.1	SPR must conduct an analysis of treaties and other international agreements that are relevant to its forest and ecosystem management operations.
Deadline	First annual audit.
Reference	<i>FSC Pacific Coast Regional Indicator 1.3.a</i>
FME Response	SPR has undertaken an analysis of treaties and international agreements that were deemed relevant to its forest management operations, with particular emphasis on the applicability of CITES, ILO Conventions, the International Tropical Timber Agreement, and the Convention on Biological Diversity. Analysis indicates SPR is meeting any relevant obligations under international agreements.
SCS Comment	SPR has fully met the requirements of this CAR and the audit team is satisfied with their analysis of relevant international agreements.
Disposition of CAR	On the basis of the actions taken by Swanton Pacific Ranch managers, the SCS audit team concludes that closure of this CAR is warranted.

Nonconformity: SPR did not inform the certifier of a dispute with a landowner in the 80-acre timber easement parcel.	
Minor CAR 2009.2	SPR must develop policy and/or procedure of informing the certifier of disputes over tenure and use rights and keeping the certifier updated on any resolutions or agreements that have been made.
Deadline	First annual audit.
Reference	<i>FSC Pacific Coast Regional Indicator 2.3.b</i>
FME Response	SPR's policy is to inform the certifier by phone or email of any disputes over tenure and use rights, and to keep the certifier up to date on any resolutions or agreements.

SCS Comment	<p>While SPR’s policy of informing and updating the certifier of any issues over tenure or use rights is adequate, the policy is not stated formally in any management documents, such as the Ranch Management Procedures, or the Ranch Management Plan.</p> <p>Auditor comments 6/08/10: Following the annual audit, but before finalization of the audit report, SPR took action to address this minor CAR by providing a statement on their website of SPR’s policy to inform the certifier of any disputes. The statement appears under the section on forest certification, but has not been inserted into any management documents.</p>
Disposition of CAR	<p>Following the May 2010 audit, but before the audit report was finalized, SPR management took actions to include the following policy on their website in response to the above finding: <i>Swanton Pacific Ranch periodically contacts SCS by phone or e-mail to inform the certifier of disputes over tenure and use rights keeping the certifier updated on any resolutions or agreements that have been made.</i> The policy can be found here: http://www.spranch.org/forest_certification.ldml</p> <p>On the basis of this action taken by Swanton Pacific Ranch managers, the SCS Audit team concludes that closure of this CAR is warranted.</p> <p>However, the audit team notes that a good practice would be to include the policy in a management document, as opposed to only on the website.</p>

Nonconformity: SPR conducts many monitoring activities and shares this information with researchers, government agencies, and the public through its educational programs. However, a public summary of SPR’s monitoring activities is not yet available. SPR also lacks a centralized, formal mechanism to carry out social impact assessments.	
Minor CAR 2009.3	<p>SPR shall maintain a registry of public comments and document any concerns provided from interested parties. These comments and concerns shall be addressed in management plans and operations.</p> <p>SPR shall develop a comprehensive public summary of its monitoring program, incorporating the elements detailed in criterion 8.2.d.</p>
Deadline	First annual audit.
Reference	<i>FSC Pacific Coast Regional Indicators 4.4.b, 8.2.d, and 8.5.a</i>
FME Response	<p>SPR has created an online public comment or “feed back” form, operational 11/19/2009, easily accessed through the SPR website: http://www.spranch.org/feedback.ldml</p> <p>SPR has also created a new page on their website, so that the public can easily access a comprehensive summary of their monitoring programs. The page references a number of different monitoring program, provides links to supporting documents, and will be updated on a regular basis, should the programs change.</p>
SCS Comment	Although SPR has not yet received any comments or concerns through its new online system, the web-link is an adequate mechanism for members of the public looking to provide comments.

	The new page on the website devoted to monitoring information is very well done and adequately displays the breadth of monitoring programs being implemented. As long as the site remains up to date it should provide an excellent resource for the public to gain comprehensive information about monitoring projects conducted on the ranch.
Disposition of CAR	On the basis of the actions taken by Swanton Pacific Ranch managers, the SCS Audit team concludes that closure of this CAR is warranted.

Nonconformity: SPR's floristic survey and analysis and assessment of protected areas on its land go above and beyond what most landowners in the Central California region are doing. However, SPR has not conducted a regional analysis of the adequacy of representation of their forest types in protected areas across the landscape.	
Minor CAR 2009.4	SPR shall conduct a regional analysis per indicator 6.4.a., including collaboration with relevant state natural heritage programs, public agencies and other groups as detailed in the indicator.
Deadline	First annual audit.
Reference	<i>FSC Pacific Coast Regional Indicator 6.4.a and 6.4.b</i>
FME Response	SPR maintains that by employing Dr. Hayes, an expert on the ecology and botany of the region, a regional perspective and analysis has already been incorporated into the assessment of protected areas and forest type representation on SPR.
SCS Comment	While the audit team recognizes that the expertise of Dr. Hayes is regional in scope, the application of such a regional perspective and analysis has not yet been explicitly stated in documentation of protected areas on the ranch. Without any statements from Dr. Hayes, or new information on regional forest types, it remains unclear if a regional analysis of representative forest types has been adequately conducted to ensure that SPR is appropriately contributing to the network of protected areas across the landscape.
Disposition of CAR	<p>The CAR will remain OPEN until such time as SPR staff can provide evidence of a regional perspective and/or analysis in the designation of their protected areas. Such evidence may take the form of new information from Dr. Hayes, or relevant sections from the original SPR Floristic Survey or other companion documents.</p> <p>Auditor comments 06/11/10: Following the May 2010 annual audit, but before finalization of the audit report, SPR managers submitted additional evidence in response to this CAR. The evidence submitted consists of the following statement, found on page 558, Section 5 of the NTMP, in reference to the choice of "Sensitive Vegetation Community Types": <i>The author focused on any vegetation associations listed of regional and global concern. The California Department of fish and Game list of habitats of concern was reviewed as was the CNDDDB and the County of Santa Cruz's 1994 General Plan.</i></p> <p>It is the SPR manager's assertion that this statement indicates that a</p>

	regional perspective was used to analyze and choose the representative forest types for SPR's protected areas. The audit team is in agreement – because the evidence clearly shows that Dr. Hayes took into account regional floristic representation, as well as the Santa Cruz County plans, it can reasonably be assumed he incorporated a regional perspective into the subsequent designation of protected forest types. Following this submission of evidence by Swanton Pacific Ranch managers, the SCS Audit team concludes that closure of this CAR is warranted.
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6.1.8 Open Observations (OBS)

Background/ justification: The California Forest Practice Rules provide many opportunities for notification of local indigenous tribes on archaeological issues and SPR has been exemplary in its outreach efforts to local indigenous communities. There is an opportunity, however, to seek participation of tribal representatives in planning management operations that affect American Indian resources.	
OBS 2009.1	SPR should engage in more affirmative outreach to local indigenous tribes to develop plans for the management and protection of American Indian resources on SPR lands.
Reference	<i>FSC Pacific Coast Regional Indicators 3.2.a., 3.3.b, and 8.2.d.5</i>
FME response	During SPR's 2010 salvage operation (following the 2009 Lockheed Fire, two mortars were identified outside the emergency notice area, but inside the NTMP area. SPR has contacted the state archeologist and informed him of the find. SPR staff feel this is their first opportunity to reach out to the Native American Heritage representative and plans to ask them to be on site when they formally record the new finding on a scheduled visit in July.
Auditor Comments	SPR has indeed taken the opportunity to actively engage tribal representatives in new findings of American Indian resources on the property.

Background/ justification: The auditors observed severe girdling damage caused by mounting cables onto a tree in a yarding operation. Upon consultation with SPR and the Big Creek Lumber Co. forester, the auditors discovered that it was the only one which straps were not used.	
OBS 2009.2	SPR should ensure greater consistency in use of straps in yarding operations to protect anchor trees.
Reference	<i>FSC Pacific Coast Regional Indicator 5.3.b</i>
FME response	SPR is well aware of the oversight, and has had the necessary discussions to ensure such practices do not occur again. Provisions concerning acceptable levels of residual damage are included in operations contracts.
Auditor Comments	Consultation between the auditors, SPR and Big Creek Lumber assures greater consistency and care will be taken with future yarding operations. The audit team notes that the one deviation from good harvest practices was likely an anomaly.

Background/ justification: SPR does retain woody debris of various types, but has no targets for

woody debris retention.	
OBS 2009.3	SPR should develop targets and guidelines for the retention and recruitment of snags, cavity trees, and downed woody debris throughout the property. This is a restatement of REC 2003.5.
Reference	<i>FSC Pacific Coast Regional Indicator 5.3.c</i>
FME response	<p>Targets and guidelines for the retention and recruitment of snags, cavity trees, and downed woody debris are identified in the Swanton NTMP, Section II, Item 14:</p> <p><u>Wildlife Tree Retention and Snag Recruitment Guidelines</u> Trees having one of more of the following characteristics shall be retained for wildlife habitat and snag recruitment</p> <ol style="list-style-type: none"> 1. “Old Growth” Characteristic redwood trees (Redwood trees greater than 60 inches at DBH that were present in the dominant overstory during the late successional stages of forest development of the first growth stands). These trees have the outward indicators such as platy bark with deep fissures, basal hollows with fire scars of multiple ages, large branching structures, flat tops, and limbs at least 8-10 inches in diameter that provide an opportunity for platforms/nesting. 2. Trees with “goose-pen” boles (basal cavities) extending twelve feet or more above the ground level that have potential bat or den habitat. 3. Stand alone granary trees (acorn storage for woodpeckers) or at least 50% of granary tree in clumps of two or more trees. 4. Contiguous stands of large diameter tan oak and Shreve oak as identified on the Botanical Conservation Map at the end of Section II. <p>Additional guidelines are present specifically for snag retention.</p>
Auditor Comments	SPR has identified excellent guidelines for the retention and recruitment of woody debris within their NTMP. This observation from the 2009 recertification audit is likely due to the oversight of this particular NTMP section by the auditor. The audit team also notes that due to the Lockheed Fire, the forest area currently has ample woody debris.

Background/ justification: SPR practices a high level of diligence in identifying old growth trees and stands, for which there is little- if any- chance of them cutting an old growth tree. Current guidelines on old growth management are located at various points in the management plan, however. Mendocino Redwood Company’s old growth policy could be a good reference. See also REC 2003.4.	
OBS 2009.4	SPR should develop a more formal policy on old growth trees.
Reference	<i>FSC Pacific Coast Regional Indicator 6.3.d.3</i>
FME response	<p>Guidelines on maintaining late-successional/old growth structures, including individual trees, are identified in the Swanton NTMP, Section II, Item 14:</p> <p><u>Old Growth</u></p>

	No old growth trees will be harvested. Individuals and small groups of trees meeting the description of old growth, as stated above, are present in two stands within the NTMP...previously harvested stands shall be thinned from below to reduce competition and to remove ladder fuels. The LTO shall strive to avoid impact to the roots of the old trees by keeping equipment away from the drip line. Tractors may approach old growth trees only on the designated skid trails. In the interest of retaining coarse woody debris within the designated stands, large woody debris greater than 24" shall not be removed.
Auditor Comments	Although SPR has a well articulated old growth policy within their NTMP, the policy could be improved to specifically cover dead trees, and to cover all areas of the property under the scope of the audit. Further observations this year warrant upgrading the observation to a minor CAR. Please see CAR 2010.1 below.

Background/ justification: SPR uses mechanical control of invasive species on the Valencia property. However, in the SPR NTMP, herbicide use is allowed as a control method for invasive species as long as it is in compliance with local laws and FSC P&C.	
OBS 2009.5	SPR should consult current FSC guidelines on chemical herbicide and pesticide use before using them in operations.
Reference	<i>FSC Pacific Coast Regional Indicators 6.6.a and 6.9.b</i>
FME response	The August 2009 Lockheed wildfire has presented a unique opportunity to control an isolated invasive French broom population. Research indicates that fire significantly reduces the French broom seed bank both above and below ground; however, native grassland seed banks remain unaffected. This provides a unique opportunity to control the spread of French broom, while supporting the recovery of native species. Given these conditions, SPR has prepared an extensive control plan, including both chemical application (glyphosphate at 3% solution) and hand-pulling, which has been approved for partial funding from the Santa Cruz County Weed Management Area. FSC guidelines were thoroughly consulted during development of the control and eradication proposal, which also includes further plans for maintenance and monitoring.
Auditor Comments	Due to extensive research, preparation and consultation of the FSC standard prior to any chemical application to the project area, there are no further observations regarding chemical application or invasive species control. The audit team notes how thorough SPR's preparation for this project has been, and commends their efforts to control invasive plant species on the property.

Background/ justification: SPR's management plan has been a working draft since 2004.	
OBS 2009.6	SPR should finalize the draft management plan.
Reference	<i>FSC Pacific Coast Regional Criterion Indicator 7.1</i>
FME response	SPR recognizes the intent of the observation, and does not wish to have an out of date document. However, the ranch staff feels they are likely two years away from finalizing the management plan.

Auditor Comments	Due to additional observations regarding the timeframe for updating and finalizing the draft management plan, this observation has been revised following this annual audit and the audit team is issuing a new observation for this year – please reference OBS 2010.1 below.
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6.1.9 New Corrective Action Requests (CARs)

Nonconformity: While SPR has a clear old growth policy contained within the NTMP, the NTMP does not cover the entire property. The Valencia parcel also has an NTMP, but without an old growth policy, meaning that the area covered under the scope of the certificate is actually broader than the forest area covered by the old growth policy. Additionally, the policy is unclear regarding whether dead old growth trees are afforded the same protections as live old growth trees.	
Minor CAR 2010.1	SPR shall revise the old growth policy in such a way as to clarify and include protections for dead old growth trees. SPR shall also expand the policy to include all areas of the property under the scope of the certificate, while retaining the possibility to exclude from protection areas or individual trees that pose an unavoidable safety hazard.
Deadline	90 days after receipt of the audit report
Reference	<i>FSC Pacific Coast Regional Indicator 6.3.d.3</i>
Disposition of CAR	<p>In response to the oral presentation of this CAR at the closing meeting, following the May annual audit and prior to finalization of this report, SPR managers submitted the following revised policy on old growth:</p> <p><u>Old Growth Policy</u> <i>No old growth trees live or dead will be harvested on lands of Swanton Pacific Ranch. Old Growth characteristic redwood trees can be described as being approximately 60 inches at DBH and were present in the dominant over story during the late successional stages of forest development of the first-growth stands (pre 1800's). These trees have outward indicators such as platy bark with deep fissures, basal hollows with fire scars of multiple ages, large complex branching structures, flat tops, and limbs at least 8-10 inches in diameter that provide an opportunity for platforms/nesting.</i></p> <p><i>In very rare instances, an old-growth tree might have to be cut for workplace or public safety issue.</i></p> <p>This policy has been uploaded to the SPR website, found here: http://www.spranch.org/forest_management.ldml</p> <p>Auditor comments 6/11/10: On the basis of the actions taken by Swanton Pacific Ranch managers, the SCS Audit team concludes that closure of this CAR is warranted. However, the audit teams notes that it would be best if the updated old growth policy was also inserted into the relevant management and operations plans and documents, in</p>

	addition to being available on the website.
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6.1.10 New Observations (OBS)

Background/ justification: SPR’s draft management plan has been a working draft document since 2004, and is at risk of portions becoming out of date.	
OBS 2010.1	SPR should initiate the review process to update and finalize the management plan. They should prioritize sections to update and create a review schedule, with the goal of an updated, finalized management plan completed in one year.
Reference	<i>FSC Pacific Coast Regional Criterion 7.2</i>

Background/ justification: The premise behind SPR’s salvage logging operation following the Lockheed fire is that trees sustained substantial enough damage, and thus reduced commercial value, to warrant removal. Ideally, if making such a presumption, a reference area with similar stocking and diameter classes where the damaged trees were not removed would provide evidence and further support the need for the salvage logging. However, no such formally established reference areas were noted during the audit. The audit team recognizes that such a reference area might take decades to test the premise, but establishing the comparison would not only be an example of exemplary forest management, but would also further contribute to SPR’s goal of “learning by doing,” and expanding knowledge of forest management practices.	
OBS 2010.2	SPR should establish a reference area with similar stocking level, diameter classes and burn intensity, but outside the emergency notice area.
Reference	<i>FSC Pacific Coast Regional Criteria 6.4 and 6.1</i>

Background/ justification: Although the French broom control and eradication plan is an excellent example of thorough management and is in full compliance with the FSC standard, it would be beneficial if the glyphosate spray also included a dye, both from a cost perspective (to know the total area where application has occurred) and from a safety perspective, given that there will be hand-pulling.	
OBS 2010.3	SPR should contact their chemical applicator to investigate the ability and cost to include dye in the chemical.
Reference	<i>FSC Pacific Coast Regional Indicator 6.6.e</i>

6.1.11 Stakeholder Comment⁵

SCS conducts stakeholder outreach as part of annual audits in order to assess on-going conformance to the applicable FSC standards. Stakeholder consultation activities can include telephone calls, written letters, emails or consultation in the field. The results of stakeholder consultation activities are summarized below. Where a stakeholder comment has triggered a subsequent investigation during the evaluation, the corresponding follow-up action and conclusions from SCS have been noted.

⁵ Per FSC requirements, annual stakeholder consultation, and reporting thereof, is not required for FME (forest management entities) that qualify as “small or low intensity managed forests” (SLIMFs). Nonetheless, stakeholder consultation was a part of this annual surveillance audit.

Box 7.1 – Summary of Stakeholder Comments and Responses from the Team Where Applicable	
SCS was contacted by only one stakeholder since the 2009 audit of SPR. That contact entailed a series of emails focusing on SPR land management planning issues.	<input type="checkbox"/>
Stakeholder comments	SCS Response
Economic concerns	
No comments received regarding economic issues	
Social concerns	
SPR managers need to provide public use opportunities for Smith family members	Cal Poly officials are in active dialogue with this commenter; the commentor is developing a proposal for consideration by Cal Poly
Environmental concerns	
Are old growth trees duly protected on the ranch?	Yes, SPR managers have a developed and incorporated in the management plan an old growth protection policy; the policy includes OG trees that have been killed by fire or other causes of mortality
SPR timber management increases downstream flooding and landslide risks	As has been stated in prior audit reports, SCS auditors do not agree that timber management activities in Little Creek drainage result in increased flooding and landslide risks

6.1.12 Certification Decision

Box 8.1 Surveillance Decision	
The certificate holder has demonstrated continued overall conformance to the applicable Forest Stewardship standards. The SCS annual audit team recommends that the certificate be sustained, subject to subsequent annual audits and the FME's response to any open CARs.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
<p>Comments: Based upon the information gathered during the annual audit, through document review, discussions and field observations, the audit team concludes that SPR's management of its forested lands continues to be in strong overall compliance with the FSC Principles and Criteria as further elaborated by the Pacific Coast Regional Standard. The audit team recognizes the situation posed by the Lockheed fire, and commends the staff response in the ensuing months. The audit team also recognizes that the fire has brought about many management questions that the Fire Recovery Committee is still grappling with, most importantly the salvage logging operation, its effects, and subsequent management needs. Given the events since the re-certification audit, the team notes the extraordinary effort that has gone into managing the property, and recognizes the opportunity the SPR staff are taking to learn and grow from the effects of the fire and implement a truly adaptive management system on the ground.</p>	

7.0 SUMMARY OF SCS COMPLAINT AND APPEAL INVESTIGATION PROCEDURES

The following is a summary of the SCS Complaint and Appeal Investigation Procedures, the full versions of the procedures are available from SCS upon request. The SCS Complaint and Appeal Investigation Procedures are designed for and available to any individual or organization that perceives a stake in the affairs of the SCS Forest Conservation Program and that/who has reason to question either the actions of SCS itself or the actions of a SCS certificate holder.

A **complaint** is a written expression of dissatisfaction, other than **appeal**, by any person or organization, to a certification body, relating to the activities of staff of the SCS Forest Conservation Program and/or representatives of a company or entity holding either a forest management (FM) or chain-of-custody (CoC) certificate issued by SCS and duly endorsed by FSC, where a response is expected (ISO/IEC 17011:2004 (E)). The SCS Complaint Investigation Procedure functions as a first-stage mechanism for resolving complaints and avoiding the need to involve FSC.

An “**appeal**” is a request by a certificate holder or a certification applicant for formal reconsideration of any adverse decision made by the certification body related to its desired certification status. A certificate holder or applicant may formally lodge an appeal with SCS against any adverse certification decision taken by SCS, within thirty (30) days after notification of the decision.

The written Complaint or Appeal must:

- Identify and provide contact information for the complainant or appellant
- Clearly identify the basis of the aggrieved action (date, place, nature of action) and which parties or individuals are associated with the action
- Explain how the action is alleged to violate an SCS or FSC requirement, being as specific as possible with respect to the applicable SCS or FSC requirement
- In the case of complaints against the actions of a certificate holder, rather than SCS itself, the complainant must also describe efforts taken to resolve the matter directly with the certificate holder
- Propose what actions would, in the opinion of the complainant or appellant, rectify the matter.

Written complaints and appeals should be submitted to:

Dr. Robert J. Hrubes
Senior Vice-President
Scientific Certification Systems
2200 Powell Street, Suite 725
Emeryville, California, USA94608
Email: rhrubes@scscertified.com

As detailed in the *SCS-FCP Certification Manual*, investigation of the complaint or appeal will be confidentially conducted in a timely manner. As appropriate, corrective and preventive action and resolution of any deficiencies found in products or services shall be taken and documented.