

## SCS FOREST MANAGEMENT CERTIFICATION SERVICES CORRECTIVE ACTION REQUEST (CAR) / OBSERVATION (OBS) FORM

## V1-0

Certificate holder/applicant	Baxter State Park Scientific Forest Management Area
CAR/OBS identified by (SCS representative)	Mike Dann and Dave Capen
Date of Issuance	July 14, 2011
Audit Year/Type (select from pull down menu)	Certification Evaluation

## Table of Contents

CAR 2011.1
Interviews with SFMA staff indicated a lack of knowledge of all applicable laws and regulations
CAR 2011.2
SFMA staff did not demonstrate a knowledge of all applicable binding international agreements
OBS 2011.1
The SFMA's web site states that they participate in FSC certification but does not state that they are committed to managing their forests according to the FSC standards and policies
CAR 2011.310
The harvest and trucking contract with the sole contractor on the SFMA did not contain safety requirements10
OBS 2011.212
SFMA management plan does not contain explicit mention of consideration of carbon storage and sequestration
OBS 2011.314
The current sustained yield harvest calculation models multiple cutting cycles within a 140 year rotation. On-going inventory data confirm the assumptions made in the calculation. The long rotation length meets the intent of the indicator. There is no discussion of planned treatments or regrowth beyond that single rotation.
CAR 2011.416
SFMA Management Plan does not address species recovery goals for Canada Lynx, a threatened species with defined critical habitat that includes the SFMA16
OBS 2011.418
Field inspections of recent harvest sites indicate that stand-level retention is generally adequate, and that habitat components are provided, but they are not consistently prescribed before harvests18
CAR 2011.520
Field observations show that SFMA staff can identify invasive plants and animals and are monitoring their presence. However, there is no strategy to prevent or control invasive species
OBS 2011.522
Field inspections of water crossings revealed that older crossings do not facilitate movement of aquatic organisms as well as do recently constructed crossings
OBS 2011.624
Field observations and interviews with staff show that, with the possible exception of grass mixtures used for erosion control, exotic species have not been used on the SFMA24

OBS 2011.7
The current management plan has limited references to the larger landscape26
CAR 2011.628
The SFMA Management Plan does not describe invasive species conditions, applicable management objectives, and control measures28
CAR 2011.730
SFMA management plan does not describe the stakeholder consultation process30
CAR 2011.832
Interviews with staff and review of documents confirm that a major revision of the management plan is well underway that will raise management of the SFMA to a higher level. However, a full revision of the management plan has not been completed within the past 10 years
CAR 2011.934
A public summary of the management plan outlining the elements of the plan described in Criterion 7.1 is not available
CAR 2011.1036
Full monitoring results or a summary of the most recent monitoring information, covering the indicators in Criterion 8.2., is not available
CAR 2011.11
The SFMA does not have a formal training program or training records
OBS 2011.839
SFMA staff and contractor personnel demonstrate knowledge of COC requirements. A formal training program would improve compliance as employees change
OBS 2011.941
The SFMA is not currently certified and their shipping information does not include a certificate code and product claim. Prior to their certificate lapse, documents contained only the certificate code41
CAR 2011.12
The SFMA does not have a formal outsourcing agreement with their contractors
OBS 2011.10
Interviews with current contractor personnel and SFMA staff show compliance with the intent of 1.5.3. A written system would insure continuity44

## ${\it Copy\ and\ complete\ table\ for\ each\ non-conformity\ /\ opportunity\ for\ improvement\ detected}$

CAR/OBS Number	(e.g. 1, 2,)	CAR 2011.1
Select one:	Major CAR	X Minor CAR Observation
FMU)	ued to (when more than one	
3 months from X Next audit (su	m above Date of Issuance urveillance or re-evaluation) to certification ne (specify):	
Standard and Requ	uirement Reference	FSC-US Forest Management Standard Indicator 1.1.b
(Describe and provide	•	on in the case of Observations) knowledge of all applicable laws and regulations.
	ECTIVE ACTION (or Observation is that employees and con-	tion) ntractors are duly informed about all applicable laws and

	IMPLEMENTED CORRECTIVE ACTION (Response to Observations is of	otional)
	Describe action taken by the FME to address the root cause of the	non-conformity
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	OTHER DECISION (refer to description above)	
	SCS Representative Name and Title (CAR/OBS reviewer)	Date of Acceptance of Corrective Action
	Press Enter twice below table to leave a space, then copy and paste	e table below for each CAR/OBS

	CAR/OBS Number (e.g. 1, 2,)	CAR 2011.2
	Select one: Major CAR	X Minor CAR Observation
	Site CAR/OBS issued to (where more than one site)	
	Deadline for Corrective Action by FME	
	3 months from above Date of Issuance	
VE	X Next audit (surveillance or re-evaluation)	
ITATI	Pre-condition to certification	
ESEN	Other deadline (specify):	
REPR	Standard and Requirement Reference	FSC-US Forest Management Standard Indicator 1.3.a
SCS	NON-CONFORMITY (or Background/ Justification	in the case of Observations)
D BY	(Describe and provide objective evidence)	
TO BE COMPLETED BY SCS REPRESENTATIVE	SFMA staff did not demonstrate a knowledge of	fall applicable binding international agreements
	REQUESTED CORRECTIVE ACTION (or Observation	on)
	SFMA shall identify, and assess their compliance	e with, all binding international agreements.

	IMPLEMENTED CORRECTIVE ACTION (Response to Observations is of	otional)
	Describe action taken by the FME to address the root cause of the	non-conformity
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	SCS Representative Name and Title (CAR/OBS reviewer)	Date of Acceptance of Corrective Action
	Press Enter twice below table to leave a space, then copy and paste	a table below for each CAR/ORS
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CAR/OBS Number	er (e.g. 1, 2,)		OBS 2	2011.1
Select one:	Major CAR	Minor CAR	<b>X</b> Observation	
Site CAR/OBS iss	sued to (where more than one site)			
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Standard and Re	quirement Reference	FSC-US F	Forest Management Standard (v1.0) 1.6.	a
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(Describe and provide objective evidence)				
	site states that they participate anaging their forests according		tion but does not state that they are lards and policies.	
REQUESTED CORRECTIVE ACTION (or Observation)  The publicly available statement of participation in FSC certification should include a statement of				
commitment to r	manage to the FSC Standards a	and policies.		

Describe action taken by the FME to address the root cause of the non-conformity  EVIDENCE OF CONFORMANCE SUBMITTED WITH THIS FORM (please list)  FME Representative Name and Title  SCS REVIEW / ACCEPTANCE OF CORRECTIVE ACTION (Describe conclusion in detail)  CLOSED  UPGRADED TO MAJOR OTHER DECISION (refer to description above)  SCS Representative Name and Title (CAR/OBS reviewer)  Date of Acceptance of Corrective Action		IMPLEMENTED CORRECTIVE ACTION (Response to Observations is of	ptional)
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	CAR/OBS Number (e.g. 1, 2,)	CAR 2011.3
	Select one: Major CAR X N	Minor CAR Observation
	Site CAR/OBS issued to (where more than one site)	
	Deadline for Corrective Action by FME	
	3 months from above Date of Issuance	
VE	X Next audit (surveillance or re-evaluation)	
TAT	Pre-condition to certification	
ESEN	Other deadline (specify):	
REPR	Standard and Requirement Reference	FSC-US Forest Management Standard Indicator 4.2.b
SCS	NON-CONFORMITY (or Background/ Justification in th	e case of Observations)
D BY	(Describe and provide objective evidence)	
TO BE COMPLETED BY SCS REPRESENTATIVE		ractor on the SFMA did not contain safety requirements
	REQUESTED CORRECTIVE ACTION (or Observation)	
	SFMA shall include safety requirements in all contra	cts and written agreements with service providers.

	IMPLEMENTED CORRECTIVE ACTION (Response to Observations is of	otional)
	Describe action taken by the FME to address the root cause of the	non-conformity
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	<b>CAR/OBS Number</b> (e.g. 1, 2,) <i>OBS 2011.2</i>
	Select one: Major CAR Minor CAR X Observation
	Site CAR/OBS issued to (where more than one site)
	Deadline for Corrective Action by FME
RESENTATIVE	3 months from above Date of Issuance  X Next audit (surveillance or re-evaluation)  Pre-condition to certification  Other deadline (specify):
REPR	Standard and Requirement Reference FSC-US Forest Management Standard Indicator 5.5.a
TO BE COMPLETED BY SCS REPRESENTATIVE	NON-CONFORMITY (or Background/ Justification in the case of Observations)  (Describe and provide objective evidence)  SFMA management plan does not contain explicit mention of consideration of carbon storage and sequestration.
	REQUESTED CORRECTIVE ACTION (or Observation)  The topic of carbon storage and sequestration could be more explicitly addressed and incorporated in the SFMA Management Plan.

	IMPLEMENTED CORRECTIVE ACTION (Response to Observations is of	otional)
	Describe action taken by the FME to address the root cause of the	non-conformity
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	3 months from above Date of Issuance	
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SCS	NON-CONFORMITY (or Background/ Justification in the case of Observations)	
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BE C	The current sustained yield harvest calculation	models multiple cutting cycles within a 140 year rotation. On-
To	going inventory data confirm the assumptions r	made in the calculation. The long rotation length meets the
	intent of the indicator. There is no discussion of	of planned treatments or regrowth beyond that single rotation.
	REQUESTED CORRECTIVE ACTION (or Observation	ion)
	A discussion of planned treatments and regrow	with beyond the 140 year rotation would improve conformance.
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	IMPLEMENTED CORRECTIVE ACTION (Response to Observations is of	otional)
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	CAR/OBS Number (e.g. 1, 2,)	CAR 2011.4
	Select one: Maor CAR X	Minor CAR Observation
	Site CAR/OBS issued to (where more than one site)	
	Deadline for Corrective Action by FME	
	3 months from above Date of Issuance	
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AF F	Standard and Requirement Reference	FSC-US Forest Management Standard Indicator 6.2.c.
10 Be COMPLETED BY 3C3 METRESENTATIVE	defined critical habitat that includes the SFMA.	the case of Observations) recovery goals for Canada Lynx, a threatened species with
	REQUESTED CORRECTIVE ACTION (or Observation)	
		overy goals for the Canada Lynx, a threatened species with
	defined critical habitat that includes Baxter State P	ark.

	IMPLEMENTED CORRECTIVE ACTION (Response to Observations is of	otional)
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	CAR/OBS Number (e.g. 1, 2,) <i>OBS 2011.4</i>	
	Select one: Major CAR Minor CAR X Observation	
	Site CAR/OBS issued to (where more than one site)	
	Deadline for Corrective Action by FME	
	3 moths from above Date ofIssuance	
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TO BE COMPLETED BY SCS REPRESENTATIVE	Other deadline (specify):	
REPF	Standard and Requirement Reference FSC-US Forest Management Standard (v1.0) 6.3.f.	
scs	NON-CONFORMITY (or Background/ Justification in the case of Observations)	
D BY	(Describe and provide objective evidence)	
LETE	Field inspections of recent harvest sites indicate that stand-level retention is generally adequate, and that	
ОМР	habitat components are provided, but they are not consistently prescribed before harvests.	
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	REQUESTED CORRECTIVE ACTION (or Observation)	
	Written standards for stand-level retention and habitat components would lead to more consistency among	
	harvest prescriptions.	

	IMPLEMENTED CORRECTIVE ACTION (Response to Observations is of	otional)
	Describe action taken by the FME to address the root cause of the	non-conformity
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	SCS Representative Name and Title (CAR/OBS reviewer)	Date of Acceptance of Corrective Action
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	Fress Enter twice below tubie to leave a space, then copy and pasti	tuble below for each CAR/ODS

	CAR/OBS Number (e.g. 1, 2,)	CAR 2011.5
	Select one: Major CAR X Min	nor CAR Observation
SENTATIVE	Site CAR/OBS issued to (where more than one site)  Deadline for Corrective Action by FME  3 monthsfrom above Date of Issuance  Next audit (surveillance or re-evaluation)  Pre-condition to certification  Other deadline (specify):	
REPRE	Standard and Requirement Reference	FSC-US Forest Management Standard (v1.0) 6.3.h.
TO BE COMPLETED BY SCS REPRESENTATIVE	NON-CONFORMITY (or Background/ Justification in the case of Observations) (Describe and provide objective evidence) Field observations show that SFMA staff can identify invasive plants and animals and are monitoring their presence. However, there is no strategy to prevent or control invasive species.	
	REQUESTED CORRECTIVE ACTION (or Observation)  SFMA shall identify appropriate strategies minimizing to	the risk of invasives and control of their populations.

	IMPLEMENTED CORRECTIVE ACTION (Response to Observations is of	otional)
	Describe action taken by the FME to address the root cause of the	non-conformity
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	CAR/OBS Number (e.g. 1, 2,) OBS 2011.5
	Select one: Major CAR Minor CAR X Observation
TO BE COMPLETED BY SCS REPRESENTATIVE	Site CAR/OBS issued to (where more than one site)  Deadline for Corrective Action by FME  3 months froaove Date of Issuance  X Next audit (surveillance or re-evaluation)  Pre-condition to certification Other deadline (specify):  Standard and Requirement Reference  FSC-US Forest Management Standard (v1.0) 6.5.f.  NON-CONFORMITY (or Background/ Justification in the case of Observations) (Describe and provide objective evidence)
	Field inspections of water crossings revealed that older crossings do not facilitate movement of aquatic organisms as well as do recently constructed crossings.
	REQUESTED CORRECTIVE ACTION (or Observation)  An inventory of stream crossing to assess conformance with the objective of facilitating movement of aquatic species, where appropriate, would strengthen compliance.

	IMPLEMENTED CORRECTIVE ACTION (Response to Observations is of	otional)
	Describe action taken by the FME to address the root cause of the	non-conformity
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	Press Enter twice below table to leave a space, then copy and paste	e table below for each CAR/OBS

	<b>CAR/OBS Number</b> (e.g. 1, 2,) <i>OBS 2011.6</i>	
	Select one: Major CAR Minor CAR X Observation	
	Site CAR/OBS issued to (where more than one site)	
	Deadline for Corrective Action by FME	
	3 months from above Date of Issuance	
IVE	X Next audit (surveillance or re-evaluation)	
TAT	Pre-condition to certification	
TO BE COMPLETED BY SCS REPRESENTATIVE	Other deadline (specify):	
REPF	Standard and Requirement Reference FSC-US Forest Management Standard (v1.0) 6.9.a.	
SCS	NON-CONFORMITY (or Background/ Justification in the case of Observations)	
D BY	(Describe and provide objective evidence)	
LETE	Field observations and interviews with staff show that, with the possible exception of grass mixtures used for	
OMP	erosion control, exotic species have not been used on the SFMA.	
BE C		
10		
	REQUESTED CORRECTIVE ACTION (or Observation)	
	Although exotic species are not planted in silvicultural operations, they may be present in seed mixtures used	
	to stabilize soils. SFMA should address the source and content of such mixtures.	

	IMPLEMENTED CORRECTIVE ACTION (Response to Observations is of	otional)
	Describe action taken by the FME to address the root cause of the	non-conformity
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	SCS Representative Name and Title (CAR/OBS reviewer)	Date of Acceptance of Corrective Action
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	CAR/OBS Number (e.g. 1, 2,)	OBS 2011.7	
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	Site CAR/OBS issued to (where more than one site)	_	
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	The current management plan has limited references to the larger landscape.		
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	REQUESTED CORRECTIVE ACTION (or Observation)		
		A strengthened description of the landscape within which SFMA is located and landscape-scale habitat	
	elements would improve the revised management plan.		

	IMPLEMENTED CORRECTIVE ACTION (Response to Observations is of	otional)
	Describe action taken by the FME to address the root cause of the	non-conformity
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	Press Enter twice below table to leave a space, then copy and paste	e table below for each CAR/OBS

	CAR/OBS Number (e.g. 1, 2,)	CAR 2011.6
	Select one: Major CAR X	Minor CAR Observation
	Site CAR/OBS issued to (where more than one site)	
	Deadline for Corrective Action by FME	
	3 months from above Date of Issuance	
/E	X Next audit (surveillance or re-evaluation)	
ΓΑΤΙ\	Pre-condition to certification	
TO BE COMPLETED BY SCS REPRESENTATIVE	Other deadline (specify):	
	Standard and Requirement Reference	FSC-US Forest Management Standard (v1.0) 7.1.f.
SCS	NON-CONFORMITY (or Background/ Justification in the case of Observations)	
э ву	(Describe and provide objective evidence)	
LETE		
ОМР	The SFMA Management Plan does not describe invasive species conditions, applicable management	
BE C	objectives, and control measures.	
To		
	Projection Corrective Action ( of or	
	REQUESTED CORRECTIVE ACTION (or Observation	)
	_	ive species conditions, applicable management objectives,
	and control measures.	

	IMPLEMENTED CORRECTIVE ACTION (Response to Observations is of	otional)
	Describe action taken by the FME to address the root cause of the	non-conformity
FME		
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TO BE COMPLETED BY FME	EVIDENCE OF CONFORMANCE SUBMITTED WITH THIS FORM (plea	co list)
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	FME Representative Name and Title	Date
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То ве	OTHER DECISION (refer to description above)	
	SCS Representative Name and Title (CAR/OBS reviewer)	Date of Acceptance of Corrective Action
	Press Enter twice below table to leave a space, then copy and paste	a table below for each CAR/ORS
	Fress Enter twice below tubie to leave a space, then copy and paste	tuble below for each CAR/ODS

Select one: Major AR X Minor CAR Observation
Site CAR/OBS issued to (where more than one site)  Deadline for Corrective Action by FME  3 months from above Date of Issuance  X Next audit (surveillance or re-evaluation)  Pre-condition to certification  Other deadline (specify):  Standard and Requirement Reference  FSC-US Forest Management Standard (v1.0) 7.1.r.  NON-CONFORMITY (or Background/ Justification in the case of Observations)  (Describe and provide objective evidence)  SFMA management plan does not describe the stakeholder consultation process.  REQUESTED CORRECTIVE ACTION (or Observation)  SFMA shall include a description of the stakeholder consultation process in the revised management plan

	IMPLEMENTED CORRECTIVE ACTION (Response to Observations is on	otional)
	Describe action taken by the FME to address the root cause of the	non-conformity
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TO BE COMPLETED BY FME		
сомр	EVIDENCE OF CONFORMANCE SUBMITTED WITH THIS FORM (plea	se list)
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	FME Representative Name and Title	Date
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TO BE COMPLETED BY SCS REPRESENTATIVE	OTHER DECISION (refer to description above)	
	SCS Representative Name and Title (CAR/OBS reviewer)	Date of Acceptance of Corrective Action
	Press Enter twice below table to leave a space, then copy and paste	table below for each CAR/OBS

	CAR/OBS Number (e.g. 1, 2,)	CAR 2011.8
	Select one: Major CAR	X Minor CAR Observation
	Site CAR/OBS issued to (where more than one site)	
	Deadline for Corrective Action by FME	
	X 3 months from above Date of Issuance	
IVE	Next audit (surveillance or re-evaluation)	
TATI	Pre-condition to certification	
TO BE COMPLETED BY SCS REPRESENTATIVE	Other deadline (specify):	
REPF	Standard and Requirement Reference	FSC-US Forest Management Standard (v1.0) 7.2.a.
scs	NON-CONFORMITY (or Background/ Justification in the case of Observations)	
D BY	(Describe and provide objective evidence)	
LETEL	Interviews with staff and review of documents confirm that a major revision of the management plan is well	
ОМР	underway that will raise management of the SF	MA to a higher level. However, a full revision of the
BE C	management plan has not been completed with	nin the past 10 years.
TO		
	REQUESTED CORRECTIVE ACTION (or Observation	on)
	·	revision of the management plan and a schedule for
	·	revision of the management plan and a senedule for
	completion.	

	IMPLEMENTED CORRECTIVE ACTION (Response to Observations is of	otional)
	Describe action taken by the FME to address the root cause of the	non-conformity
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TO BE COMPLETED BY FME	EVIDENCE OF CONFORMANCE SUBMITTED WITH THIS FORM (plea	co list)
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	FME Representative Name and Title	Date
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	SCS Representative Name and Title (CAR/OBS reviewer)	Date of Acceptance of Corrective Action
	Press Enter twice below table to leave a space, then copy and paste	a table below for each CAR/ORS
	Fress Enter twice below tubie to leave a space, then copy and pasti	tuble below for each CAR/ODS

	CAR/OBS Number (e.g. 1, 2,) CAR 2011.9	
RESENTATIVE	Select one: Major CAR X Minor CAR Observation	
	Site CAR/OBS issued to (where more than one site)	
	Deadline for Corrective Action by FME  3 months from above Date of Issuance	
	X Next audit (surveillance or re-evaluation) Pre-condition to certification Other deadline (specify):	
REP	Standard and Requirement ReferenceFSC-US Forest Management Standard (v1.0) 7.4.a.	
TO BE COMPLETED BY SCS REPRESENTATIVE	NON-CONFORMITY (or Background/ Justification in the case of Observations)  (Describe and provide objective evidence)  A public summary of the management plan outlining the elements of the plan described in Criterion 7.1 is not available.	
	REQUESTED CORRECTIVE ACTION (or Observation)  A summary of the management plan, outlining elements of Criterion 7.1, shall be readily available to the public.	

	IMPLEMENTED CORRECTIVE ACTION (Response to Observations is on	otional)
	Describe action taken by the FME to address the root cause of the	non-conformity
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	FME Representative Name and Title	Date
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TO BE COMPLETED BY SCS REPRESENTATIVE	OTHER DECISION (refer to description above)	
_	SCS Representative Name and Title (CAR/OBS reviewer)	Date of Acceptance of Corrective Action
	Press Enter twice below table to leave a space, then copy and paste	table below for each CAR/OBS

	CAR/OBS Number (e.g. 1, 2,)	CAR 2011.10
TO BE COMPLETED BY SCS REPRESENTATIVE	Select one: Major CAR	X Minor CAR Observation
	Site CAR/OBS issued to (where more than one site)  Deadline for Corrective Action by FME  3 months from above Date of Issuance  X Next audit (surveillance or re-evaluation)  Pre-condition to certification  Other deadline (specify):	
	Standard and Requirement Reference	FSC-US Forest Management Standard (v1.0) 8.5.a.
	NON-CONFORMITY (or Background/ Justification in the case of Observations)  (Describe and provide objective evidence)  Full monitoring results or a summary of the most recent monitoring information, covering the indicators in Criterion 8.2., is not available.	
	REQUESTED CORRECTIVE ACTION (or Observation Full monitoring results or a summary of the most Criterion 8.2., shall be maintained and made pull	st recent monitoring information, covering the indicators in

	IMPLEMENTED CORRECTIVE ACTION (Response to Observations is optional)		
	Describe action taken by the FME to address the root cause of the	non-conformity	
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ED BY			
TO BE COMPLETED BY FME			
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	FME Danracantative Name and Title	Date	
	FME Representative Name and Title	Date	
	SCS REVIEW / ACCEPTANCE OF CORRECTIVE ACTION		
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Tc	SCS Representative Name and Title (CAR/OBS reviewer)	Date of Acceptance of Corrective Action	
	Press Enter twice below table to leave a space, then copy and paste	e table below for each CAR/OBS	

	<u>CAR/OBS Number (e.g. 1, 2,)</u> <i>CAR 2011.11</i>		
	Select one: Major CAR Minor CAR Observation		
	FMU CAR/OBS issued to (when more than one FMU)		
	Deadline for Corrective Action by FME		
	3 months from above Date of Issuance  X Next audit (surveillance or re-evaluation)  Pre-condition to certification  Other deadline (specify):		
	SCS FSC Chain of Custody Indicators for Forest Management Enterprises. 1.2.1.		
	Non-Conformity (or Background/ Justification in the case of Observations)		
aul	(Describe and provide objective evidence)		
To be completed by SCS Representative	The SFMA does not have a formal training program or training records		
h	Requested Corrective Action (or Observation)		
To be completed	The SFMA will formalize their training an documentation.		
	Implemented Corrective Action (Response to Observations is optional)		
	Describe action taken by the FME to address the root cause of the non-conformity		
o be completed by FME	Evidence of conformance submitted with this form (please list)		
2	Evidence of comormatice submitted with this form (prease list)		

	FME Representative Name and Title		<u>Date</u>
To be Completed by SCS Representative	SCS Review / Acceptance of Corrective Action (Describe conclusion in detail)  CLOSED  UPGRADED TO MAJOR  OTHER DECISION (refer to description about the second seco		Date of Acceptance of Corrective Action
	CAR/OBS Number		OBS 2011.8
	Select one: Major CAR	Minor CAR	X Observation
ative	FMU CAR/OBS issued to (when more than one FMU)  Deadline for Corrective Action by FME		
o be completed by SCS Representative	3 months from above Date of Issuance  Next audit (surveillance or re-evaluation)  Pre-condition to certification  Other deadline (specify):		
eted by	Standard and Requirement Reference	SCS FSC Ch Management Ent	nain of Custody Indicators for Forest terprises. 1.2.2.
dwo	Non-Conformity (or Background/ Justification in the case of Observations)		
To be c	(Describe and provide objective evidence)		

	SFMA staff and contractor personnel demonstrate knowledge of COC requirements. A formal training program would improve compliance as employees change.		
	Requested Corrective Action (or Observation)		
	A formal training program would improve compliance.		
	Implemented Corrective Action (Response to Observations is optional)		
	Describe action taken by the FME to address the root cause of the non-conformity		
	Evidence of conformance submitted with this form (please list)		
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SCS Representative Name and Title (CAR/OBS re	<u>eviewer)</u>	<u>Date of Acceptance of Corrective Action</u>
Press Enter twice below table to leave a space, then	copy and paste ta	ble below for each CAR/OBS
	T	27222112
CAR/OBS Number (e.g. 1, 2,)		OBS 2011.9
Select one: Major CAR	Minor CAR	X Observation
FMU CAR/OBS issued to (when more than		
one FMU)		
Deadline for Corrective Action by FME		
3 months from above Date of Issuance		
Next audit (surveillance or re-evaluation)	<u>.</u>	
Pre-condition to certification		
Other deadline (specify):		
SCS FSC Chain of Custody Indicators		Custody Indicators for Forest Management
Standard and Requirement Reference	Enterprises. 1.3.1	
Non-Conformity (or Background/ Justification in the case of Observations)		
(Describe and provide objective evidence)		
(Describe and provide objective evidence)  The SFMA is not currently certified and their shi	inning information	does not include a certificate code and

<u>Requested Corrective Action (or Observation)</u>

To be completed by SCS Representat

SFMA should include both their new certificate code and product claim on shipping documents after certification.

product claim. Prior to their certificate lapse, documents contained only the certificate code.

<u>Implemented Corrective Action (Response to Observations is optional)</u>

Describe action taken by the FME to address the root cause of the non-conformity

	Evidence of conformance submitted with this form (please list)	
	ENAC Depresentative Name and Title	Data
	FME Representative Name and Title	<u>Date</u>
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	(Describe conclusion in detail)	
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To be Completed by SCS Representative	OTHER DECISION (refer to description above)	
e Cor	SCS Representative Name and Title (CAR/OBS reviewer)	Date of Acceptance of Corrective Action
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<u>Pre</u>	ess Enter twice below table to leave a space, then copy and paste tab	ble below for each CAR/OBS
7		CAD 2011 12
To be completed by	CAR/OBS Number (e.g. 1, 2,)  Select one:  Major CAR  V Minor CAR	CAR 2011.12
plet	Select one: Major CAR X Minor CAR	<u>Observation</u>
com	FMU CAR/OBS issued to (when more than	
(1)	one FMU)	

	3 months from above Date of Issuance  Next audit (surveillance or re-evaluation)  Pre-condition to certification  Other deadline (specify):	<u>l</u>	
	Standard and Requirement Reference	SCS FSC C	hain of Custody Indicators for Forest terprises 1.5.2.
Non-Conformity (or Background/ Justification in the case of Observations)  (Describe and provide objective evidence)		rvations)	
	The SFMA does not have a formal outsourcing agreement with their contractors.		
	Requested Corrective Action (or Observation)		
	The SFMA shall have formal outsourcing agreen	nents with service	providers.
	Implemented Corrective Action (Response to Ob Describe action taken by the FME to address the		
	Describe decion taken by the TWE to dadress the root eduse of the non-comornity		
旦	Evidence of conformance submitted with this fo	orm (please list)	
oy FM			
To be completed by FN			
o pe cc	FME Representative Name and Title		<u>Date</u>
o be	SCS Review / Acceptance of Corrective Action (Describe conclusion in detail)		

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	OTHER DECISION (refer to description above)	
	SCS Representative Name and Title (CAR/OBS reviewer)	Date of Acceptance of Corrective Action
0	- Fatantaila kalamtakka kanan nama than annan da mata t	able below for analy CAR/ORG
<u>Pres</u>	<u>s Enter twice below table to leave a space, then copy and paste t</u>	able below for each CAK/UBS

	CAR/OBS Number (e.g. 1, 2,)		OBS 2011.10
	Select one: Major CAR	Minor CAR	<u>X</u> Observation
epresentative	FMU CAR/OBS issued to (when more than one FMU)  Deadline for Corrective Action by FME  3 months from above Date of Issuance Next audit (surveillance or re-evaluation) Pre-condition to certification Other deadline (specify):	<u> </u>	
	Standard and Requirement Reference  Non-Conformity (or Background/ Justification is (Describe and provide objective evidence)	Enterprises 1.5.	
completed by SCS Representative	(Describe and provide objective evidence) Interviews with current contractor personnel a written system would insure continuity.	and SFMA staff sho	ow compliance with the intent of 1.5.3. A
To be	Requested Corrective Action (or Observation)		

	SFMA should consider a written system to help insure policy conti	nuity.
	Implemented Corrective Action (Response to Observations is option	
	Describe action taken by the FME to address the root cause of the	<u>non-conformity</u>
뷍	Evidence of conformance submitted with this form (please list)	
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To be completed by FME	FME Representative Name and Title	<u>Date</u>
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