

**Project No. 1046463-06**

November 8, 2015

Mr. Jerry Canuel  
Aspen Planers Ltd.  
Woodlands Department  
PO Box 160  
Merritt, BC  
CAN, V1K 1B8

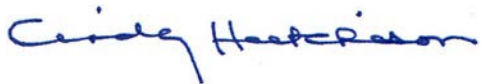
SUBJECT: REGISTRATION PROGRAM

Dear Mr. Canuel,

Please find attached the Audit Report raised as a result of our 24 Month Surveillance Audit of your management system to the CAN/CSA - Z809-2008 standard conducted in your Merritt facility on October 27, 2015.

We thank you and your organization for the support and co-operation given during the audit.

Best regards,  
SAI Global



Cindy Hutchison

Team Leader  
Encls.

## **SUSTAINABLE FOREST MANAGEMENT SYSTEM**

**Auditee:** Aspen Planers Ltd.  
**Address:** PO Box 160 Merritt British Columbia CAN V1K 1B8  
**Contact:** Mr. Jerry Canuel  
**Dates of Audit:** Oct 27, 2015 to Oct 28, 2015  
**Total Number of Audit Days:** 4 (2 people for 2 days)  
**Audit Team Leader:** Cindy Hutchison  
**Type of Audit:** 24 Month Surveillance  
**Audit Frequency:** Annual  
**SIC / NACE Code:** 0811 2421 A02.0 DD20.1

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- 2 Description of the Defined Forest Area (DFA)
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## **REPORT DISTRIBUTION**

Aspen Planers Ltd.  
SAI GLOBAL File  
Cindy Hutchison  
Dave Barker

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### Statement of Confidentiality

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## **SECTION 1 - EXECUTIVE SUMMARY**

Scope #	Scope Description
1	Forest management activities - planning, harvesting, transportation and silviculture on the Nicola Thompson Fraser DFA.

### **Site:**

Aspen Planers Ltd.  
PO Box 160  
Merritt  
British Columbia  
CAN, V1K 1B8

### **Summary of Audit Findings:**

A 12 month Surveillance audit was conducted on October 27<sup>th</sup> and 28<sup>th</sup>, 2015 on the Aspen Planers Ltd. sustainable forest management (SFM) system on tenures in the Nicola Thompson Fraser DFA. One major non-conformance, three minor non-conformances, and eight Opportunities for Improvement were identified. The audit team found that Aspen Planers Ltd. SMF system generally conforms to the requirements of CAN/CSA Z809-2008 and adheres to the company's requirements, with the exception of the noted non-conformities. Failure to provide action plans as arranged with SAI Global and/or to implement correction and corrective action within the nominated time frames may lead to a recommendation that Aspen Planers Ltd. certification be suspended. Two exceptional practices were also noted.

### **Recommendation:**

The results of this Surveillance Audit indicate that the Management System of Aspen Planers Ltd. is suitable and effective with the exception of the area of non-conformance identified during the audit.

## **SECTION 2 - DESCRIPTION OF THE DEFINED FOREST AREA (DFA):**

### **Geographic Locations, Forest Types, Size, Legal Tenure and SLF Description:**

The Nicola Thompson Fraser SFM Plan area is situated in the southern interior, east of the Coast Mountains and encompassing the Thompson-Okanagan Plateau. The area extends south to the Canada-USA border and northward to Wells Gray Provincial Park. The overall Plan area follows the administrative boundaries of the Cascades Forest District (Merritt TSA and Lillooet TSA) and the Thompson Rivers Forest District (Kamloops TSA).

The topography of Nicola Thompson Fraser is one of sharp contrasts, from dry, hot grasslands to large lakes and rugged mountains. The Nicola and Thompson Rivers join the Fraser River in the western section of the Plan area while the Similkameen River flows through the southern portion. The Plan area encompasses a wide range of Biogeoclimatic zones and subzones that reflect the complexity of the landscape and the different topographical conditions in each TSA.

In the north, the North Thompson River is bounded by the high peaks of the Monashee and Cariboo Mountains. Cool, wet conditions, with high snowfalls and dense spruce and cedar forests, are reflective of the Engelmann Spruce Subalpine Fir zone. In the central and southern portion, the mountains give way to high plateaus dissected by steep valleys and dotted with lakes and rivers. Moist and dry subzones of the Montane Spruce and Interior Douglas-fir zones, with mixed pine and pine-fir forests, reflect the differences in climate between east and west sides of the major valleys.

The landscape continues to become drier and gentler towards the south, with rolling uplands and numerous lakes. The driest Interior Douglas-fir subzones occur on the uplands, with the grasslands of the Bunchgrass subzones in the river valleys. The western boundary is influenced by the Coastal Mountains, where cool, wet coastal conditions predominate. Extensive areas of alpine and sub-alpine conditions limit forests to the middle and lower slopes of the deep valleys and wide river junctions. Engelmann Spruce-Subalpine fir, Montane Spruce and Interior Douglas-fir subzones closely follow the topography.

The diverse ecology of the area provides habitat for a wide range of fish and wildlife species including moose, mule deer, elk, mountain goat, and over 200 bird species. Predator species such as black bear, marten, cougar and coyote are also found. Many wildlife species range over large areas and some have specific habitat requirements at different times of the year. The area is also home to a number of wildlife species identified as Species at Risk, including spotted owl, American badger, bighorn sheep, grizzly bear and wolverine.

The numerous lakes and watercourses within the area are home to many fish species, including all five species of salmon, steelhead, rainbow trout, kokanee, brook trout, bull trout, and white sturgeon.

The forests of the Nicola Thompson Fraser provide numerous natural resource values, including forest products, minerals, fish, wildlife, and recreation and tourism opportunities. Extensive grassland and forested areas provide forage for both livestock and wildlife.

Major highways pass through areas of exceptional natural scenery, providing easy access to a number of communities ranging from the City of Kamloops with over 80,000 people to smaller towns such as Merritt with a population of 7,000, Lillooet, population 2,324, Cache Creek, population 1,037, and many smaller communities with populations of 200 or less. Other highways and hundreds of kilometres of unpaved roads provide access into the extensive grasslands, forested lands and backcountry areas.

A number of significant provincial parks, such as Wells Gray Provincial Park, Manning Provincial Park, Cathedral Provincial Park, Stein Valley Nlaka'pamux Heritage Park and Spruce Lake Protected Area are situated in the Plan area. Numerous smaller provincial parks, recreation sites and other Crown lands provide the setting for a host of activities including camping, hiking, wildlife and scenic viewing, fishing, hunting,

hang-gliding, boating, river rafting, mountain-biking, four-wheel driving, ATV use, snowmobiling, and downhill, helicopter and cross country skiing.

**Area of DFA:**

**Land base summary for the SFM Plan Area**

	Kamloops	TFL 18	Lillooet	Merritt	Plan Area
<b>Total Area (ha)</b>	<b>2,770,266</b>	<b>74,542</b>	<b>1,125,025</b>	<b>1,130,282</b>	<b>5,100,115</b>
Non-crown	378,315		166,313	210,130	754,758
Non-productive, non-forest	356,420	5,847	453,534	107,467	923,268
<b>Productive Forest (ha)</b>	<b>2,046,659</b>	<b>67,315</b>	<b>504,774</b>	<b>812,685</b>	<b>3,431,433</b>
Parks, protected areas, OGMA's, reserves	699,300	795	20,811	15,935	736,841
Inoperable	96,471		97,964	105,676	300,111
Environmentally Sensitive	66,656	39	43,863	66,406	176,964
Existing Roads	28,553	1402	4,380	17,428	51,763
Low site, reforestation potential	30,138	901	41,046	45,011	117,096
Non-merchantable stands	79,435	175	4,302		83,912
Riparian	21,527	1,991	6,961	50,939	81,418
<b>Long Term THLB (ha)</b>	<b>1,009,305</b>	<b>63,184</b>	<b>292,357</b>	<b>624,123</b>	<b>1,988,969</b>

**AAC apportionment summary for the SFM Plan Area**

Management Unit	AAC (m3)	Percent
Kamloops	4,000,000	51.7
TFL 18	290,000	3.7
Lillooet	635,000	8.2
Merritt	2,814,171	36.4
<b>Total Plan Area</b>	<b>7,674,171</b>	<b>100</b>

Volume allocation participating licencees	AAC (m3)	Percent of Plan Area (based on volume)
Aspen DFA	1,070,285	13.9
BCTS DFA	1,359,712	17.7
Canfor DFA	489,138	6.4
Gilbert Smith	61,940	0.8
DFA Tolko DFA	811,206	10.6
<b>Total in DFA</b>	<b>3,792,281</b>	<b>49.4</b>
Volume allocation other parties reporting	275,421	3.6
<b>Total volume reporting into Plan</b>	<b>4,067,702</b>	<b>53.0</b>
<b>Volume allocation SFI certified licencees</b>	<b>2,472,954</b>	<b>32.3</b>
Ainsworth, Interfor, Stuwix, West Fraser, Weyerhaeuser (including NRFL's allocated to or managed by these companies)		
<b>Total volume managed by this NTF Plan or by company SFI Plans</b>	<b>6,540,656</b>	<b>85.2</b>

**Legal Tenure / Licence Description for Aspen Planers Ltd.:**

The scope of the DFA within the SFM Plan area by company includes forestry and logging operations on Crown land within the following agreements (includes Licences issued to others with management responsibilities assigned to the Company):

FL A18695, A75062, A18700, A18701, A81042, A81043, and Logan Lake Community Forest Licence CFAK2E. Also for A65006, all cutting permits managed by Aspen Planers Ltd. including all those under the authority of Aspen Planers Ltd.'s FSP ID# 76 (as opposed to those managed independently by Stuwix). Aspen Planers Ltd. also manages numerous Forestry Licences to Cut and Non-Replaceable Forest Licences which are identified within one of two Forest Stewardship Plans – FSP ID#76 (Merritt TSA) and FSP ID#379 (Lillooet TSA). In the Kamloops TSA, Aspen Planers Ltd.-managed blocks under A84885, A89254, and A81371 are also included.

The above referenced forest tenures provide Aspen Planers Ltd. the authority to access and harvest trees on Crown land along with responsibilities for forest planning, reforestation, and road maintenance.

**Species Harvested by Aspen Planers Ltd.:**

Lodgepole Pine, Ponderosa Pine, Interior Douglas Fir, Sitka Spruce, Engelmann Spruce, and Western Larch.

**Volume Harvest by Aspen Planers Ltd.:**

1,070,285 m<sup>3</sup>

**SECTION 3 - AUDIT FINDINGS:**

**Audit Objective:**

To confirm the management system complies with the applicable elements of the Standard; to confirm the organization complies with its own policies and procedures; to confirm the management system is suitable for the organization; to confirm that the management system is suitable and effective, and enables the client to achieve its own objectives.

**Audit Criteria:**

CSA Z809:2008

**Audit Scope and Coverage:**

Forest management activities - planning, harvesting, transportation and silviculture on the Nicola Thompson Fraser DFA.

**Description of SAI Global and the SAI Global Audit Team:**

SAI Global is a third party management system certification Registrar. Established in 1984, SAI Global has worked with thousands of organizations in North America and around the world, issuing registration certificates to those that meet international and national management system standards.

The SAI Global Sustainable Forest Management audit team members bring with them considerable experience in the area of sustainable forest management and environmental management systems auditing. Audit teams are comprised of certified auditors and registered professional foresters. All audit team members are subject to strict confidentiality and conflict of interest agreements.

The following personnel conducted this audit:

<b>Position</b>	<b>Name</b>
Team Leader	Cindy Hutchison, RPF
Team Member	Dave Barker, RPF

**Noted Deviations from the Audit Plan:**

An interview with the Upper Nicola Band was scheduled at their request on October 29, 2015.

**Field Sites Visited and Activities Observed:**

Nicola Thompson Fraser DFA, Aspen Planers Ltd. Operations	
Block / Road Number / Name	Activities Observed
Cutblock CP 571-12	Active ground-based harvesting, procedures for harvesting, spills, fire, cultural heritage, wildlife, invasive plants.
Drive by reviews to and from CP 571-12	Regeneration.
Cutblock CP 374-1	Completed harvest and roads.
Cutblock CP 374-2	Active logging and hauling.
Cutblock CP 347-1	Grinding operations.

**Interviews:**

***Office Personnel***

- Aspen Planers, Woodlands Manager
- Aspen Planers Planning Forester
- Aspen Planers Roads Technician
- Aspen Planers Woodlands Clerk,
- Aspen Planers Operations Forester,

- Aspen Planers GIS Analyst
- Aspen Planers, Logging Manager
- Aspen Planers, Timber Development Manager

***Field Personnel***

- Nadina Logging Ltd: Grader Operator
- Nadina Logging Ltd: Truck and Loader Operator
- Nadina Logging Ltd: Logging Supervisor
- Nadina Logging Ltd: Feller buncher Operator (X2)
- Nadina Logging Ltd: Skidder Operator

***Members of the public participation process***

- PAG member representing industry and education.

***Provincial Government personnel***

Declined interview.

***Aboriginal People***

- Upper Nicola Band Members.

***Other Interested Parties***

None.



**Elements Audited:**

Reference	CAN/CSA Z809:2008	Field (F) and/or Office (X)
1.1	Scope & Use Of Certificates & Logos	X
4.1	General Requirements	
4.2	Required Activities	
5.1	Basic Requirements (Public Participation)	X
5.2	Interested Parties	X
5.3	Process: Basic Operating Rules	X
5.4	Content	X
5.5	Communication	
6.1	DFA Specific Performance Requirements	X-F
6.2	SFM Criteria – General	X
6.3	SFM criteria, elements and core indicators	X
6.3.1-6	Criterion 1-6	X
7.1	General	
7.2	SFM Policy	X
7.3.1	Defined Forest Area	X
7.3.2	Shared Responsibilities	
7.3.3 Mandatory	Rights & Regulations	X –F X
7.3.4	Incorporation of Public Participation Requirements	
7.3.5	SFM Plan	X
7.4.1	Structure & Responsibility	X
7.4.2	Training, Awareness, Qualifications & Knowledge	X –F
7.4.3	Communication	
7.4.4	SFM Documentation	
7.4.5	Document Control	X –F
7.4.6	Operational Procedures & Control	X –F
7.4.7	Emergency Preparedness & Response	
7.5.1 Mandatory	Monitoring & Measurement	X –F
7.5.2	Corrective & Preventive Action	X
7.5.3	Records	X
7.5.4 Mandatory	Internal Audits to the SFM Requirements	X
7.6 Mandatory	Management Review	X

**Indicators Audited:**

INDICATOR	TARGET	Field (F) and/or Office (X)
1.1.1 Ecosystem area by type	1. Maintain the presence of Biogeoclimatic Zones to the subzone level within the Plan area.	X
1.1.2 Forest area by type or species composition	2. 70% of harvested cutblocks having three or more tree species (non-ESSF) or two or more species (ESSF) identified in the free growing inventory.	N/A
1.1.3 Forest area by seral stage or age class	3. Progress towards a stable forest age class distribution on the timber harvesting land base. 4. Maintain the existing old growth management area (no net loss).	X

INDICATOR	TARGET	Field (F) and/or Office (X)
1.1.4 Degree of within-stand structural retention or age class	5. 80 percent of cutblocks greater than 10 hectares will have individual wildlife trees/stubs and/or wildlife tree patches within the block. Of the blocks that have individual wildlife trees/stubs and/or wildlife tree patches; at least 50 percent of the time these blocks will have dispersed individual trees, stubs or small (<0.25 ha) patches retained.	X-F
1.2.1 Degree of habitat protection for selected focal species, including species at risk.	6. Identification and protection of wildlife (mammals, birds, reptiles, fish and amphibians) at risk. 7. Affected licencees adhere to the current management strategies for mountain caribou. 8. Affected licencees adhere to the current management strategies for northern spotted owl.	N/A
1.2.2 Degree of suitable habitat in the long term for selected focal species, including species at risk	7. Affected licencees adhere to the current management strategies for mountain caribou. 8. Affected licencees adhere to the current management strategies for northern spotted owl. 9. 100% conservation of habitat for select focal species	N/A
1.2.3 Proportion of regeneration comprised of native species	10. 100% of trees planted will conform to plan commitments related to the species requirements within approved stocking standard (requires reforestation with commercially valuable and ecologically suitable tree species).	N/A
1.2.4 Timing of grass seed application (non-core indicator)	11. Road cuts and fill slopes will be grass seeded within 12 months.	X
1.4.1 Proportion of identified sites with implemented management strategies	<u>Kamloops</u> 12. Prioritized Red-listed ecological communities will be protected by retaining existing forest. <u>Lillooet</u> 13. Harvesting not to exceed greater than 50% of the total of each identified rare landscape unit / BEC zone variants. <u>Merritt</u> 6. Identification and protection of wildlife (mammals, birds, reptiles, fish and amphibians) at risk	X
1.4.2 Protection of identified sacred and culturally important sites	14. 100% protection of culturally important, sacred and spiritual sites that have been identified and mapped <u>and</u> 100% conformance to all plan commitments specifically designed to manage for culturally important, sacred, and spiritual sites that have been identified and mapped.	X
1.4.3 Management and or protection of special geological features (non- core indicator).	15. Report the special geological features that were identified and managed. Additionally, Licencees will report the management activities that they undertook for each special geological feature.	X
2.1.1 Reforestation success	16. 90% of area prescribed for planting is completed within the third growing season from start date of harvest. 17. All cutblocks will reach free growing requirements on or before the latest date.	X –F

INDICATOR	TARGET	Field (F) and/or Office (X)
2.2.1 Additions and deletions to the forest area	18. Less than 6%, (7% within the Lillooet TSA), on average, of harvested areas will be in permanent roads and landings.	X –F
2.2.2 Proportion of the calculated long-term sustainable harvest level that is actually harvested	19. Harvest the cut allocation for the year consistent with the cut control regulation and policy.	X
2.2.3 Riparian conformance (non-core indicator)	20. 100% conformance to riparian and lakeshore commitments made within plans.	N/A
3.1.1 Level of soil disturbance	18. Less than 6%, (7% within the Lillooet TSA), on average, of harvested areas will be in permanent roads and landings. 21. 100% conformance to soil conservation measures contained with operational plans. 22. No operationally caused slides resulting from a failure to perform a terrain stability field assessment or from a failure to follow the recommendations within a completed assessment.	N/A
3.1.2 Level of downed woody debris	23. 100 percent of cutblocks will manage coarse woody debris (CWD) consistent with commitments in operational plans (5% variance).	X-F
3.2.1 Proportion of watershed or water management areas with recent stand-replacing disturbance	<u>Kamloops reporting only</u> 24. Equivalent clear cut area (ECA) not to exceed 35% without doing further hydrological assessments prior to harvesting. Target applies to the highest risk rated watersheds (post MPB) as identified in SFM Plan Appendix. <u>Lillooet and Merritt reporting only</u> 24. Equivalent clear cut area (ECA) not to exceed 35% (at the sub-basin level) without doing further hydrological assessments prior to harvesting.	X
3.2.2 Managing water quality through road inspections (non- core indicator).	25. All permanent status roads and associated structures will have inspections and related maintenance completed as scheduled.	X
4.1.1 Net carbon uptake	3. Progress towards a stable forest age class distribution on the timber harvesting land base . 18. Less than 6%, (7% within the Lillooet TSA), on average, of harvested areas will be in permanent roads and landings.	N/A

INDICATOR	TARGET	Field (F) and/or Office (X)
5.1.1 Quantity and quality of timber and non-timber benefits, products, and services produced in the DFA	<p>19. Harvest the cut allocation for the year consistent with the cut control regulation and policy.</p> <p>27. Open communication with local First Nations will include an understanding of traditional territories and other aboriginal rights including cultural and spiritual values. Participating Licencees respond to all written requests for communication/information from First Nations.</p> <p>28. Licencees will demonstrate efforts by participating in public multi-stakeholder meetings at both the strategic and at the local level. Licencees will report on the number of community meetings held or attended. Licencees will also report on the number of communications with concerned and engaged recreational users.</p> <p>Participating licencees respond to all written requests from the public for communication within 30 days of their receipt.</p> <p>29. 100% conformance to strategies in plans designed to achieve preservation and partial retention visual quality objectives.</p> <p>30. 100% of known pre-existing recreational trails retained for continued recreational use on areas harvested in the reporting period.</p> <p>31. Report business initiatives and partnerships.</p>	X
5.2.1 Level of investment in initiatives that contribute to community sustainability	<p>19. Harvest the cut allocation for the year consistent with the cut control regulation and policy.</p> <p>32. Report the board feet and chip volume produced by sawmills within the TSA.</p> <p>33. Report number of timber processing facility operating days, the total number of man hours worked and the number of mill employees on payroll. Report separately for each TSA.</p> <p>31. Report business initiatives and partnerships.</p>	N/A
5.2.2 Level of investment in training and skills development	34. 100% of DFA forest contractors will have both environmental and safety training (10% variance). 100% of woodlands employees are trained in accordance with training plans (10% variance)	X
5.2.3 Level of direct and indirect employment	<p>19. Harvest the cut allocation for the year consistent with the cut control regulation and policy.</p> <p>32. Report the board feet and chip volume produced by sawmills within the TSA.</p> <p>33. Report number of timber processing facility operating days, the total number of man hours worked and the number of mill employees on payroll. Report separately for each TSA.</p>	X
5.2.4 Level of Aboriginal participation in the forest economy	35. Maintain and/or increase the number of working relationships (partnerships, joint ventures, co-operative agreements, business contracts) with First Nations.	X
6.1.1 Evidence of a good understanding of the nature of Aboriginal title and rights	27. Open communication with local First Nations will include an understanding of traditional territories and other aboriginal rights including cultural and spiritual values. Participating Licencees respond to all written requests for communication/information from First Nations.	X-F

INDICATOR	TARGET	Field (F) and/or Office (X)
6.1.2 Evidence of best efforts to obtain acceptance of management plans based on Aboriginal communities having a clear understanding of the plans	27. Open communication with local First Nations will include an understanding of traditional territories and other aboriginal rights including cultural and spiritual values. Participating Licencees respond to all written requests for communication/information from First Nations.	F
6.1.3 Level of management and/or protection of areas where culturally important practices and activities (hunting, fishing, gathering) occurS-1	27. Open communication with local First Nations will include an understanding of traditional territories and other aboriginal rights including cultural and spiritual values. Participating Licencees respond to all written requests for communication/information from First Nations.  14. 100% protection of culturally important, sacred and spiritual sites that have been identified and mapped <u>and</u> 100% conformance to all plan commitments specifically designed to manage for culturally important, sacred, and spiritual sites that have been identified and mapped.	F
6.2.1 Evidence of understanding and use of Aboriginal knowledge through the engagement of willing Aboriginal communities, using a process that identifies and manages culturally important resources and values	27. Open communication with local First Nations will include an understanding of traditional territories and other aboriginal rights including cultural and spiritual values. Participating Licencees respond to all written requests for communication/information from First Nations.  14. 100% protection of culturally important, sacred and spiritual sites that have been identified and mapped <u>and</u> 100% conformance to all plan commitments specifically designed to manage for culturally important, sacred, and spiritual sites that have been identified and mapped.	X –F
6.3.1 Evidence that the organization has co-operated with other forest-dependent businesses, forest users, and the local community to strengthen and diversify the local economy	36. Where forest operations are planned within range units, the forest Licencee will communicate with the rancher in advance of those operations to minimize impact to affected ranchers.  37. Communication of forest operations to occur with trappers 100% of the time in advance of operations.  29. 100% conformance to strategies in plans designed to achieve preservation and partial retention visual quality objectives.  31. Report business initiatives and partnerships.  28. Licencees will demonstrate efforts by participating in public multi- stakeholder meetings at both the strategic and at the local level. Licencees will report on the number of community meetings held or attended. Licencees will also report on the number of communications with concerned and engaged recreational users.	X
6.3.2 Evidence of co- operation with DFA-related workers and their unions to improve and enhance safety standards, procedures, and outcomes in all DFA-related workplaces and affected communities	38. A minimum of 80% of contractors conducting on-the-ground work are SAFE Company, or equivalent, registered and/or certified. And for BCTS, that a minimum of 80% of the Licencees or contracts awarded were SAFE Company, or equivalent, registered and/or certified.	X
6.3.3 Evidence that a worker safety program has been implemented and is periodically reviewed and improved	39. All forest companies/organizations subscribing to the SFM Plan are SAFE Company, or equivalent, certified.	N/A

INDICATOR	TARGET	Field (F) and/or Office (X)
6.4.1 Level of participant satisfaction with the public participation process	<p>40. Completion of annual PAG survey: 80% of survey responses “3” or better. All written comments are reviewed and considered, and all line responses averaging less than 3 become action items.</p> <p>41. Participating licencees will maintain educational support that leads to a balanced and broad-based understanding of forestry. One focus is forestry programs at the elementary, secondary, and post-secondary levels. Target 40 action per year in each of the Merritt and Kamloops TSAs, and 10 actions per year in Lillooet TSA.</p>	X
6.4.2 Evidence of efforts to promote capacity development and meaningful participation in general	<p>41. Participating licencees will maintain educational support that leads to a balanced and broad-based understanding of forestry. One focus is forestry programs at the elementary, secondary, and post-secondary levels. Target 40 action per year in each of the Merritt and Kamloops TSAs, and 10 actions per year in Lillooet TSA.</p>	X
6.4.3 Evidence of efforts to promote capacity development and meaningful participation for Aboriginal communities	<p>41. Participating licencees will maintain educational support that leads to a balanced and broad-based understanding of forestry. One focus is forestry programs at the elementary, secondary, and post-secondary levels. Target 40 action per year in each of the Merritt and Kamloops TSAs, and 10 actions per year in Lillooet TSA.</p> <p>27. Open communication with local First Nations will include an understanding of traditional territories and other aboriginal rights including cultural and spiritual values. Participating Licencees respond to all written requests for communication/information from First Nations.</p> <p>35. Maintain and/or increase the number of working relationships with First Nations.</p>	N/A
6.5.1 Number of people reached through educational outreach	<p>41. Participating licencees will maintain educational support that leads to a balanced and broad-based understanding of forestry. One focus is forestry programs at the elementary, secondary, and post-secondary levels. Target 40 action per year in each of the Merritt and Kamloops TSAs, and 10 actions per year in Lillooet TSA.</p>	X
6.5.2 Availability of summary information on issues of concern to the public	<p>42. Licencees will keep members of the public informed of TSA strategies being developed, and planning occurring by: Maintaining a website. Circulating the SFM plan and other information to the public at least annually (news release/leaflet/open house/Local Resource Use Plan, etc.).</p>	N/A

**Audit Process:**

The audit process includes the following:

**Opening Meeting**

The Opening meeting, where the scope and the method of performing the audit were explained, was attended by the persons listed in the Meeting Attendees form, which is maintained on file at SAI Global.

**Audit Plan**

The audit plan included an office review and field audit (per the audit plan) whereby the auditor,

- Reviewed operations located in the Merritt Area, as managed by Aspen Planers Ltd. Woodlands Division.
- Looked for objective evidence to draw conclusions,
- Talked with those performing the task,

- Used a sampling method to review processes, systems, and procedures.

**Documentation Review**

The audit team reviewed the SFM documentation (interim SFM monitoring report, SFM plan), maps, site plans, PAG meeting minutes, relevant sections of the company EMS Manual, procedures, the Forest Stewardship Plan, and associated records.

**Closing Meeting**

The persons listed in the Meeting Attendees form attended a Closing meeting. The Audit Team Leader commenced the closing meeting by thanking the Aspen Planers Ltd. staff for the cooperation and courtesy extended to the audit team during the audit. The findings were discussed.

**Audit Results:**

**Status of any previously recorded non-conformances (NCRs)**

The implementation and effectiveness of corrective actions relating to previously recorded non-conformance was verified, accepted, and the non-conformance was cleared. The relevant comments were recorded in the audit checklist.

The following non-conformance is now closed:

Activity #:	1046463-06	Client:	Aspen Planers Ltd. Woodlands Department			App/Cert:	
Function/Area/Process:	Emergency preparedness and response			Site:	PO Box 160, Merritt		
Std. and Clause No(s):	CAN/CSA - Z809-2008 7.4.7	NCR#:	2014-01	Category:	Minor		
<b>Section 1- Details of non-conforming situation:</b>							
<b>Non-conforming situation:</b>							
Emergency Drill Test Records were not available during the audit.							

**Positive Aspects of the Management System and Exemplary Practices**

- Use of bridge instead of half-pipe to span fish stream in cutblock A85452, CP 566-4.
- An expanding use of the Phoenix Tracking and Reporting System for road and crossing structure inspections is a significant process improvement.

**Non-conformances**

Activity #:	1046463-06	Client:	Aspen Planers Ltd. Woodlands Department			App/Cert:	
Function/Area/Process:	Document control (7.4.5.1 & 7.4.5.2)			Site:	PO Box 160, Merritt		
Std. and Clause No(s):	CAN/CSA - Z809-2008 7.4.5	NCR#:	2015-01	Category:	Minor		
<b>Section 1- Details of non-conforming situation:</b>							
<b>Non-conforming situation:</b>							
Nadina Logging has "EMS Binder" with contents updated to 2013. Current documents not available at point of use, and obsolete documents not removed.							
<b>Requirement:</b>							

7.4.5.1 The organization shall establish and maintain procedures for controlling all documents (paper or electronic) required by this Standard, to ensure that (a) documents can be readily located... (c) the current versions of relevant documents are available at all locations ... (d) obsolete documents are promptly removed from all points of issue and use, or otherwise prevented from unintended use...

**Objective evidence:**

EMS Binder on-site.

**Action Plan Due Date:** 11/27/2015

<b>Activity #:</b>	1046463-06	<b>Client:</b>	Aspen Planers Ltd. Woodlands Department			<b>App/Cert:</b>	
<b>Function/Area/Process:</b>	Element 6.2 Respect for aboriginal forest values, knowledge and uses				<b>Site:</b>	PO Box 160, Merritt	
<b>Std. and Clause No(s):</b>	CAN/CSA - Z809-2008 6.3.6 Criterion 6	<b>NCR#:</b>	2015-02	<b>Category:</b>	Major		

**Section 1- Details of non-conforming situation:**

**Non-conforming situation:**

Aspen Planers efforts have been insufficient to obtain acceptance of management plans based on Aboriginal communities having a clear understanding of the plans in the UNB Traditional Territory. Aspen Planers has not made efforts to solicit, understand, and use Aboriginal knowledge in the context of the Suxw txtem Principles.

**Requirement:**

6.3.6 Criterion 6 — Society’s responsibility Society’s responsibility for sustainable forest management requires that fair, equitable, and effective forest management decisions are made.

**Objective evidence:**

Interviews with Upper Nicola Band (UNB) and Aspen Planers Staff. UNB/AP Framework Agreement. UNB Referrals 2014/2015. UNB/AP Meeting Minutes supplied by UNB. Review of 2015/2015 harvest maps. Suxw txtem Principles.

**Action Plan Due Date:** 11/27/2015  
**Clearance Due Date:** 12/27/2015

<b>Activity #:</b>	1046463-06	<b>Client:</b>	Aspen Planers Ltd. Woodlands Department			<b>App/Cert:</b>	
<b>Function/Area/Process:</b>	Shared responsibilities				<b>Site:</b>	PO Box 160, Merritt	
<b>Std. and Clause No(s):</b>	CAN/CSA - Z809-2008 7.3.2	<b>NCR#:</b>	2015-03	<b>Category:</b>	Minor		

**Section 1- Details of non-conforming situation:**

**Non-conforming situation:**

Interviews with Aspen Planers employees demonstrated that those working in the UNB area were unaware of the (Framework) Agreement to follow the Suxwtxtem principles, and the forest management requirements outlined in those principles.

**Requirement:**

7.3.2 Shared responsibilities The organization shall ensure that all parties necessary to address the SFM elements for the DFA are involved in the process. The organization shall clearly describe the respective roles and responsibilities of the parties involved.



**Objective evidence:**  
 Interviews with Aspen Planers employees. UNB/AP Framework Agreement. Suxwtxtem principles.

**Action Plan Due Date:** 11/27/2015

<b>Activity #:</b>	1046463-06	<b>Client:</b>	Aspen Planers Ltd. Woodlands Department		<b>App/Cert:</b>	
<b>Function/Area/Process:</b>	Element 5.2 Communities and Sustainability			<b>Site:</b>	PO Box 160, Merritt	
<b>Std. and Clause No(s):</b>	CAN/CSA - Z809-2008 6.3.5.2	<b>NCR#:</b>	2015-04	<b>Category:</b>	Minor	

**Section 1- Details of non-conforming situation:**

**Non-conforming situation:**  
 Aspen Planers has failed to provide expected employment opportunities outlined in the UNB Framework Agreement.

**Requirement:**  
 Element 5.2 — Communities and sustainability Contribute to the sustainability of communities by providing diverse opportunities to derive benefits from forests and by supporting local community economies. Core indicators • 5.2.4 — Level of Aboriginal participation in the forest economy

**Objective evidence:**  
 UNB/AP Framework Agreement. UNB/AP Meeting Minutes provided by UNB. Evidence requested from Aspen Planers indicating that the requirements have been met has not been provided.

**Action Plan Due Date:** 11/27/2015

**Opportunities for Improvement (OFI)**

Consider:

- (7.4.2 Training, awareness, qualifications, and knowledge) additional training for layout staff to improve ribboning along NCD and machine free zone boundaries. (374-1,2)
- (7.5.2 Corrective and preventive action) adding comments about follow up regarding burnt timber onto the August fire incident report.
- (6.3.2 Evidence of cooperation with DFA related workers ) more robust wording in the SFM monitoring plan regarding not meeting the 80% contractor SAFE Certification requirement for target 38.

Please note that the Non Conformances and Opportunities for Improvement will be reviewed as part of the preparation for the next audit.

**SECTION 4 - GENERAL ASSESSMENT AND RECOMMENDATION:**

An effective interaction exists between all elements of the management system and top management has demonstrated a commitment to maintain the effectiveness of the system.

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

The results of this Surveillance Audit indicate that the Management System of Aspen Planers Ltd. is suitable and effective with the exception of the areas of non-conformance identified during the audit. The areas of non-conformance must be resolved within a 60-day time frame. If the areas of non-conformance are not resolved by the agreed corrective action date, the registration suspension process will commence.

Upon successful resolution of the area of non-conformance Aspen Planers Ltd. will continue to be recommended for registration to the CAN/CSA-Z809-2008.

**Next Scheduled Audit:**

**Project Number:** A-00246551  
**Dates:** Oct 26, 2016 to Oct 27, 2016  
**Type of Audit:** Re-registration  
**No of Persons:** 2  
**No of Audit Days Required:** To be determined.

**Forest Areas for the Next Audit:**

Kamloops TSA

Cindy Hutchison  
SAI Global  
Team Leader

Date: November 8, 2015