

Baraga Forest Management Unit

2015 Forest Certification Internal Audit Report

Internal Audit Dates: June 29 – July 1, 2015

Initial Post Audit Draft Internal Audit:

July 1st, 2015

Lead Auditor: Scott Jones

Internal Auditors: Gary Roloff, Pat Mohny,

Kristen Matson

Trainees: Katie Armstrong, Rick-James Hill

Opportunities for Improvement: 4

Minor Non-Conformances: 9

Major Non-Conformances: 0

Follow-Up Required:

Opportunities for Improvement: 0

Minor Non-Conformances: 4

Major Non-Conformances: 0

Internal Audit Report:

Opening Comments:

The internal audit of the Baraga forest management unit was held June 29th through July 1st, 2015. The scope of the audit was state forest land within the Baraga forest management unit. The audit criteria were the June 23, 2014 version of the work instructions (WIs) and all supporting DNR policy, procedures, rules, management guides, guidance documents, plans and handbooks that were relevant to the management of state forest land including any Management Review decisions. The June 23, 2015 version of the work instructions was not made available to the forest management unit staff until the day of the internal audit, so the audit team agreed to evaluate any potential non-conformances against the prior version of the work instructions. We agreed that if the observed activity was not in conformance with the June 23rd, 2015 AND the June 23rd, 2014 versions of work instructions, the activity warranted a non-conformance designation.

A candidate set of sites and topics was sent to the forest management unit manager prior to arrival of the audit team. On Monday, June 29th, the lead auditor worked with the forest management unit manager to finalize the route and stops. We selected two audit routes: 1) West Tour - west and south of the forest management unit office towards Baraga Plains Wildlife Area and 2) East Tour - southwest and east of the office into the Baraga Plains and Covington-Ned Lake management areas. On Monday afternoon, we conducted an opening meeting with the audit participants at the Baraga Field Office which consisted of staff introductions, purpose of the audit, management unit overview and a series of staff presentations covering a number of topics that would likely not get fully addressed in the field. The west team visited 11 sites that included: several northern hardwoods sites, natural white and red pine sites, aspen sites and a white birch site. The east team visited 12 sites including: wildlife forage crops, a state forest campground at Big Lake, an active jack pine harvest, a couple of black spruce harvests, some upland hardwood sites, a couple of

spruce and balsam fir harvest sites and a resource damage report site. Wednesday morning we reviewed the audit findings, conducted follow-up interviews and further reviewed documents as needed. A closing meeting was held on Wednesday at 1:00 pm. The audit team gathered evidence to determine work instruction conformance through interviews, document review and field observations.

Definitions:

Opportunities for improvement: An opportunity for improvement is a finding that does not necessarily represent a deficiency, but does indicate a function that can be strengthened thus improving some aspect of forest management or preventing a potential non-conformance in the future.

Unit-Level Minor Non-Conformance: A lapse in the implementation of a forest certification work instruction. A minor non-conformance is written against an individual work instruction – it does not cover multiple work instructions.

- Written against the responsible position.

Unit-Level Major Non-Conformance: This is issued against something that would jeopardize certification such as the use of a banned chemical, an external audit non-conformance that has not been addressed at the unit level or the use of a plant that is a genetically modified organism.

- Written against the unit manager.

Multi-Unit Non-Conformance: Two or more occurrences of the same or similar unit-level major non-conformances or three or more occurrences of a unit-level minor non-conformance or as recommended by the audit team and approved by the Forest Certification Team following the internal audit process.

- Written against higher levels of management
- Automatically triggers a ‘theme’ for the next round of internal audits (i.e. all units get assessed).

Audit Findings:

We greatly appreciated the cooperation, involvement and openness of the Baraga unit staff. We were particularly impressed with the following aspects of their management program:

1. Their foresight to alter forest management prescriptions at the last minute, through a Chapter 7 change, to account for forest health issues that were not present during the planning process.
2. Very good detail captured in the inventory describing the major canopy composition as well as the sub-canopy.
3. Good retention rationale that was also captured in the prescription detail.

4. Roadside sale names were posted on a painted tree near the road for easy identification.
5. Very good cooperation among the professional staff – foresters, wildlife biologist, fisheries biologist, wildlife technician and forest technicians.
6. Good cooperation among the foresters and forest technicians.
7. Excellent engagement and participation by unit staff in the community. Examples include the development of a fire severity index operated by students at a local school and participation in career days, especially with Michigan Tech.
8. Good interface with other agencies, especially the National Forest staff and the Bureau of Indian Affairs.

An audit theme was added for the 2015 audits and this theme consisted of a review of the timber sale inspection forms and notes. The audit of this theme for the Baraga unit resulted in a unit-level minor non-conformance that is described below (minor non-conformance report 11-2015-09).

Opportunities for Improvement (OFI):

OFI 11-1, WI 1.3 Regional State Forest Management Plan Implementation and Revision.

There has been an ongoing discussion as to whether or not the Keweenaw Tip Management Area should remain as part of the managed state forest or should be turned over to Parks and Recreation Division to be managed for its recreational potential. A recreation plan was prepared for the management area some years ago, but has remained in limbo. A decision on what course of action should be taken needs to be made by Forest Resources and Parks and Recreation divisions. OFI 11-2 then needs to be addressed depending upon that decision.

There are ongoing discussions about transferring this management area to PRD, but these talks have gone on hold as the state land strategy is discussed and finalized in the legislature. Until this issue is resolved no progress can be made in terms of potentially transferring this management area to PRD. PRD is interested in the management area because of the recreational opportunities and potential opportunities. On the other hand there are a number of ERAs in the management area that are globally ranked and for which no ERA plans have been developed. This issue will need to be addressed before any decision is made on transferring the area to PRD.

OFI 11-2, WI 1.3 Regional State Forest Management Plan Implementation and Revision.

The forest inventory for the Keweenaw Tip Management Area was rudimentary and the partially updated inventory has resulted in major changes to the cover type and age-class distributions which will in turn impact the cover type management objectives. It is recommended that once the inventory is completely updated in early 2016 that the Keweenaw Tip Management Area direction in the Western Upper Peninsula Regional State Forest Management Plan be updated through an amendment to the plan.

This would be considered as a routine part of planning – major changes in the inventory

would result in a revision of the plan. There are three compartments in the area and inventory is progressing – the last compartment will be inventoried under the new format this year. Once that is completed, the plan for the management area can and will be revisited.

OFI 11-3, WI 1.4 Biodiversity Management on State Forest Lands

The 2013 Overview of Audit Findings provided guidance on the protection of vernal pools during intrusive activities. Although numerous definitions of vernal pools exist (e.g., MNFI community description), field staff is uncertain about how to correctly identify vernal pools during normal field operations (e.g., during inventory or timber sale preparation). Discussion occurred among the auditors and field staff at Eh Hardwoods.

New area biologist is up to speed on the definition and characteristics of vernal pools can bring that expertise to the unit. Mentoring of forestry field staff will occur as inventory is carried out. Vernal pools are handled through the implementation of best management practices.

OFI 11-4, WI 6.1-9 Implementing Public Information and Educational Opportunities on State Forests. The Department of Natural Resources conducts public educational outreach through a variety of methods including: posters and interpretive signing.

On the East Tour at Big Lake Campground a jack pine timber sale has been sold to remove hazard trees around the campground. No special measures have been taken to inform the public of pending harvest activities or the purpose of the harvest.

This work was done during a period when there was no public use to avoid any conflict. Future work in a similar vein will include notices for the public to inform them of pending work in recreational sites.

The DNR’s internal audit review process (Work Instruction 1.2) requires a record, evaluation and report of non-conformances with forest certification standards and related work instruction at all levels of the department. As part of that process, we documented the unit’s conformity with policy, procedures, management review decisions and work instructions. The observed non-conformances are listed below. There were nine unit-level minor non-conformances and no unit-level major non-conformances.



Michigan Department of Natural Resources - Forest Resources Division

**2015 INTERNAL AUDIT
NON-CONFORMANCE REPORT**

Unit Name: Baraga Forest Management Unit	Site location: 52N 33W Section 4, Compartment 3	Non-Conformance Report Number (Unit Code - yyyy - #): 11-2015-01
Lead Auditor: Scott Jones	Team Members: Gary Roloff, Pat Mohney, Kristen Matson	

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Verified by: Bill Scullon Electronic December 4, 2015 <hr/> Responsible Manager Supervisor Signature Date	Closed by: Scott Jones <i>Scott Jones</i> December 4, 2015. <hr/> Forest Resources Division Signature Date Forest Certification Specialist
Follow Up Comments	



Michigan Department of Natural Resources - Forest Resources Division

2015 INTERNAL AUDIT NON-CONFORMANCE REPORT

Unit Name: Baraga Forest Management Unit	Site location: RDR 1257: T50N R34W Sec 20 SW1/4	Non-Conformance Report Number (Unit Code - yyyy - #): 11-2008-04 Re-issued 11-2015-02
Lead Auditor: Scott Jones	Team Members: Gary Roloff, Pat Mohney, Kristen Matson	
Date: July 1, 2015	Work Instruction or Standard and Clause Number: 3.1 Forest Operations	
<input type="checkbox"/> Major X - Minor	Other Documents (if applicable): 2008 Baraga Internal Audit Report	Responsible Manager(s) (Person identified by the internal audit team who implements the corrective action): Brad Carlson, Acting Unit Manager, Forest Resources Division
Requirement of Audited Standard/Work Instruction: 3.1-1: Operations on the state forest lands will protect: a) water quality. 3.1-4 The operating division will be responsible for protecting water quality... The current Michigan DNR/DEQ <i>Sustainable Soil and Water Quality Practices on Forest Land (2009)</i> will be the standard guide for water-quality protection....Road and trail construction or maintenance contracts will require compliance with BMP standards.		
Observed Nonconformity: A logger was required to crib over existing culvert crossing on Six Mile Creek with wooden timbers (RDR 1257). The approaches were armored with crushed rock gravel and silt fence was installed along road edges near crossing to prevent sedimentation in the stream. This was done to protect existing crossing from damage while waiting for funding to replace culvert with a bridge. A site inspection revealed the silt fence was not maintained. It was full of sand and sand had started to breach over the silt fence toward the stream. A heavy rain event in the future could cause the silt fence to be breached and a heavy sand load thereby delivered into the stream. There is a lack of maintenance of temporary protection structures at the RDR site. Staff did not identify a need or intent to perform periodic monitoring and maintenance of the temporary protection structures until the culvert is replaced or RDR is resolved. As of the 2015 audit, this RDR has still not been closed.		
Root Cause Analysis: The Resource Damage Report area became well vegetated in the summer of 2014 and the staff did not do periodic monitoring of the site because the risk of sedimentation was not present. Due to the logging activity during the winter of 2014-15, the road was opened and the vegetation was removed. As a consequence, the risk of sedimentation returned.		
Prepared by and date: Brad Carlson July 31, 2015		

Corrective Action:													
The site will have a bottomless arch-style culvert installed via a federal fish passage grant. When this culvert is installed the site will have the banks armored, approaches graveled and road ditching/diversions built. Routine monitoring and cleaning to make sure the silt fence is functioning will take place.													
Sand has been removed from the crossing and the silt screen has been re-established and will be maintained until the culvert is installed.													
Prepared by and date: Brad Carlson July 31, 2015													
Proposed Completion Date: August 2017													
Responsible Manager: Brad Carlson													
Responsible Manager Signature: On File		Date: July 31, 2015											
<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 33%; border-bottom: 1px solid black;">Brad Carlson</td> <td style="width: 33%; border-bottom: 1px solid black;">On File</td> <td style="width: 33%; border-bottom: 1px solid black;">July 31, 2015</td> </tr> <tr> <td style="font-size: small;">Forest Resources Division Unit Manager</td> <td style="font-size: small;">Signature</td> <td style="font-size: small;">Date</td> </tr> </table>	Brad Carlson	On File	July 31, 2015	Forest Resources Division Unit Manager	Signature	Date	<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 33%; border-bottom: 1px solid black;">Don Mankee</td> <td style="width: 33%; border-bottom: 1px solid black;">On File</td> <td style="width: 33%; border-bottom: 1px solid black;">August 25, 2015</td> </tr> <tr> <td style="font-size: small;">Forest Resources Division District Supervisor</td> <td style="font-size: small;">Signature</td> <td></td> </tr> </table>	Don Mankee	On File	August 25, 2015	Forest Resources Division District Supervisor	Signature	
Brad Carlson	On File	July 31, 2015											
Forest Resources Division Unit Manager	Signature	Date											
Don Mankee	On File	August 25, 2015											
Forest Resources Division District Supervisor	Signature												
CORRECTIVE ACTION PLAN ACCEPTED													
Forest Certification Planning Specialist: Scott Jones													
Date: November 3, 2015													
Actual Completion Date:													
Responsible Manager:													
Date:													
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Responsible Manager Supervisor	Signature	Date											
Closed by:													
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Follow Up Comments:													
This non-conformance will be kept open until the arch culvert is installed in August of 2017.													



Michigan Department of Natural Resources - Forest Resources Division

2015 INTERNAL AUDIT NON-CONFORMANCE REPORT

Unit Name: Baraga Forest Management Unit	Site location: 52N 33W Section 4, Compartment 3 and Compartment 11, Stand 116	Non-Conformance Report Number (Unit Code - yyyy - #): 11-2015-03
Lead Auditor: Scott Jones	Team Members: Gary Roloff, Pat Mohney, Kristen Matson	
Date: July 1 st , 2015	Work Instruction or Standard and Clause Number: 3.1 Forest Operations	
<input type="checkbox"/> Major <input checked="" type="checkbox"/> Minor	Other Documents (if applicable):	Responsible Manager(s) (Person identified by the internal audit team who implements the corrective action): John DePue, Wildlife Biologist

Requirement of Audited Standard/Work Instruction:

3.1-2 Intrusive Activities

Operations review: FRD, WD, PRD, and FD will review and approve all intrusive activity performed or permitted by any DNR division on State Forest lands at appropriate level(s), and these approvals will be documented. An intrusive activity is a site disturbing activity impacting soil and/or vegetation that may potentially influence water quality, rare species, special sites (cultural, ecological, geological, and historic), or site productivity.

The R4048 Forest Treatment Proposal shall be used to document FRD, WD, PRD, FD, and LED approvals of intrusive activities. Completion of intrusive activities will also be documented by completion of a R4048-1 Forest Treatment Completion Report. Treatments which are multi- year in nature will have partial treatments reported to the Land Administering Division manager on an annual basis. Documentation of completed Forest Treatment Proposals will be kept in the compartment file, and forest inventory records will be updated annually.

Observed Nonconformity:

There are 185 acres of state forest land currently being managed for wildlife food crops under a sharecrop agreement dated May 18, 2015. The area was tilled, treated with Roundup and planted to wheat and barley in 2015 but there are scant details and no documentation outside the sharecrop agreement. There was no Forest Treatment Proposal (R4048) or Forest Treatment Completion Report (R4048-1) on file for this activity. An intrusive activity in Compartment 11 Stand 116 also had no completion report on file.

Root Cause Analysis:

Farming activities to improve wildlife habitat have been conducted on state owned lands on the Baraga Plains and Sturgeon River Sloughs wildlife management areas for over 15 years. Wildlife staff assumed there were Forest Treatment Proposals in place for annual activities. There has been a number of wildlife staff changes in the past several years and the Forest Treatment Proposals and completion reports were either lost or not completed.

Prepared by and date: John DePue October 26, 2015

Corrective Action:

A Forest Treatment Proposal has been submitted for the farming activities on the Sturgeon River Sloughs Wildlife Management Area. Annual completion reports will be completed for on-going farming activities on the Baraga Plains Wildlife Management Area, Compartment 11 Stand 116.

Prepared by and date: John DePue October 26, 2015

Proposed Completion Date: November 13, 2015

Responsible Manager: John DePue

Responsible Manager Signature: John DePue – On File

Date: October 27, 2015

Brad Carlson On File October 27, 2015 <hr/> Forest Resources Division Signature Date Unit Manager	Don Mankee Electronic November 24 th , 2015 <hr/> Forest Resources Division Signature District Supervisor
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CORRECTIVE ACTION PLAN ACCEPTED

Forest Certification Planning Specialist: Scott Jones

Date: November 24th, 2015

Actual Completion Date:

Responsible Manager: John DePue

Date: November 13th, 2015

Verified by: Bill Scullon Electronic December 4, 2015	Closed by: Scott Jones <i>Scott Jones</i> December 4, 2015
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Responsible Manager Supervisor	Signature	Date	Forest Resources Division Forest Certification Specialist	Signature	Date
Follow Up Comments					



Michigan Department of Natural Resources - Forest Resources Division

2015 INTERNAL AUDIT NON-CONFORMANCE REPORT

Unit Name: Baraga Forest Management Unit		Site location: Big Lake Campground		Non-Conformance Report Number (Unit Code - yyyy - #): 11-2015-04	
Lead Auditor: Scott Jones		Team Members: Gary Roloff, Pat Mohney, Kristen Matson			
Date: July 1, 2015		Work Instruction or Standard and Clause Number: 3.2 Best Management Practices Non-Conformance Reporting Instructions			
<input type="checkbox"/> Major <input checked="" type="checkbox"/> Minor		Other Documents (if applicable): Resource Damage Report Database		Responsible Manager(s) (Person identified by the internal audit team who implements the corrective action): Dan Dowdy, Manager, Baraga State Park, Parks and Recreation Division.	
<p>Requirement of Audited Standard/Work Instruction: 3.2-1 DNR employees are required....to watch for and report Best Management Practice problems in state forests. Reporting responsibilities include water quality and site productivity issues. Employees should endeavor to monitor problem-prone areas on a systematic basis.</p>					
<p>Observed Nonconformity: The Big Lake Campground has an undesignated boat launch site. The lake is shallow and the water level has decreased over time although the water level is currently up from historic lows. Jack pine has begun growing along parts of the exposed shoreline and now four-wheel drive vehicles and ATVs have been driving along the shoreline causing damage and leaving ruts. No resource damage report has been filed for this site.</p>					
<p>Root Cause Analysis: The lake is controlled by ground water and is currently very low. As a result, there was no barrier to prevent access to the shoreline by off-road vehicles. This lack of access control has resulted in illegal activity which has caused the damage that is now evident.</p>					
<p>Prepared by and date: Dan Dowdy July 14, 2015</p>					
<p>Corrective Action:</p> <ol style="list-style-type: none"> 1. Complete and file a resource damage report. 2. Install signage to designate non-off-road vehicle areas. 3. Place large boulders along either side of undesignated boat launch to deter illegal off-road vehicle access along the shoreline. 					
<p>Prepared by and date: Dan Dowdy July 14, 2015</p>					
<p>Proposed Completion Date: July 14, 2015</p>					
<p>Responsible Manager: Dan Dowdy</p>					
Responsible Manager Signature: On File				Date: July 31, 2015	

Brad Carlson Forest Resources Division Unit Manager	On File	July 31, 2015	Don Mankee Forest Resources Division District Supervisor	On File	July 31, 2015
Signature	Date		Signature		
CORRECTIVE ACTION PLAN ACCEPTED					
Forest Certification Planning Specialist: Scott Jones					
Date: August 1, 2015.					
Actual Completion Date: July 14, 2015					
Responsible Manager: Dan Dowdy					
Date: July 14, 2015					
Verified by:			Closed by:		
Bill Doan	Electronic	December 2, 2015	Scott Jones	<i>Scott Jones</i>	December 2, 2015
Responsible Manager Supervisor	Signature	Date	Forest Resources Division Forest Certification Planner	Signature	Date
Follow Up Comments					



Michigan Department of Natural Resources - Forest Resources Division

2015 INTERNAL AUDIT NON-CONFORMANCE REPORT

Unit Name: Baraga Forest Management Unit	Site location: Multiple	Non-Conformance Report Number (Unit Code - yyyy - #): 11-2015-05
Lead Auditor: Scott Jones	Team Members: Gary Roloff, Pat Mohney, Kristen Matson	
Date: July 1, 2015	Work Instruction or Standard and Clause Number: 3.2 Best Management Practices Non-Conformance Reporting Instructions	
<input type="checkbox"/> Major <input checked="" type="checkbox"/> Minor	Other Documents (if applicable): Resource Damage Report Database	Responsible Manager(s) (Person identified by the internal audit team who implements the corrective action): Brad Carlson, Acting Unit Manager, Forest Resources Division
Requirement of Audited Standard/Work Instruction: 3.2-4 DNR employees must report problems using a non-conformance report form. This information will be sent to the FRD unit manager who is responsible for the site. The unit manager is responsible for recording and tracking all BMP problems reported.		
Observed Nonconformity: Although there is an extensive database going back to 2005, the database is not being maintained to the standard suggested in WI 3.2-4. The information that should be included in the database for each entry is often incomplete and in some cases totally absent which makes conformance to WI 3.2-5 difficult and sub-standard. Completion dates are often missing for entries that have a closed status indicated; some have incomplete data; and some have not useful information at all. There are more than enough to indicate a systematic failure.		

Root Cause Analysis:																			
Historic lack of funding to address reported resource damage sites has led to staff becoming lax in fulfilling the requirements of the Resource Damage Report form. This behavior has become standard even during improved economic periods.																			
Prepared by and date: Brad Carlson March 9, 2016.																			
Corrective Action:																			
A one-hour training session will be held at the unit level demonstrating how to fully complete the Resource Damage Report form and explaining the importance of each item of information that needs to be collected. The unit manager and fire supervisor will teach the training session.																			
Prepared by and date: Brad Carlson March 9, 2016.																			
Proposed Completion Date: April 30, 2016																			
Responsible Manager: Brad Carlson																			
Responsible Manager Signature: Electronic			Date: March 9, 2016.																
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Forest Resources Division District Supervisor	Signature	Date																	
CORRECTIVE ACTION PLAN ACCEPTED																			
Forest Certification Planning Specialist: Scott Jones																			
Date: March 10, 2015.																			
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Actual Completion Date: May 27 th , 2016																			
Responsible Manager: Brad Carlson																			
Date: May 27 th , 2016																			
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Verified by:																			
Don Mankee	Electronic	May 27 th , 2016																	
Responsible Manager Supervisor	Signature	Date																	
Closed by:																			
Scott Jones	<i>Scott Jones</i>	May 28 th , 2016																	
Forest Resources Division Forest Certification Planner	Signature	Date																	
Follow Up Comments																			

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Michigan Department of Natural Resources - Forest Resources Division

2015 INTERNAL AUDIT NON-CONFORMANCE REPORT

Unit Name: Baraga Forest Management Unit		Site location: Office Review	Non-Conformance Report Number (Unit Code - yyyy - #): 11-2015-06
Lead Auditor: Scott Jones	Team Members: Gary Roloff, Pat Mohney, Kristen Matson		
Date: July 1 st , 2015	Work Instruction or Standard and Clause Number: 5.1 Coordinated Natural Resource Management Research		
<input type="checkbox"/> Major <input checked="" type="checkbox"/> Minor	Other Documents (if applicable):	Responsible Manager(s) (Person identified by the internal audit team who implements the corrective action): Scott Jones, Forest Certification Planner	
Requirement of Audited Standard/Work Instruction: The FRD Forest Health, Inventory, and Monitoring Unit Manager will facilitate the review and timely update of the Research Summary by June 1 st of each year and will make the summary available to all DNR staff by posting on the DNR intranet.			
Observed Nonconformity: The Research Summary was posted to the DNR intranet on June 29, 2015.			
Root Cause Analysis (Describe the cause of the problem): Past research summaries have been chronically late and have fallen short of the intent of the work instruction. This year there was a concerted effort to bring the summary up to the standard required by the work instruction and to get it posted in a timely fashion. The effort to make this happen required far more than the normal workload, but should result in a better product. The effort contributed to missing the posting deadline. Prepared by and date: Scott Jones July 20, 2015.			
Corrective Action – (To be completed by the Unit and relevant Divisions): Note: The Forest Health, Inventory and Monitoring Unit Manager has retired and this responsibility has been taken on by the Forest Certification Planner. The format and content of the research summary has been much improved to provide much more value added to staff and this effort should make the summary much easier to update on an annual basis. In addition the work instruction has been modified to require posting of the summary by June 1 instead of March 1. The 2014 summary is available to staff on the forest certification web site. Prepared by and date: Scott Jones July 20 th , 2015.			
Proposed Completion Date: The research summary was posted on June 29 th , 2015 and the process for a timelier posting has been implemented. Responsible Manager: Scott Jones Responsible Manager Signature: <i>Scott Jones</i> Date: July 20 th , 2015			
Brad Carlson	Electronic	November 24, 2015	Don Mankee
Forest Resources Division	Signature	Date	Forest Resources Division
Unit Manager			District Supervisor
CORRECTIVE ACTION PLAN ACCEPTED Forest Certification Specialist: Date:			
Actual Completion Date: June 29 th , 2015. Responsible Manager: Scott Jones Date: June 29 th , 2015.			

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Verified by: <u>David Price</u> Responsible Manager Supervisor Signature Date Electronic April 12 th , 2015	Closed by: <u>Scott Jones</u> <i>Scott Jones</i> Forest Resources Division Forest Certification Planner Signature Date April 12 th , 2015
Follow Up Comments	



Michigan Department of Natural Resources - Forest Resources Division

INTERNAL AUDIT NON-CONFORMANCE REPORT

Unit Name: Baraga Forest Management Unit	Site location: North Country Trail	Non-Conformance Report Number (Unit Code - yyyy - #): 11-2015-07
Lead Auditor: Scott Jones	Team Members: Gary Roloff, Pat Mohney, Kristen Matson	
Date: July 1 st , 2015	Work Instruction or Standard and Clause Number: 6.2 Integrating Public Recreational Opportunities with Management on State Forest Lands	
<input type="checkbox"/> Major <input checked="" type="checkbox"/> Minor	Other Documents (if applicable): Forest Recreation Trail Plan	Responsible Manager(s) (Person identified by the internal audit team who implements the corrective action): Brad Carlson, Acting Unit Manager, Forest Resources Division and Ron Yesney, Parks and Recreation Division, UP Trails Coordinator
Requirement of Audited Standard/Work Instruction: 6.2-2 State forest campgrounds, pathway trailheads, pathway corridors, and boating access sites located on the state forest are administered by the DNR Parks and Recreation Division, but remain within the scope of certification. Recreational opportunities on State Forest lands shall be integrated with forest management programs. Ongoing communications with Forest Unit Managers, Park and Recreation Managers & Supervisors and District Supervisors also assure recreational facility development, enhancements or reductions are integrated and made compatible with forest operations.		
Observed Nonconformity: The North Country Trail in compartment 11 was noted on the east tour. When asked about documentation relating to the trail, staff stated that there was a handshake agreement. Further discussion with trails specialist found the trail did not have a use permit or trail proposal. When asked about volunteer agreements, the trail specialist knew of only one with a North Country Trail group. Although an internal agreement covering most of the trail is in the works, new portions, re-located portions of the trail and maintenance of the trail on state forest land are subject to a use permit and a current volunteer agreement. Volunteer agreements must be up-to-date for each work day on which work is conducted as part of the liability issue and the administration of volunteer hours for Parks and Recreation Division at a minimum. Documentation and local staff knowledge regarding the North Country Trail needs to be improved.		
Root Cause Analysis: There was an absence of state-wide direction or procedure to address volunteer work on the North Country Scenic Trail.		
Prepared by and date:		



Michigan Department of Natural Resources - Forest Resources Division

INTERNAL AUDIT NON-CONFORMANCE REPORT

Unit Name: Baraga Forest Management Unit		Site location: Multiple	Non-Conformance Report Number (Unit Code - yyyy - #): 11-2015-08			
Lead Auditor: Scott Jones		Team Members: Gary Roloff, Pat Mohney, Kristen Matson				
Date: July 1 st , 2015		Work Instruction or Standard and Clause Number: 7.1 Timber Sale Preparation and Administration Procedures				
<input type="checkbox"/> Major <input checked="" type="checkbox"/> Minor		Other Documents (if applicable):	Responsible Manager(s) (Person identified by the internal audit team who implements the corrective action): Brad Carlson, Acting Unit Manager, Forest Resources Division			
Requirement of Audited Standard/Work Instruction: 7.1 Timber sale Preparation and Administration Procedures 2. Timber sale contract inspection process – Ongoing inspections and documentation. 7.1.4.b.1 Safety						
Observed Nonconformity: There were several sales observed which had large gaps in their inspection records, including up to three months between inspections. Multiple sales were opened with no pre-sale documentation and then closed with no interim inspection. Timber sale inspections forms were not filled out completely. Through conversations with the producer on an active sale, the foresters are making regular inspections, but they are not documenting their visits to support this. Proper PPE was not observed being worn on active contract sales by some staff.						
Root Cause Analysis: Staff had become lax at documenting timber sale inspections. Sales were indeed visited once a week when active, but if there were no problems encountered then the visit was not documented.						
Prepared by and date: Brad Carlson July 31, 2015						
Corrective Action: A unit training session shall be held to ensure that proper documentation is collected and recorded for every job site visit. This will be added as a performance objective for all staff that are involved in timber inspections. Prepared by and date: Brad Carlson July 31, 2015						
Proposed Completion Date: October 2016						
Responsible Manager: Brad Carlson						
Responsible Manager Signature: On File			Date: July 31, 2015			
Brad Carlson		On File	July 31, 2015	Don Mankee	On File	August 25, 2015
Forest Resources Division		Signature	Date	Forest Resources Division	Signature	Date
Unit Manager				District Supervisor		

CORRECTIVE ACTION PLAN ACCEPTED											
Forest Certification Planning Specialist: Scott Jones											
Date: August 5, 2015											
<hr/> <hr/>											
Actual Completion Date: May 2 nd , 2016											
Responsible Manager: Brad Carlson											
Date: July 27 th , 2016											
Verified by: <table style="width: 100%; border: none;"> <tr> <td style="width: 33%; border-bottom: 1px solid black;">Don Mankee</td> <td style="width: 33%; border-bottom: 1px solid black;">Electronic</td> <td style="width: 33%; border-bottom: 1px solid black;">August 1, 2016</td> </tr> <tr> <td style="font-size: small;">Responsible Manager Supervisor</td> <td style="font-size: small;">Signature</td> <td style="font-size: small;">Date</td> </tr> </table>	Don Mankee	Electronic	August 1, 2016	Responsible Manager Supervisor	Signature	Date	Closed by: <table style="width: 100%; border: none;"> <tr> <td style="width: 50%; border-bottom: 1px solid black;">Scott Jones</td> <td style="width: 50%; border-bottom: 1px solid black;"><i>Scott Jones</i> August 1st, 2016</td> </tr> <tr> <td style="font-size: small;">Forest Resources Division Forest Certification Planner</td> <td style="font-size: small;">Signature Date</td> </tr> </table>	Scott Jones	<i>Scott Jones</i> August 1 st , 2016	Forest Resources Division Forest Certification Planner	Signature Date
Don Mankee	Electronic	August 1, 2016									
Responsible Manager Supervisor	Signature	Date									
Scott Jones	<i>Scott Jones</i> August 1 st , 2016										
Forest Resources Division Forest Certification Planner	Signature Date										
Follow Up Comments											



Michigan Department of Natural Resources - Forest Resources Division

2015 INTERNAL AUDIT NON-CONFORMANCE REPORT

Unit Name: Baraga Forest Management Unit	Site location: Office Review	Non-Conformance Report Number (Unit Code - yyyy - #): 11-2015-09
Lead Auditor: Scott Jones	Team Members: Gary Roloff, Pat Mohney, Kristen Matson	
Date: July 21 st , 2015	Work Instruction or Standard and Clause Number: 8.1 DNR Staff Training for State Forest Management	
<input type="checkbox"/> Major <input checked="" type="checkbox"/> Minor	Other Documents (if applicable):	Responsible Manager(s) (Person identified by the internal audit team who implements the corrective action): Celeste Chingwa, Resource Protection Manager, Incident Coordination Center
Requirement of Audited Standard/Work Instruction:		
Provide training to empower employees to perform their jobs to the level required by DNR policies, procedures and work instructions.		
Observed Nonconformity:		
Forestry personnel that needed fire training to perform their duties were not consistently notified of required courses. As a result, the training opportunity was missed. Some of these courses are offered infrequently (e.g., years between classes) so missing the training potentially compromises the individual's ability to perform their duties or advance their skillset.		
Root Cause Analysis:		
The Resource Protection Manager and the staff at the Incident Coordination Center (ICC) perform searches within the Wildland Fire Qualification System (IQS) database for a listing of potential students to populate the roster. This database is not flawless and if any information was entered incorrectly a potential student may not be identified. Knowing this the ICC works with the unit managers and fire supervisors to catch any personnel that may have fallen through the cracks. It is correct to say that some of these courses are offered infrequently (e.g., years between classes) but the standards set forth by the National Wildfire Coordinating Group (NWCG) only allows for a set number of students per course. The course roster is populated after considering employees minimum target requirement and then prioritized. The IQS data for the students that did not make the current roster is then updated and their names will automatically make the list the next time a search for this course is performed. The fire managers review what courses are needed annually and produce a training plan that encompasses the next three years. In this way		

we hope to provide the needed courses in a planned time frame. Lastly, it is the Resource Protection Manager's responsibility to ensure employees have all the qualifications they need to participate in NWCG courses. These qualifications are identified in the instructor's manual for each NWCG course. This ensures the department is not skipping important trainings that individual may need to reach their targeted fire training level. As Resource Protection Manager in the UP I strive to have employees trained to at least the minimum standards; but, I have and will continue to encourage all employees to advance their skillsets as opportunities arise.

Prepared by and date: Celeste Chingwa November 4, 2015

Corrective Action:

Over the course of the winter months in 2016 the ICC staff will again meet individually with each fire qualified employee to review their training records in IQS. It is our intention to help the employee better understand the aforementioned addendum and help them understand where they are currently at their wildland fire training. The employee has the opportunity to ask questions and let his career goals be known. During this session the immediate supervisor is encouraged to attend as well so they are aware of the employee's needs. During this session it is the responsibility of the employee to identify and provide documentation of discrepancies; in this way we can correct any flaws there may be in the IQS entries. Finally the attached addendum will be added to the FRD's resource protection page for easier access to our employees for future reference.

Prepared by and date: Celeste Chingwa November 4, 2015

Proposed Completion Date: April 30, 2016.

Responsible Manager: Celeste Chingwa

Responsible Manager Signature: Electronic

Date: November 4, 2015

Brad Carlson <hr/> Forest Resources Division Signature Date Unit Manager	Don Mankee <hr/> Forest Resources Signature Date Division District Supervisor
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CORRECTIVE ACTION PLAN ACCEPTED

Forest Certification Specialist:

Date:

Actual Completion Date:

Responsible Manager:

Date:

Verified by: ?????? <hr/> Responsible Manager Supervisor Signature Date	Closed by: Scott Jones <hr/> Forest Resources Division Signature Date Forest Certification Planner
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Follow Up Comments