

Assessment Report

HQPlantations Pty Ltd

AS4708:2013

April 2017

Assessment dates	31/03/2017 to 10/04/2017
Assessment location	NORTH LAKES (001), TOOLARA VIA GYMPIE (003), BYFIELD (005), GYMPIE (006), IMBIL (007)
Report Author	Mick Berry
Assessment Standards	AFS 4708:2013
Report No:	8162561



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Executive Summary

This report presents a summary of the findings arising from the recertification audit of the management system operated by HQPlantations Pty Ltd (HQPlantations) at its Head Office in North Lakes, QLD and in the Coastal, Inland and Northern Regions. The aim was to assess the effectiveness of the management system in the planning and implementation of a range of forest management operations and other activities associated with the sustainable management of forest plantations and custodial lands within each region. The audit also included an assessment of the Toolara Nursery, depots at Toolara, Imbil and Ingham and the Tibrogargan Fire Tower.

HQPlantations has responded positively to the findings from the previous assessment.

Minor non-conformances identified during this audit include:

- Training in chain of custody procedures for export operations has not been undertaken for workers at the Port of Brisbane site.
- Auditing of the forest management system to determine conformance with the requirements of the Standard in relation to some systems elements (such as management review, internal audit and corrective actions) have not been scheduled.
- The Forest Stewardship Plan available publically, does not include a description of the current forest condition, inventory results and forecasts.

A number of opportunities for improvement were also identified, particularly with respect to:

- The implementation of operational controls in Northern Region was inconsistent with procedures with practices observed in Coastal and Inland regions. The new contractor performance management framework including contractor self-assessments and training have not been fully implemented in Northern Region.
- Systems to record and manage corrective actions and improvements in addition to those captured in the QA system are proposed as part of Tech 1 system enhancements.
- Documented procedures for tactical planning processes for prescribed burning.
- Processes for managing changes / variations to operational plans for e.g. changes to windrow spacing specifications.

The audit identified a number of strengths of the HQPlantations' forest management system which support the organisation's commitment to continual improvement. These include:

- Enhancement of the safety management system framework to consider contractor safety performance, inductions and safety awareness.
- Use of actual planned prescribed burns as training in emergency response procedures.
- Tactical planning for prescribed burning and enhanced fire surveillance capability and interagency coordination.
- Demonstrated effectiveness of stakeholder engagement processes.

Other improvements and positive observations noted include:

With respect to organisational processes:

- The new management structure at Coastal Region
- Succession planning programs which include Graduate internships, leadership and team building programs.
- Business intelligence processes, projects and progress.

With respect to operational performance:

- The overall management of the seedling production nursery program and operation of the Toolara nursery.

- Pro-active management of Custodial Lands, e.g. effective restoration of degraded lands at Tinana Yards.
- Feedback mechanisms from processing facilities that support stand productivity assessments
- Continuing development of mobile technology and the e-docket system
- Consistency of operational maps for ease of interpretation

HQPlantations demonstrate effective stakeholder engagement in a range of areas including interaction with regulatory agencies in the administration of the Plantation Licence, handling of complaints, the management of illegal activities (dumping of rubbish and removal of abandoned vehicles), training, signage and management of wild horses.

Field assessments included clearfall harvesting operations in Coastal, Inland and Northern Regions; establishment activities in southern pine and Araucaria plantations; hazard reduction burn management; weed control and herbicide trials; biodiversity identification and protection practices; establishment of the southern pine seed orchard; road and bridge construction and maintenance; and stakeholder engagement activities.

The audit was greatly assisted by the active engagement and participation of key staff who assisted with the planning and throughout the audit.

The audit has determined that the management system continues to meet the requirements of the Standard and a recommendation for re-certification is made, subject to acceptance of an action plan to address the identified minor non-conformances.

Assessment objective, scope and criteria

Objective

The objective of the assessment was to conduct a re-assessment of the existing certification to ensure the elements of the proposed scope of registration and the requirements of the management standard are effectively addressed by the organisation's management system.

Scope

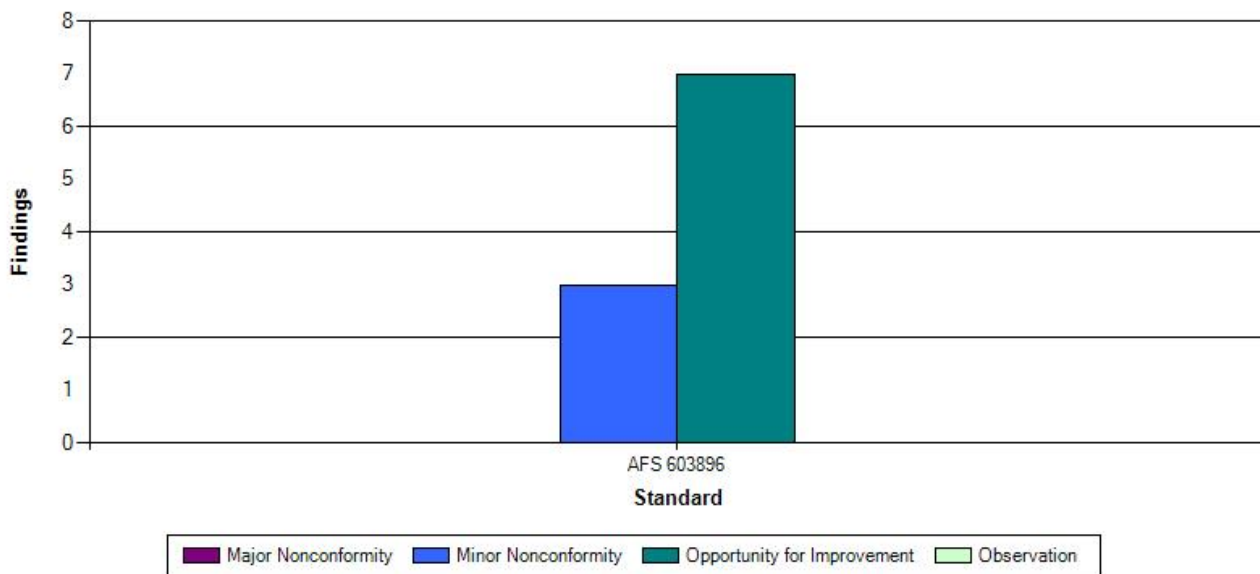
The scope of the assessment is the documented management system with regard to the requirements of AS 4708:2013 and the defined assessment plan provided in terms of locations and areas of the system and organisation to be assessed.

Criteria

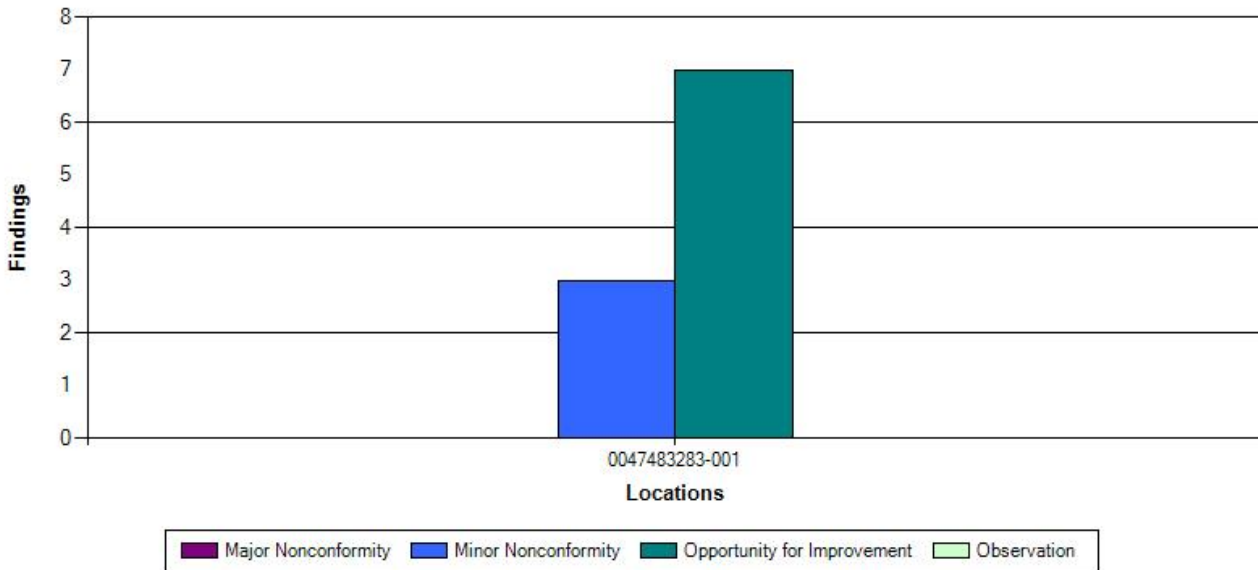
- AS 4708:2013 and ISO 14001:2004
- The FMS Manual and referenced system documentation.

NCR Summary

Which standard(s) BSI recorded findings against



Where BSI recorded findings



Definitions:

Non-conformity

Non-fulfilment of a requirement.

Major nonconformity

Nonconformity that affects the capability of the management system to achieve the intended results.

Nonconformities could be classified as major in the following circumstances:

- If there is a significant doubt that effective process control is in place, or that products or services will meet specified requirements;
- A number of minor nonconformities associated with the same requirement or issue could demonstrate a systemic failure and thus constitute a major nonconformity.

Major nonconformities must be addressed within 90 days of receipt of the report. They will either be closed, or downgraded to a minor, subject to the implementation of an agreed action plan including timeframes for implementation and a clear assignment of responsibility as well as a description of methods for assessing effectiveness of the actions taken.

Minor nonconformity

Nonconformity that does not affect the capability of the management system to achieve the intended results. Minor nonconformities require an agreed action plan including timeframes for implementation and a clear assignment of responsibility as well as a description of methods for assessing effectiveness of the actions taken. Minor nonconformities are generally closed out at the next assessment.

Opportunity for improvement

It is a statement of fact made by an assessor during an assessment, and substantiated by objective evidence, referring to a weakness or potential deficiency in a management system which if not improved may lead to nonconformity in the future. We may provide generic information about industrial best practices but no specific solution shall be provided as a part of an opportunity for improvement.

Opportunities for improvement are identified for consideration and any action is at the discretion of the client.

Observation

It is ONLY applicable for those schemes which prohibit the certification body to issue an opportunity for improvement.

It is a statement of fact made by the assessor referring to a weakness or potential deficiency in a management system which, if not improved, may lead to a nonconformity in the future.

Assessment Participants

Name	Position	Opening Meeting	Closing Meeting	Interviewed (processes)
Brian Farmer	CEO		X	
Harish Lal	Chief Financial Officer	X	X	
Islay Robertson	Chief Operations Officer	X	X	X
David West	Group Manager Stewardship	X	X	X
Peter Shaw	Group Manager People and Safety	X	X	X
Kevin Cooney	Group Manager Resources	X	X	X
Lee Stamm	Resource Information Manager			X
Daniel Pfrunder	Human Resources Manager			X
Michelle McAndrew	Sustainability Manager	X	X	X
Tom Hanson	Health and Safety Manager			X
Scott Jackson	Business Systems Analyst			X
Stephanie Hunt	Community Engagement Coordinator			X
Joe Carter	Market Development Manager			X
Mike Robinson	Coastal Region Forest Manager			X
Jeremy Mansell	Regional Operations Manager			X
Steve Pohlmann	Manager Stewardship and Asset Protection			X
Tim Lee	Coastal Region Harvesting Manager			X
Pat McFarlane	Forester			X
Dallas Golley	Road Co-ordinator			X

Jason Shum	Fire Protection Coordinator			X
Douglas Bocking	Forester			X
Dan Day	Silviculture Overseer			X
Barry Darko	Operations Manager			X
Gary Madden	Forest Overseer			X
Stephen Mahon	Forester			X
Lester Jarick	Inland Regional Forest Manager			X
Dan O'Regan	Stewardship Manager			X
Simon Perrow	Harvest Manager			X
Bob Lewis	Operations Manager			X
Angela Gleeson	Forester			X
Andrew Dunn	Regional Forest Manager			X
John Bennett	Operations Manager			X
Max Grimbacher	Forester			X
Alison Dillon	Forester			X

Assessment Findings

The assessment was conducted on behalf of BSI by

Name	Position
Mick Berry	Team leader
Ross Garsden	Team member

Assessment conclusion and recommendation

The audit objectives have been achieved and the certificate scope remains appropriate. The audit team concludes based on the results of this audit that HQPlantations Pty Ltd continues to fulfil the standards and audit criteria identified within the audit report and that the management system continues to achieve its intended outcomes.

RECOMMENDED - Corrective Action Plan Required ('Minor' findings only): The audited organization may be recommended for continued certification, based upon the acceptance of a satisfactory corrective action plan for all 'Minor' findings as shown in this report. Effective implementation of corrective actions will be reviewed during the next surveillance audit.

Please prepare a plan to address each non-conformity, identifying the cause, the correction and your proposed corrective action, with responsibilities and timescales allocated.

The plan is to be submitted to the author of this report no later than 11/05/2017, referencing Report Number 8162561. BSI will review the Action Plan and pending its acceptance, your new certificate can be issued.

Use of certification documents, mark / logo or report

The use of the BSI certification documents and mark / logo is effectively controlled.

Findings

Criterion - 0.1 Defined Forest Area:

1. Objective evidence

Documentation:

- Forest Stewardship Plan (March 2017) (FSP) provides summary of area and description (section 1.2)
- Forest Estate Register (WOODS)
- Public website has current (as at September 2016) maps at 1:250,000 scale plus additional State Forest/Logging Area/Compartment listings.

Processes observed/demonstrated:

- Process for updating DFA

2. Planned activities have been fully realised. The DFA is currently 339,436 ha as at 30 June 2016. This is displayed on the AFS website.
3. Methods for determining process results are fully effective.
4. The organisation's actual performance is consistent with the requirements of the Standard. The maps of the DFA are readily available without request on the company website.
5. Planned results have been achieved.

Criterion - 0.2 Chain of custody:

1. Objective evidence

Documentation:

- Harvest and Haul Standard
- Sales Standard – Chain of Custody
- Stewardship Awareness Training no 10 CoC
- Mobile mentor - Presentation (e-docketing system)
- Sunchip - SOP Operation of a Truck
- Canvas Audits (various)
- Sunbchip Forest harvest Safety Manual
- Overweight Mass Report
- QA Reports (Various)
- Harvest Stem Quality Report 24.3.17
- QMS Log Scaling and Marshalling V1.0 09.05.16
- TPT Chain of Custody Management Procedures Manual - Australia March 2017 Rev 2
- Lease Agreement with C3 Australia Pty Ltd
- Log Yard Inspection Form
- C3 Toolbox Meeting Records

Queensland Commodity Exports Pty Ltd Certificate of Registration

Processes observed/demonstrated:

- Log loading on trucks and in containers for export including 360 degree load checks, completion of delivery dockets and determination of haulage routes. Communication between loader and driver in relation to correct weights. Log scaling methodology for export logs and identification with tags.
- Verification of traceability for eg. ticket no. AU8051678, was from load docket 1343475 which was transported from JENKI Cpt 1.

Interviews/discussions with key personnel:

- Business Systems Analyst - Development of e-docketing system and controls
 - Sunchip Site Manager described Chain of Responsibility.
 - Port of Brisbane Contractor in relation to export log logistics.
2. Planned activities have not been fully realised. Refer to nonconformity in relation to training of staff and contractors in chain of custody procedures for export operations.
 3. Methods for determining process results are generally effective.
 4. The organisation’s actual performance is consistent with the requirements of the Standard. (Provide descriptor).
 5. Planned results have been achieved.

Opportunity for improvement

Ref. no	1462010-201703-I1
Area/Process	Criterion - 0.2 Chain of custody
Clause	Criterion 0.2
Scope	AFS 603896
Details	While existing contracts have an agreed haulage route for the purpose of invoicing, the contracts do not describe responsibilities for managing any deviation from the agreed haulage route.

Criterion - 1.1 Policy:

1. Objective evidence

Documentation:

- Stewardship Policy (May 2016)
2. Planned activities have been fully realised. The Stewardship Policy is readily available on the companies website and site offices.
 3. Methods for determining process results are fully effective.
 4. The organisation’s actual performance is consistent with the requirements of the Standard.
 5. Planned results have been achieved.

Criterion - 1.2 Forest Management Plan:

1. Objective evidence

Documentation:

- Forest Management Plan - March 2017
- Risk and Legal compliance Register
- Strategic plan (Vision 2021) includes corporate goals and objectives and the associated Annual Plan 2016 – 2017 incorporates specific actions to achieve plan objectives.
- Stewardship Standard – Stakeholder Engagement
- Long Term Plan
- Stewardship standards (various)
- Silviculture Manual and Standards (various)

- Annual Risk Management Plan
- *Processes observed/demonstrated:*
- Alignment of FMP with Standard requirements
- Review of Forest Management system documentation to reflect new framework and consider contractor management.

Interviews/discussions with key personnel:

- GM Stewardship (Risk & Compliance)
2. Planned activities have not been fully realised.
 3. Methods for determining process results are fully effective. Refer to non-conformity in this report in relation to required information to be included in the summary of the Forest Management Plan.
 4. The organisation’s actual performance is not consistent with the requirements of the Standard.
 5. Planned results have not been achieved.

Opportunity for improvement

Ref. no	1462010-201703-I2
Area/Process	Criterion - 1.2 Forest Management Plan
Clause	Criterion 1.2.2.b
Scope	AFS 603896
Details	A review of the Risk and Legal compliance Register could be undertaken periodically to ensure it identifies all activities as well as determine significance of company activities relevant to the requirements of the Standard

Criterion - 1.3 Implementation:

1. Objective evidence

Documentation:

- Third party review regarding implementation of the FMS
- Corporate Standard - Risk
- Hazard Register
- Risk and Legal Compliance Register
- Annual Risk Management Plan 2016-17 (with Board approval and progress report)
- WOODS estate register and GIS

Processes observed/demonstrated:

- Updating of Risk and Legal register to incorporate changes to legal requirements eg. Biosecurity Act
- Contractor performance management framework is being rolled out including the conducting of self assessments against these.
- System documentation is being reviewed progressively. Access to system documentation - intranet (SharePoint).
- Framework for safety management in particular for contractors including monitoring and reporting is being implemented.

Interviews/discussions with key personnel:

- Site Workers at Port of Brisbane
2. Planned activities have not been fully realised. Training in COC procedures for contractors at Port of Brisbane has not been undertaken.
 3. Methods for determining process results are fully effective. Formal QA system audits are being undertaken of operational activities including the new Port of Brisbane Export site. External safety performance audits being undertaken by PF Olsen.
 4. The organisation's actual performance is consistent with the requirements of the Standard.
 5. Planned results have not been achieved. Refer to non-conformity in this report.

Criterion - 1.4 Monitoring and Corrective Action:

1. Objective evidence

Documentation:

- Stewardship Review FY16
- Non conformances register - FU
- HS Standard 1.8 Reviews, audits and improvements
- Internal Audit Port of Brisbane Operations.

Processes observed/demonstrated:

- Formal QA Assessments against operating procedures sited.

Interviews/discussions with key personnel:

- Forester responsible for Rooty 201 Windrowing Operation - ES0009933 conducted QA - HQP Formal Assessment SILV01 debris clearing, heaping and windrowing on 7/10/2016
2. Planned activities have been fully realised.
 3. Methods for determining process results are fully effective.
 4. The organisation's actual performance is consistent with the requirements of the Standard.
 5. Planned results have been achieved.

Criterion - 1.5 Review:

1. Objective evidence

Documentation:

- F16 Stewardship Review (with CEO endorsement of recommendations)
 - F17 Risk Management Plan
2. Planned activities have been fully realised.
 3. Methods for determining process results are fully effective.
 4. The organisation's actual performance is consistent with the requirements of the Standard.
 5. Planned results have been achieved.

Criterion - 1.6 Research:

1. Objective evidence

Documentation:

- Forest Stewardship Plan – Section 9
- Forest Stewardship Review – FY16

- Southern Pine resource characterisation project report
 - Project Wind-firm Project Report
 - Southern Pine Genetic Improvement Project Report
2. Planned activities have been fully realised. HQPlantations maintains an active internal research program and contributes to collaborative research initiatives, for example the industry-wide herbicide consortium (within the Australian Forest Products Association) evaluating alternative herbicides.
 3. Methods for determining process results are fully effective.
 4. The organisation’s actual performance is consistent with the requirements of the Standard.
 5. Planned results have been achieved.

Opportunity for improvement

Ref. no	1462010-201703-I3
Area/Process	Criterion - 1.6 Research
Clause	Criterion 1.6
Scope	AFS 603896
Details	The Stewardship Review FY16 describes three major research projects under the 'Research' heading. Other research activities which cover a range of topics such as social, fire, chemical use etc. are being carried out and reported elsewhere throughout the Stewardship Review; however there is no succinct summary of these other projects.

Criterion 2 – Stakeholders:

- 2.1 Identify Stakeholders
 - 2.2 Stakeholder Engagement Plan
 - 2.3 Stakeholder Participation
 - 2.4 Stakeholders affected by forest operations
 - 2.5 Records
 - 2.6 Public disclosures
1. Objective evidence

Documentation:

- Stakeholder Engagement Register (WOODS)
- Corporate Standard – Stakeholder Engagement Procedures
- Forest Stewardship Awareness Training – Stakeholder and Community Engagement (Jan 2017)
- Regional stakeholder engagement registers
- Aerial spraying notice -Mona Mona Road/Black Mountain Road area 24 March 2017
- Inter-Urban Break Outdoor Recreation Plan –Draft for Discussion V 0.4 24.03.17
- Operational Signage Review – March 2017
- Beerwah Cemetery Engagement Plan and Closure NOTICE (1 FEB 2107)

Processes observed/demonstrated:

- Goodnight scrub community engagement relating to harvesting of a conservation hand back area.
- Beerwah cemetery – road closures and management of unauthorised recreation (popular motor bike riding trails) to facilitate harvest and re-establishment operations

- Cooyal road closure - a primary haul route used as a short cut by local traffic.
- Beerburrum public access engagement
- Beerburrum Cemetery – Key Stakeholder Workshop
- Use of social media

Interviews/discussions with key personnel:

- Community Relations Manager - Engagement processes
2. Planned activities have been fully realised. Stakeholder engagement processes were demonstrated to be effective. HQP demonstrated effective processes for management of complaints as demonstrated at Beerburrum and records of communications were available. All relevant documents are publically available without request.
 3. Methods for determining process results are fully effective.
 4. The organisation's actual performance is consistent with the requirements of the Standard.
 5. Planned results have been achieved.

Criterion 3 - Biodiversity:

3.1 – 3.4 Identify, maintain and enhance significant biodiversity values

3.5 – 3.6 Monitor and review biodiversity

3.7 Regeneration

3.8 Introduced genetics

3.9 Conversion

1. Objective evidence

Documentation:

- FSP (5.4.1) references the Custodial Lands Management Procedure (Stewardship Standard Custodial Lands Management).
 - Stewardship Standard Custodial Lands Management
 - Stewardship Standard Pest Management
 - WOODS estate register and GIS
2. Planned activities have been fully realised. Effective regeneration of degraded forest lands was observed at Tinana Yards. The company is not involved in the conversion of native vegetation for plantation establishment.
 3. Methods for determining process results are fully effective.
 4. The organisation's actual performance is consistent with the requirements of the Standard.
 5. Planned results have been achieved.

Criterion 4 – Forest Productive Capacity:

4.1 and 4.2 Identify productive capacity and harvest rates

4.2 Identify harvest rates

4.3 Plan and monitor use

4.4 Infrastructure

4.5 Silviculture

4.6 Establishment

4.7 Damage to growing stock

4.8 Unplanned fire

4.9 Non-wood products

1. Objective evidence

Documentation:

- Resource team structure
- WOODS System and components - WOODS Game Manual
- WOODS GUI Overview
- Plantations Resource Assessment
- Inventory Procedures Guide
- Long Term Plan (LTP) structure
- Stewardship Audit and Review Standard (Section 1.3 Third party audits)
- LTP Outputs (various, e.g. SEQ Araucaria) as at 1 July 2016
- External audit check (as at 30 June 2016)
- Guide to Producing the Resources Estate Snapshot
- Fire Management Plan and Operations Plan, (supported by a host of subordinate documents e.g. Corporate Fire Management Plan)
- Fire Standard - Prescribed burning

Processes observed/demonstrated:

- Fire Management Plan and Operations Plan, (supported by a host of subordinate documents e.g. Corporate Fire Management Plan)
- Long-term Planning Process
- Updating the Long-term Plan
- Yield reconciliation
- Permits (occupation, grazing, apiary, visitors)
- Silviculture Standards

Interviews/discussions with key personnel:

- Group Manager Resources - Inventory and yield modelling and Long-term Planning Process
- Resource Information Manager - Yield reconciliation
- Permits (occupation, grazing, apiary, visitors) are managed within WOODS and contracts are in place for native foliage sales (limited to plantation understorey areas)

2. Planned activities have been fully realised. The long-term planning process was demonstrated to be effective.

3. Methods for determining process results are fully effective as demonstrated by the independent audit of long-term planning.

4. The organisation’s actual performance is consistent with the requirements of the Standard with respect to the maintenance of the long term productive capacity of the forest.

5. Planned results have been achieved.

Opportunity for improvement

Ref. no	1462010-201703-I4
Area/Process	Criterion 4 – Forest Productive Capacity
Clause	4.1

Scope	AFS 603896
Details	While the yield reconciliation process is well-understood and effective, system documentation describing the process is currently being developed.

Ref. no	1462010-201703-I5
Area/Process	Criterion 4 – Forest Productive Capacity
Clause	Criterion 4.8
Scope	AFS 603896
Details	While the Tactical Planning process for Prescribed Burning is clearly well-understood and effectively communicated within the organisation, the overall process is not as yet well-documented, particularly with respect to the management of planned and unplanned fire within the native vegetation components of the forest estate.

Criterion 5 – Forest Ecosystem Health:

- 5.1 Identify damage agents
- 5.2 Maintain health
- 5.3 Weeds and pests
- 5.4 Fire and disturbance regimes
- 5.5 Rehabilitation
- 5.6 Chemical use
- 5.7 Salvage
- 1. Objective evidence

Documentation:

- Forest Stewardship Plan
- Stewardship Standard Pest Management
- 2. Planned activities have been fully realised.
- 3. Methods for determining process results are fully effective.
- 4. The organisation’s actual performance is consistent with the requirements of the Standard.
- 5. Planned results have been achieved.

Criterion 6 – Soil and Water Resources:

- 6.1 Identify soil and water values:
- 6.2 - 6.3 Water quality / quantity:
- 6.4 Soil properties:
- 6.5 Pollution:
- 1. Objective evidence

Documentation:

- Operating Procedure - Water Protection
- Operational Plans

Processes observed/demonstrated:

- Soil and water protection measures, e.g. road and extraction tracks maintenance and drainage protection.

Interviews/discussions with key personnel:

- Contractors and supervisory staff regarding drainage protection measures and site hygiene
2. Planned activities have been fully realised. Processes for identification and protection of soil and water values were demonstrated to be effective.
 3. Methods for determining process results are fully effective. Contractors have specific performance requirements incorporated into contracts and effective monitoring processes were demonstrated. No evidence of pollution was observed.
 4. The organisation’s actual performance is consistent with the requirements of the Standard.
 5. Planned results have been achieved.

Criterion 7 – Carbon:

Criterion 7 - Carbon:

- 7.1 Carbon cycle
- 7.2 Minimise fossil fuel use
- 7.3 Measurement of carbon storage

1. Objective evidence

Documentation:

- Forest Stewardship Plan – Section 5.7
 - HQPlantations Annual Carbon Accounting Methodology
 - Annual Carbon Accounting Report Card - Statistics as at 31 December 2016
2. Planned activities have been mostly realised. A detailed carbon accounting report is prepared annually. The Forest Stewardship Plan acknowledges the contribution of forest to carbon cycling. The actual method of carbon accounting is not referenced in the Forest Stewardship Plan.
 3. Methods for determining process results are not fully effective. Energy usage with respect to business premises is not as yet considered in the energy footprint and an opportunity for improvement is noted in this regard.
 4. The organisation’s actual performance is broadly consistent with the requirements of the Standard
 5. Planned results have mostly been achieved.

Opportunity for improvement

Ref. no	1462010-201703-I6
Area/Process	Criterion 7 – Carbon
Clause	Criterion 7.3
Scope	AFS 603896
Details	Forest Stewardship Plan does not provide any reference to the HQPlantations Annual Carbon Accounting Methodology.

Ref. no	1462010-201703-I7
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Area/Process	Criterion 7 – Carbon
Clause	Criterion 7.2
Scope	AFS 603896
Details	The Forest Stewardship Plan does not include any reference to energy consumption with respect to its' business premises and there is no assessment of energy consumption or usage patterns at regional premises.

Criterion 8 – Cultural Values:

- 8.1 Indigenous peoples’ values
- 8.2 Indigenous heritage values
- 8.3 Other heritage values
- 8.4 Legal and traditional use

1. Objective evidence

Documentation:

- Forest Stewardship Plan – Section 5.5 Cultural Heritage
- Stewardship Standard Cultural Heritage
- Oakview SF Cultural Heritage Assessment (Archaeo Cultural Heritage Services)
- ICH Training 5a Forest Stewardship Awareness Training
- ICH Training 5b Protecting ICH during operations
- Kabi Kabi Nation – Oakview Roadworks Plan 1/1/17

Processes observed/demonstrated:

- Cultural heritage Assessment – Kabi Kabi Community
- Indigenous Cultural Heritage Assessment Training 17/01/17 (Artefacts and scarred trees)

Interviews/discussions with key personnel:

- Stewardship Manager (Inland Region) – Cultural heritage management processes
2. Planned activities have been fully realised. HQP has demonstrated effective processes for identification and protection of cultural heritage values within its DFA as well as proactive and positive engagement with indigenous groups.
 3. Methods for determining process results are fully effective.
 4. The organisation’s actual performance is consistent with the requirements of the Standard.
 5. Planned results have been achieved.

Criterion 9 – Social and Economic Benefits:

1. Objective evidence

Documentation:

- Forest Stewardship Plan
- Strategic Plan / Annual Plan
- Southern Pine Request for Proposals

Processes observed/demonstrated:

2. Planned activities have been fully realised.

3. Methods for determining process results are fully effective.
4. The organisation's actual performance is consistent with the requirements of the Standard.
5. Planned results have been achieved.

9.5 Health and Safety:

1. Objective evidence

Documentation:

Third party system audit - late 2016

HS Standard 5.1 - Managing Contractors Health and Safety

- Health and Safety Policy
- Managing Contractors Health and Safety HS Standard 5.1
- Managing Health and Safety Risks HS Standard 3.1
- Health and Safety Management System HS Standard 1.1
- Contractor Health and Safety Worksite Inspection HS Checklist 5.1A
- Safety Inductions HS Standard 1.6

Processes observed/demonstrated:

Contractor portal on web

Interviews/discussions with key personnel:

- GM People and Safety
2. Planned activities have been fully realised.
 3. Methods for determining process results are fully effective.
 4. The organisation's actual performance is consistent with the requirements of the Standard.
 5. Planned results have been achieved.

9.6 Workers' rights::

1. Objective evidence

Documentation:

- People and Safety Contractor Evaluation
- System Audit Report – Jones Feb 2017

Processes observed/demonstrated:

- Contractor system audits – e.g. Jones 2017

Interviews/discussions with key personnel:

- GM People and Safety regarding Evaluation of Contractor Safety and Fair Work Arrangements.
2. Planned activities have been fully realised. HQPlantations demonstrated effective processes for managing its workforce including contractor requirements with respect to safety and fair work arrangements.
 3. Methods for determining process results are fully effective.
 4. The organisation's actual performance is consistent with the requirements of the Standard.
 5. Planned results have been achieved.

Site visits / Inspection reports:

Schedule of Sites/Activities Assessed: Coastal and Inland Region

Site #1: Tinana Yards - Revegetation Project

Site #2: Toolara Nursery - Nursery operations

Site #3: Toolara Office and Depot - Planning, fire and depot management

Site #4: Como Cpt 219- Establishment

Site #5: Counter Road (Como) - Roading and Bridge Works

Site #6: 96 South Demster - Southern pine Clearfall harvest and haulage operations

Site #7: Imbil Office - Inductions and planning. Chemical storage and handling in accordance with company procedures

Site #7: Coonoon Logging Area - Site Induction, Hoop Clearfall, and Chain of Custody/Chain of Responsibility

Site #8: Coonoongibber Creek: Bio-control project and WPZ

Site #9: Tamlyn 201 - Establishment (Hoop Pine)

Site #10: Araucaria Creek Road - construction of bridges for fish passage

Schedule of Sites/Activities Assessed: Northern Region

Site # 11 Rooty 201 Windrowing Operation - ES0009933

- Rip line was observed draining onto internal track. No water protection installed to prevent water flowing onto track.
- Drainage structures installed may not be in accordance with Stewardship standard for water protection.
- Formal QA completed on 24.2.17 which determined work was of good quality however windrow width was not in accordance with Operations procedures for Windrowing and no variation or revision of the operations plan was undertaken. (Refer to opportunity for improvement in this report.)
- Bridge 7 Black Mountain Road had a 5 tonne limit imposed by local council. Harvesting contractors were observing these limits until further advice.

Site # 12 Buchan 201 / Buchan 9 /10 Harvesting Operation Clearfall

- Operations Plan SA0000499 and SA0000502
- Checklist template sighted for Sale Area Inspection Merchandising Sales QA No. 54.
- Worksite Safety Induction Checklist V1.0
- Visitor Operational Site Hazard Register and Visitor Induction Checklist Jones Forest Management (Aust Pty Ltd)
- Signage for harvesting in place
- Coupe Hazard Assessment completed.
- Track from previous operation in compartment observed to be not in compliance with water control prescriptions.

Site # 13 Damper 204 Inter-row tend - Slash and follow-up spray

Site # 14 Conn LA - Managed Regeneration, Mechanical removal and thinning of regenerating stands

Site # 15 Ingham Depot

- Herbicide Book Out 2017 Register
- Storage / Handling of Chemicals compliant with requirements.

Site # 16 Boulder PCH Cpt 205A

- Operating Procedure - Planting Exotic Pine
- Contractor Pack Code of Conduct
- Contractor signed onto Operating Procedure for planting exotic pine dated 24/2/17

- Operation Generic OP0001273.
- Considered QA assessments. Sample site included compliant and non-compliant seedlings. A percentage of seedling deaths were observed and will be further investigated by HQPlantations.
- Planting site manager stated that seedlings are watered vigorously prior to dispatch from nursery however trees are generally not dunked at planting site prior to planting.
- Planting program currently 1700 ha budgeted with 300 ha remaining to be planted.
- ES0010604 dated 3/2/17 ES0010604 SILV03 Planting QA HQP Formal Assessment.
- Curruchaw Cpt 307 Survival counts indicated that 76% survival rate where 75% is allowable before a refill is required.

Planned results have been achieved.

Minor (3) nonconformities arising from this assessment.

Ref. no	1462010-201703-N1
Area/Process	Criterion - 1.2 Forest Management Plan
Clause	1.2.2.f
Scope	AFS 603896
Category	Minor
Statement of non conformance:	The Forest Stewardship Plan available publically, does not include a description of the current forest condition, inventory results and forecasts.
Clause requirements	2. The Forest Management Plan shall: f. include a description of the forest including current condition and inventory results and forecasts;
Objective evidence	Forest Stewardship Plan
Cause	
Correction / containment	

Ref. no	1462010-201703-N2
Area/Process	Criterion - 1.3 Implementation
Clause	1.3.2.d
Scope	AFS 603896
Category	Minor
Statement of non conformance:	Training has not been undertaken for contract workers with responsibilities for chain of custody at the Port of Brisbane.
Clause requirements	2. The forest manager shall ensure that:

	d. staff and contractors have required competencies to implement the management system;
Objective evidence	No training records available at Port of Brisbane.
Cause	
Correction / containment	

Ref. no	1462010-201703-N3
Area/Process	Criterion - 1.4 Monitoring and Corrective Action
Clause	1.4.3.d
Scope	AFS 603896
Category	Minor
Statement of non conformance:	Not all elements of the Forest Management System are subject to periodic audit.
Clause requirements	3. The forest manager shall ensure procedures are in place for: d. periodically auditing of the management system to determine conformance with the requirements of the Standard and that planned practices have been properly implemented and maintained.
Objective evidence	Stewardship Standard and Review and internal audit plan.
Cause	
Correction / containment	

Our next steps

Next Visit Plan

Date	Auditor	Time	Area/Process	Clause
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Date to be determined in consultation with the client. Anticipated timing is February 2018.

Next visit objectives, scope and criteria

Objective

The objective of the next scheduled assessment is to verify that the elements of the scope of certification and the requirements of the management standard are effectively addressed by the organisation's management system. The assessment will determine if the system is demonstrating the ability to support the achievement of statutory, regulatory and contractual requirements and the organisations specified objectives.

Scope

The scope of the assessment is the documented management system with regard to the requirements of AS4708 Australian Standard for Sustainable Forest Management and the defined assessment plan provided in terms of locations and areas of the system and organisation to be assessed.

Criteria

AS4708:2013 - Australian Standard for Sustainable Forest Management
 HQPlantations Forest Management Plan and associated documentation

Please note that BSI reserves the right to apply a charge equivalent to the full daily rate for cancellation of the visit by the organisation within 30 days of an agreed visit date.

Your next steps

NCR close out process

There were no outstanding nonconformities to review from previous assessments.

3 nonconformities requiring attention were identified. These, along with other findings, are contained within subsequent sections of the report.

A nonconformity relates to a single identified lapse, which in itself would not indicate a breakdown in the management system's ability to effectively control the processes for which it was intended. It is necessary to investigate the underlying cause of any issue to determine corrective action. The proposed action will be reviewed for effective implementation at the next assessment.

How to contact customer service

Should you wish to speak with BSI in relation to your registration, please contact your customer service officer.

BSI Group ANZ Pty Ltd

Suite 2, Level 7

15 Talavera Road

Macquarie Park

NSW 2113

Tel: 1300 730 134 (International: +61 (2) 8877 7100)

Fax: 1300 730 135 (International: +61 (2) 8877 7120)

E-mail (for corrective action plans): Please e-mail your corrective action plan to clientcare.au@bsigroup.com

Appendix: Your certification structure & on-going assessment programme

Scope of Certification

AFS 603896 (AFS 4708:2013)

Management of forest lands and infrastructure for the production and sale of forest products from plantations.

Assessed location(s)

The audit has been performed at Central Office, Permanent Locations, Temporary sites.

NORTH LAKES / AFS 603896 (AFS 4708:2013)

Location reference	0047483283-001
Address	HQPlantations Pty Ltd Corporate Office - Brisbane Lakes Vista Office Park 3A/2 Flinde NORTH LAKES Queensland 4509 Australia
Visit type	Re-certification Audit (RA Opt 2)
Assessment reference	8162561
Assessment dates	31/03/2017
Deviation from Audit Plan	No
No. of Full Time Equivalent Employees	190
Total No. of Effective Employees at the site	190
Scope of activities at the site	Management of forest lands and infrastructure for the production and sale of forest products from plantations.
Assessment duration	5.5 day(s)

GYMPIE / AFS 603896 (AFS 4708:2013)

Location reference	0047483283-006
Address	HQPlantations Pty Ltd Corporate Office - Gympie 28 Fraser Road GYMPIE Queensland 4570 Australia
Visit type	Re-certification Audit (RA Opt 2)

Assessment reference	8600280
Assessment dates	04/04/2017
Deviation from Audit Plan	No
No. of Full Time Equivalent Employees	0
Total No. of Effective Employees at the site	0
Scope of activities at the site	Management of forest lands and infrastructure for the production and sale of forest products from plantations.
Assessment duration	1 day(s)

BYFIELD / AFS 603896 (AFS 4708:2013)

Location reference	0047483283-005
Address	HQPlantations Pty Ltd Northern Regional Office - Byfield 1683 Byfield Road BYFIELD Queensland 4703 Australia
Visit type	Re-certification Audit (RA Opt 2)
Assessment reference	8698390
Assessment dates	04/04/2017
Deviation from Audit Plan	No
No. of Full Time Equivalent Employees	0
Total No. of Effective Employees at the site	0
Scope of activities at the site	Management of forest lands and infrastructure for the production and sale of forest products from plantations.
Assessment duration	3 day(s)

TOOLARA VIA GYMPIE / AFS 603896 (AFS 4708:2013)

Location reference	0047483283-003
Address	HQPlantations Pty Ltd Coastal Regional Office - Toolara Tin Can Bay Road TOOLARA VIA GYMPIE Queensland 4570 Australia

Visit type	Re-certification Audit (RA Opt 2)
Assessment reference	8698391
Assessment dates	05/04/2017
Deviation from Audit Plan	No
No. of Full Time Equivalent Employees	0
Total No. of Effective Employees at the site	0
Scope of activities at the site	Management of forest lands and infrastructure for the production and sale of forest products from plantations.
Assessment duration	1 day(s)

IMBIL / AFS 603896 (AFS 4708:2013)

Location reference	0047483283-007
Address	HQPlantations Pty Ltd Inland Regional Office - Imbil 371 Yabba Creek Road IMBIL Queensland 4570 Australia
Visit type	Re-certification Audit (RA Opt 2)
Assessment reference	8698392
Assessment dates	06/04/2017
Deviation from Audit Plan	No
No. of Full Time Equivalent Employees	0
Total No. of Effective Employees at the site	0
Scope of activities at the site	Management of forest lands and infrastructure for the production and sale of forest products from plantations.
Assessment duration	1 day(s)

Changes in the organization since last assessment

There is no significant change of the organization structure and key personnel involved in the audited management system.

No change in relation to the audited organization’s activities, products or services covered by the scope of certification was identified.

There was no change to the reference or normative documents which is related to the scope of certification.

Certification assessment program

Certificate Number - AFS 603896

Location reference - 0047483283-001

		Audit1	Audit2	Audit3	Audit4	Audit5
Business area/Location	Date (mm/yy):	04/17	02/18	11/18	07/19	04/20
	Duration (days):	10	5	5	5	10
Criterion 0 - General Requirements		X	X	X	X	X
Criterion 1 – Systematic Management		X	X	X	X	X
Criterion 2 – Stakeholders		X	X	X	X	X
Criterion 3 – Biodiversity		X	X	X	X	X
Criterion 4 – Forest Productive Capacity		X	X	X	X	X
Criterion 5 – Forest Ecosystem Health		X	X	X	X	X
Criterion 6 – Soil and Water Resources		X	X	X	X	X
Criterion 7 - Carbon		X				X
Criterion 8 – Cultural Values		X	X	X	X	X
Criterion 9 – Social and Economic Benefits		X	X	X	X	X
Northern Region		X		X		X
Coastal		X			X	X
Inland Region		X	X			X

Mandatory requirements – re-certification.

Review of assessment finding regarding conformity, effectiveness and relevance of the management system:

The commitment to maintaining the effectiveness of the management system is demonstrated by the active participation and engagement of the Senior Management Team during the audit and the provision of resources necessary to implement and maintain the forest management system.

Management system strategy and objectives:

HQPlantations has a strategic plan, Vision 2021, and supporting annual plans for individual business units which support the achievement of corporate goals and objectives and provides for continual improvement. Resources to maintain and implement the forest management system (FMS) are adequate. The company

is transitioning to a contractor management framework which will require additional resources to provide training and monitoring to ensure the ongoing effectiveness of the FMS and compliance with company standards.

Review of progress in relation to the organisation's objectives:

The HQPlantations Forest Management System is effective and contributes to the achievement of the organisation's policy commitments and its objectives and targets.

Review of assessment progress and the re-certification plan:

A review of the audit reports and actions arising from the past three-year certification cycle has verified that the Forest Management System implemented by HQPlantations Pty Ltd is assisting the organisation in effectively identifying and managing risks and establishing objectives and targets to drive continual improvement.

The total assessment days meet or exceed the minimum requirements determined using the Audit Duration Calculator.

BSI Client Management Impartiality and Surveillance Strategy:

The assessor has been undertaking audits with this client since 2010, however each recertification audit has included an additional team member which satisfies impartiality requirements.

Continue with the current Total assessment days / Cycle.

Notes

This report and related documents are prepared for and only for BSI's client and for no other purpose. As such, BSI does not accept or assume any responsibility (legal or otherwise) or accept any liability for or in connection with any other purpose for which the Report may be used, or to any other person to whom the Report is shown or in to whose hands it may come, and no other persons shall be entitled to rely on the Report. If you wish to distribute copies of this report external to your organisation, then all pages must be included.

BSI, its staff and agents shall keep confidential all information relating to your organisation and shall not disclose any such information to any third party, except that in the public domain or required by law or relevant accreditation bodies. BSI staff, agents and accreditation bodies have signed individual confidentiality undertakings and will only receive confidential information on a 'need to know' basis.

This audit was conducted on-site through document reviews, interviews and observation of activities. The audit method used was based on sampling the organization's activities and it was aimed to evaluate the fulfilment of the audited requirements of the relevant management system standard or other normative document and confirm the conformity and effectiveness of the management system and its continued relevance and applicability for the scope of certification.

As this audit was based on a sample of the organization's activities, the findings reported do not imply to include all issues within the system.

Regulatory compliance

BSI requires to be informed of all relevant regulatory non-compliance or incidents that require notification to any regulatory authority. Acceptance of this report by the client signifies that all such issues have been disclosed as part of the assessment process and agreement that any such non-compliance or incidents occurring after this visit will be notified to BSI as soon as practical after the event.