

IMPLEMENTATION GUIDE

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The Self-Assessment Questionnaire

An Introduction

Conformance with the Code of Forest Practices has been specified as a condition of membership in the Ontario Forest Industries Association (OFIA). To measure that conformance, the Board of Directors has authorized a self-assessment system. This system has been designed, not only to measure conformance, but also to provide member companies with direction for continuous improvement.

The system consists of three basic elements:

1. A company category classification that determines which questions in the SAQ are applicable to the company.
2. A Self-Assessment Questionnaire (SAQ).
3. A performance rating which is determined by the number of positive responses to the questions in the SAQ.

For each category, there are a set of mandatory questions that must be answered positively for the minimum conformance required for membership. These questions centre on whether the company has the basic management systems in place to ensure conformance.

Company performance will be assessed on a scale of Conformance, Bronze, Silver, or Gold. To foster continual improvement, companies cannot move to the next highest level without first conforming to all the questions of the lower level.

Four (4) company categories are recognized, due to the diversity of the company structures. How an individual company reports (i.e. regionally, by unit, or by total company) is left to the company's discretion. Whatever that designation, the company must acknowledge that the category could be challenged by a third party review if called by the Board of Directors.

The Code of Forest Practices Task Force has recommended this first major revision after a critical review and evaluation of the Year 1999 results, which have shown the possibility for improvement. Input from those who completed the SAQ on behalf of their companies was an important driving force for these revisions and OFIA encourages their continuous critique and suggestions for improvements.

It is the hope of all members of the OFIA that this SAQ and Implementation Guide will give some insight as to where company resources can be best channelled to improve forest practices in Ontario and assist in the quest for public credibility.



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In order to determine compliance with the Ontario Forest Industries Association's Code of Forest Practices, all members are required to complete this Self-Assessment Questionnaire (SAQ). The questionnaire is organized by the eleven major elements and the components (or sub-elements) of these elements, within the Code of Forest Practices. The sub-elements are included throughout the questionnaire in a bold italicized typeface. For each sub-element a series of questions are provided which have to be answered with YES, NO or NA, where applicable.

"The company" refers to the local office, division, or woodlands for which the assessment is being completed.

For the purposes of this self-assessment, companies can be grouped into one of four categories. A separate set of questions has been tailored for each category.

Category Description

- 0 This category applies to companies that derive the majority of their mill furnish from recycled fibre and that have no forest management responsibilities.
- 1 This category applies to companies that derive a significant amount of their wood from private lands for which they have no legal responsibility, or purchase the majority of their mill furnish on an open market or from the residual products of other mills.
- 2 This category applies to companies that hold indirect tenure such as "SFL Partners," overlapping licenses or third-party agreements. Companies in this category influence forest management to some degree and share forest stewardship responsibilities.
- 3 This category applies to companies that hold direct tenure (license or ownership) over significant amounts of forest land. These companies directly control planning, harvesting and renewal of forests.

Assessment Description

There are a total of 150 questions in this survey. Answer all the questions appropriate for the category chosen for the company, division or woodlands for which you are completing this survey. In some circumstances, a question will be not applicable (NA). In these cases, mark the questionnaire accordingly. An answer of YES scores 1, NO scores 0, while a not applicable NA response (where allowed) is not counted in the over-all score.

Required Assessment

All mandatory questions for each category are specially marked by an asterix (*) and are listed below (they are also listed in Section 2 - Rating System):

Category 0: 1, 92, 95, 101, 107, 119, 131, 138, 144, 149

Category 1: 1, 4, 25, 32, 33, 72, 92, 95, 101, 107, 119, 122, 131, 133, 138, 141, 144, 149

Category 2: 1, 4, 16, 25, 32, 33, 40, 47, 52, 58, 64, 72, 85, 92, 95, 101, 107, 119, 122, 131, 133, 138, 141, 144, 149

Category 3: 1, 4, 8, 16, 21, 25, 32, 33, 37, 40, 47, 52, 55, 58, 61, 64, 72, 85, 92, 95, 101, 107, 119, 122, 131, 133, 138, 141, 144, 149

Time Frame

By the end of January of any calendar year, the OFIA will inform member companies of any updates to the questionnaire that will apply to that year.

Member companies will be accountable to respond to the current questionnaire by December 15th of each year. The OFIA office will send out a reminder to that effect on or about the first working day in November.

The OFIA office will acknowledge receipt of questionnaire responses and will inform member companies of their level of achievement by January 15th of the following year.

Formal recognition of each member company's level of achievement will take place at the Annual General Meeting the year following receipt of the questionnaires.

Non-compliance

Should a member company lose its good standing because of non-compliance, that member will be allowed a grace period of six (6) months to take corrective action. While not in good standing, that company will forfeit all privileges of the OFIA.



CATEGORY 0

.....

 **0 1 2 3**

1 Policy and Planning **Self-Assessment Questionnaire**

1.1 *participate in the open and public processes which establish objectives, policies, programs and guidelines for forest land use within Ontario.*

***1** Does the company provide input into public processes which establish objectives, policies, programs and guidelines for forest land use within Ontario? YES No

7 Human Resources **Self-Assessment Questionnaire**

7.1 *provide employees with forest management information which allows meaningful participation in the decision making process.*

***92** Does the company regularly provide information to employees and/or contractors on forest management activities and/or issues? YES No

7.2 *ensure that employees are adequately trained, fully informed of operational requirements, and have the equipment necessary to properly engage in their work*

***95** Does the company have a program to adequately train employees and/or contractors in operational (health, safety, environment) requirements? YES No

7.4 *ensure that adequate safety equipment is available at all facilities and operations, and that employees are trained in the use of equipment as well as in first aid practices.*

*101 Does the company comply with the provincial/federal health and safety statutes and regulations? YES No

7.6 *ensure that employees can respond effectively to the public, with a sense of pride in their activities.*

*107 Does the company regularly communicate information on forest management, company activities and the economic and social significance of the industry to employees and/or contractors? YES No

8 Public Participation/Communications *Self-Assessment Questionnaire*

8.4 *employ a variety of communication techniques, including public tours where possible, to demonstrate openness and foster increased public understanding and awareness of the industry.*

*119 Does the company demonstrate a commitment to increase public understanding and awareness of the industry? YES No

9 Accountability to the Public *Self-Assessment Questionnaire*

9.4 *report on mistakes in a timely manner to ensure that environmental protection and worker and public safety are not compromised.*

*131 Does the company have in place a defined environmental monitoring procedure to review and follow up on environmental protection and worker safety? YES No

10 Implementation and Monitoring

Self-Assessment Questionnaire

10.3 *renew their commitment annually.*

*138 Does the company commit to the Code of Forest Practices for its Ontario operations in a format as prescribed by the OFIA Board of Directors?

YES No

10.5 *develop and implement an internal monitoring system to assess compliance with the Code.*

*144 Does the company have an internal monitoring system to assess compliance with the Code of Forest Practices?

YES No

11 Updating the Code

Self-Assessment Questionnaire

11.1 *participate in regular reviews of the Code, as directed by the OFIA Board of Directors.*

*149 Does the company participate in reviews of the Code of Forest Practices?

YES No



CATEGORY 1

Company			
Division/Woodlands			
Company Category	0	1	2	3
Correspondent			Date

1 Policy and Planning *Self-Assessment Questionnaire*

1.1 *participate in the open and public processes which establish objectives, policies, programs and guidelines for forest land use within Ontario.*

***1** Does the company provide input into public processes, which establish objectives, policies, programs and guidelines for forest land use within Ontario? YES No

1.2 *participate in forest management planning which provides for timely, effective public input, and ensures the identification and protection of significant values.*

***4** Does the company directly participate in the public participation processes for all the Forest Management Plans covering areas of forest land from which it derives major portions of its timber supply? YES No

5 Is public participation a continual process for the company on areas of Crown Land from which timber is derived? YES No

6 Does the company take a lead role in the public participation processes for forest management planning? *SEE NOTES YES No NA

1.3 *integrate provincial, regional and local objectives and policies in their Forest Management Plan(s), while addressing, where possible, local concerns and values.*

9 Has the company adjusted/modified forest operations in response to local concerns, or changes in regional or provincial policies or objectives? YES No NA

11 Does the company prepare Forest Management Plans for the private forest lands which it owns (freehold)? YES No NA

1.4 *participate in the development of a data base in order to facilitate the preparation of effective Forest Management Plans and assist in performance evaluation.*

12 Has the company provided or developed information which has been employed in forest planning and/or monitoring? YES No NA

14 Does the company utilize an operational geographic information system (GIS) for planning? YES No NA

15 Does the company regularly identify information gaps and develop and implement strategies to overcome them? YES No NA

1.8 *continue their support for research and development programs and promote the application thereof, leading to the continual improvement of forest management practices.*

*25 Does staff in the company receive and review relevant forestry research reports from a variety of sources? YES No

26 Does the company participate in forestry research activities through monetary or in-kind contributions? YES No

1.9

be a major factor in the resolution of aboriginal issues as they apply to forest management and a proponent of co-operative ventures with aboriginal groups.

- 29 Does the company communicate with aboriginal communities in regards to forest management planning and/or forestry in general? YES No NA
- 30 Does the company participate in negotiations with aboriginal communities with regards to forest management? YES No NA
- 31 Does the company encourage the establishment of co-operative and other aboriginal business ventures in the forestry sector? YES No NA

1.10

Maintain a company-specific policy relating to their forestry management activities.

- *32 Does the company have a written corporate policy, approved by the Board of Directors, which covers forestry and forest management, that is consistent with the vision and goals of the OFIA? YES No
- *33 Has this policy been communicated internally and externally? YES No
- 34 Is this policy periodically reviewed and updated? YES No
- 35 Does the company have a program to monitor compliance with the policy? YES No
- 36 Does the company correct non-compliance with its policy? YES No

3 Operations

Self-Assessment Questionnaire

3.2 *select operating systems and equipment appropriate to the sensitivity of each site, and which integrate harvesting and regeneration objectives.*

53 Does the company conduct regular inspections of its operating areas to assess impacts?

YES No NA

5 Forest Protection

Self-Assessment Questionnaire

5.1 *conduct their operations in a manner that minimizes the risk of starting fires.*

*72 Are those involved in forest operations on areas the company manages and/or operates or those providing the company fibre aware of the fire safety and prevention regulations?

YES No

73 Have those involved in forest operations received awareness training in fire prevention?

YES No NA

74 Does the company have a fire plan covering areas of active operations?

YES No NA

5.2 *cooperate with and assist government agencies in the prevention, detection, monitoring and suppression of forest fires.*

77 Does the company participate in fire prevention and fire detection programs?

YES No

78 Does the company or its contractors have staff trained in fire suppression?

YES No NA

6 Environmental Protection

Self-Assessment Questionnaire

6.1

minimize environmental impacts of their forest operations, monitor these and, where necessary, implement plans to restore damaged sites.

85

Do the forest operations undertaken by the company (or its contractors) conform to the environmental guidelines specified by the provincial government?

YES

No

NA

7 Human Resources

Self-Assessment Questionnaire

7.1

provide employees with forest management information which allows meaningful participation in the decision making process.

*92

Does the company regularly provide information to employees and/or contractors on forest management activities and/or issues?

YES

No

93

Do employees and/or contractors have the necessary training and information and the authority to make forest management decisions relative to their job responsibilities?

YES

No

94

Does the company openly solicit input from employees and/or contractors on forest management activities and involve them in the decision making process?

YES

No

7.2

ensure that employees are adequately trained, fully informed of operational requirements, and have the equipment necessary to properly engage in their work.

to

*95

Does the company have a program to adequately train employees and/or contractors in operational (health, safety, environment) requirements?

YES

No

Does the company and/or its contractors have a continuous improvement program for the training of employees and/or contractors and to make new training tools available to employees?

YES

No

97

Does the company and/or its contractors have the appropriate equipment available to them to properly engage in their work?

YES

No

7.3

encourage employee access to training and continuing education programs, which can broaden and increase their contribution to the maintenance of a healthy forest environment.

- 98 Does the company support applicable employee training and continuous education? YES No
- 99 Does the company promote, encourage, and assist employees to upgrade their skills in the natural resource areas relative to their job requirements? YES No
- 100 Does the company incorporate applicable continuing education as an integral part of their employee review process? YES No

7.4

ensure that adequate safety equipment is available at all facilities and operations, and that employees are trained in the use of equipment as well as in first aid practices.

- *101 Does the company comply with the provincial/federal health and safety statutes and regulations? YES No
- 102 Does the company have a continuous improvement plan in place relative to health and safety? YES No
- 103 Do the company's health and safety standards surpass government regulations? YES No

7.5

encourage employees to report activities that are contrary to this Code of Forest Practices, while ensuring that no one is penalized for reporting.

- 104 Does the company inform all appropriate employees and/or contractors to report activities that are contrary to the Code of Forest Practices and ensure that they are not penalized for reporting? YES No
- 105 Does the company have a procedure for non-conformance reporting and ensure that employees are not penalized for reporting? YES No

7.6

ensure that employees can respond effectively to the public, with a sense of pride in their activities.

- *107** Does the company regularly communicate information on forest management, company activities and the economic and social significance of the industry to employees and/or contractors? YES No
- 108** Does the company actively encourage employees and/or contractors to participate in public forums such as open houses, citizen advisory committees, public meetings and public/media events? YES No
- 109** Does the company support employee involvement in community development activities (e.g. community economic development committee, local environmental initiatives)? YES No

8 Public Participation/Communications

Self-Assessment Questionnaire

8.4

employ a variety of communication techniques, including public tours where possible, to demonstrate openness and foster increased public understanding and awareness of the industry.

- *119** Does the company demonstrate a commitment to increase public understanding and awareness of the industry? YES No
- 120** Does the company communicate information on the company, its products, markets, forest operations, environmental information and socio-economic impact on the local community? YES No
- 121** Does the company have in place communications and awareness programs such as tours, speakers, demonstration sites, and videos? YES No

9.1 address, where possible, issues and concerns that arise from the public participation process.

- *122 Does the company provide to the public information about forest operations? YES No
- 123 Does the company provide responses to the concerns and issues raised by the public? YES No
- 124 Does the company make its positions known on developing issues? YES No

9.4 report on mistakes in a timely manner to ensure that environmental protection and worker and public safety are not compromised.

- 130 Is environmental protection and worker safety part of the day-to-day monitoring of forest operations? YES No NA
- *131 Does the company have in place a defined environmental monitoring procedure to review and follow up on environmental protection and worker safety? YES No

10.1 require organizations contracted to undertake forest management activities on Crown Lands licensed to those member companies, to adhere to this Code of Forest Practices.

- *133 Does the company distribute copies of the Code of Forest Practices to all organizations contracted to undertake forest management activities? *SEE NOTES YES No
- 134 Is adherence to the Code of Forest Practices included as a contractual and/or agreement item with the organizations contracted to undertake forest management activities?

10.2 *actively promote this Code with all who supply fibre to their mills.*

136 Does the company distribute and encourage adoption of the Code of Forest Practices for application by all wood suppliers? YES No

137 Does the company have a supplier awareness program in place? YES No

10.3 *renew their commitment annually.*

*138 Does the company commit to the Code of Forest Practices for its Ontario operations in a format as prescribed by the OFIA Board of Directors? YES No

139 Does the senior management of the company communicate its annual commitment to the Code of Forest Practices to its appropriate locations/divisions? YES No

140 Does the company monitor and track its progress toward full compliance with the Code of Forest Practices and report progress to senior management? YES No

10.4 *develop and maintain company-specific operating procedures based on this Code of Forest Practices and this Association's guidelines.*

*141 Does the company have in place standard operating procedures that meet or exceed the Association's Code of Forest Practices for Ontario operations? YES No

10.5 *develop and implement an internal monitoring system to assess compliance with the Code.*

*144 Does the company have an internal monitoring system to assess compliance with the Code of Forest Practices? YES No

146 Does the company report progress towards compliance with the Code of Forest Practices in external reviews and audits of its forest management operations? YES No

11.1 *participate in regular reviews of the Code, as directed by the OFIA Board of Directors.*

*149

Does the company participate in reviews of the Code of Forest Practices?

YES No

150

Does the company regularly participate in reviews of the Code of Forest Practices and allocate staff time and funds for this to occur?

YES No