

D R A F T -- May 30, 1995

**FINAL  
DRAFT**

Guidance for  
**Implementation Monitoring**  
for  
Management of Habitat for Late-Successional  
and  
Old-Growth Forest Related Species  
Within the Range of the Northern Spotted Owl

FINAL  
DRAFT PRODUCT OF  
IMPLEMENTATION MONITORING WORK GROUP  
RESEARCH AND MONITORING COMMITTEE  
May 30, 1995

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## Guidance for Implementation Monitoring

### *INTRODUCTION*

This paper presents the interagency approach to monitoring implementation of the ecosystem management direction provided in the Northwest Forest Plan for federal lands that lie within the range of the northern spotted owl (hereafter referred to as the region). It provides a list of questions that are based upon individual standards and guidelines. These are yes or no type questions for any given activity and are organized by the organizational levels responsible for implementing the particular direction (e.g., regional office, field office), by the type of activity (e.g., project, assessment), and by land allocation. Two information gathering efforts, using these questions, are described. The first, called the census, is a self-monitoring tool for all management activities. The second is a method to independently sample those activities to be carried out by a multi-agency group that may include members of the public.

This paper advances a portion of the monitoring framework provided in the Record of Decision for amendments to Forest Service and Bureau of Land Management (BLM) planning documents within the range of the northern spotted owl, to an implementable plan of action. It focuses on that portion which addresses the question, "is the plan being implemented as intended?"

Implementation monitoring (sometimes called compliance monitoring) is a critical component of the Northwest Forest Plan and is identified throughout the Plan and Record of Decision (ROD) as a necessary component of the learning process and is inherent to adaptive management (not to be confused with Adaptive Management Areas in the ROD). The ROD (page 57) states that implementation monitoring will "*ensure that management actions meet the prescribed standards and guidelines and that they comply with applicable laws and policies.*" This is the focus of the monitoring described herein. The adaptive management process, as explained below, increases the utility of monitoring, particularly at the field level. It offers the opportunity to give the manager quick feedback with regard to how well the proposed action meets the direction so adjustments can be made in a timely manner.

The monitoring approach presented and the basis for the approach are explained. This approach was developed by personnel from selected federal agencies, for use on those federal lands subject to the direction contained in the Record of Decision. Comments received on earlier drafts have been incorporated into the final approach.

### ***Relationship of Monitoring to Existing Plans***

Monitoring must meet National Forest Management Act (NFMA) requirement 219.12(k) and Federal Land Policy and Management Act (FLPMA) requirement 1601.5-9. These regulations provide additional monitoring requirements to those presented here. Agencies are expected to integrate the monitoring requirements identified in this plan with those of existing monitoring plans (i.e., Forest Monitoring Plans) so as to eliminate redundancy and inefficiency that might otherwise result. This integration or reconciliation is an important step and should not be overlooked. It must take place at the National Forest and BLM District level due to the uniqueness of each Forest Plan and District Resource Management Plan. The intent is to provide consistent implementation monitoring direction for the Northwest Forest Plan across the region.

It is also clear that various management units have monitoring needs which go beyond those specified here. There are local issues of public interest, management actions not covered by the ROD or standards and guidelines, new information, and new approaches in projects which raise additional questions. Monitoring of these activities should be considered and incorporated at the appropriate management unit level, but there is not necessarily a need for a consistent approach across the region for those other activities.

### ***Initiation of Implementation Monitoring and Future Revisions***

Implementation monitoring should be phased in over several months beginning in late Fiscal Year 1995. Use of the census questions can begin immediately as a pre-project checklist. Monitoring of completed projects and activities using the census approach will begin as determined by the management agencies.

Four pilot reviews should be undertaken in late Fiscal Year 1995 or early Fiscal Year 1996 in order to refine the sampling review process and identify training needs. These will include a headquarters review of the Regional Ecosystem Office (REO) and three provincial administrative reviews, including one National Forest in each Forest Service Region and the one BLM District in Oregon. The sample approach should be formally instituted in Fiscal Year 1996, as the census process generates a list of projects and activities.

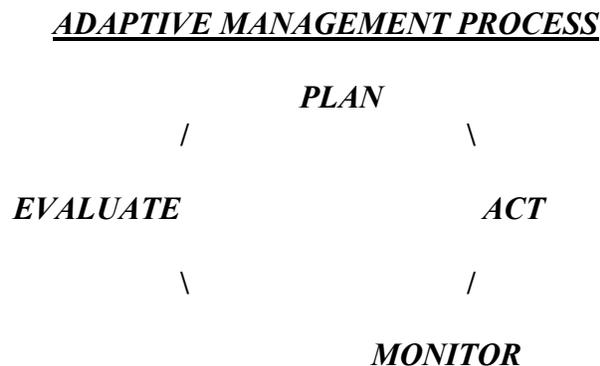
The implementation monitoring approach described here should be reviewed in two years by the REQ. Revisions or adjustments should be made at that time. The two-year period was proposed as a trial period based on results from similar monitoring schemes applied by the Forest Service.

## ***BASIS FOR IMPLEMENTATION MONITORING***

### ***The Adaptive Management Process***

Of primary importance is an understanding of how implementation monitoring is to be used. As stated above, the key concept is “adaptive management,” as used in the scientific literature and in the ROD and FEMAT (Thomas et al. 1993) documents which present the Northwest Forest Plan and its conceptual basis.

The adaptive management process is a continuous cycle of action based on hypothesis testing. Planning is followed by action based on a stated hypothesis, monitoring, evaluation and adjustment. In its simplest form, adaptive management is pictorially presented as such:



This process will help managers determine how well their actions meet Northwest Forest Plan direction and identifies where management actions need to be modified to increase success. Implementation monitoring is one key to adaptive management. Monitoring in the adaptive management framework is necessary because of the uncertainty of our predictions. The purposes of implementation monitoring under an adaptive management framework are to provide the manager with the information necessary to adjust management actions in a timely manner, and to document how successfully the Northwest Forest Plan is being implemented.

Although there have been successful efforts at monitoring implementation of previous plans and actions (some of which formed the basis for the proposed approach), a review of recent monitoring activities across the region generally indicated inconsistencies in application, quality of data, and comparability of results within and between years. As a result, a more rigorous and scientifically-based approach to implementation monitoring, as part of the adaptive management process, is proposed than has been undertaken by the agencies in the past.

## ***Relationships to Other Types of Monitoring***

Three types of monitoring are needed to meet the objectives of providing the data for the adaptive management process. The three types of monitoring are implementation, effectiveness, and validation monitoring. Each is explained in the following paragraphs.

Implementation monitoring, as noted above, is used to determine whether land managers have implemented the ROD and standards and guidelines of the Northwest Forest Plan as directed across the region. This paper focuses only on implementation monitoring.

Effectiveness monitoring gathers data to answer questions about whether the objectives of the Plan are being met. Validation monitoring examines cause-and-effect relationships, such as habitat/population relationships to ascertain whether or not key assumptions made in the Plan are valid.

The initial step in monitoring will focus on- implementation because a basic understanding of how well land managers are applying the standards and guidelines across all land allocations is necessary before determinations of effectiveness or validation can be made.

## ***What Are We Monitoring?***

Northwest Forest Plan direction is designed to implement three related conservation strategies: aquatic, terrestrial, and socio-economic. The ROD and standards and guidelines are a reflection of these strategies and form the basis for determining what questions to ask in implementation monitoring. Each of the three conservation strategies is implemented at several scales of resolutions. For example, the terrestrial strategy is implemented at the site or project scale as well as the watershed, province, and regional scales. Consequently, implementation monitoring is carried out at all scales.

For the most part this guidance provides monitoring direction for the aquatic and terrestrial conservation strategies. The socio-economic strategy is only partly addressed through implementation monitoring in areas such as public participation. The questions do not include any of the community action efforts coordinated by the Community Economic Revitalization Teams (CERT5). The CERTs have their own implementation monitoring effort.

Identification of “what to monitor” was accomplished under this approach by restating direction in the ROD and standards and guidelines as questions to form a list of monitoring items (see attachment). These questions are posed to query managers regarding management actions initiated on their respective administrative units. No hierarchy was established between standards and guidelines; for the purposes of implementation monitoring all are considered important to compliance with the direction in the Forest Plan.

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Most Northwest Forest Plan direction will be monitored on a project-by-project basis. This was done because it was felt that what happens on the ground at the project level gives the best indicator of whether or not the real intent of the direction is being followed. For example, some of the *Survey and Manage* species direction says to define buffers around known locations, regardless of whether or not a project occurs. In monitoring, this question can be asked at the regional level, but a more meaningful question is, "have buffers been established in a project area where "ground disturbing" actions are proposed?" This activity is best monitored on a project-by-project basis, and provides a link to effectiveness and validation monitoring.

The monitoring questions are not meant to replace the standards and guidelines, nor are they meant to be a definitive interpretation of those standards and guidelines. The questions, as used in this context, are tools to facilitate monitoring whether or not agencies have complied with the Northwest Forest Plan.

The majority of questions require the manager to make his/her determination of whether or not a particular standard or guideline was carried out in accordance with the direction. A simple 'yes' or 'no' response, i.e., "did you carry out this activity as specified in the standards and guidelines" is required. Documentation of rationale for 'no' responses would be included in the project file. A database associated with the "census" approach will allow for documentation of comments/concerns/rationale related to specific questions. Some questions may not be applicable to the activity being monitored and an 'N/A' or not-applicable response would be warranted.

Questions have been grouped by three broad categories: *Projects; Assessments, Analyses, and Plans; and Administrative Headquarters*. Usually, any one project or plan deals only with some of the direction. Therefore, monitoring those projects, plans, or programs would only apply to some of the monitoring questions in any one questionnaire. The questions are further subdivided within each of these 3 categories by major headings from the ROD.

(a) *Projects*: These are monitored at the ranger district and resource area. The kinds of direction for projects are grouped by land allocation. Only the project questions for the affected land allocations and appropriate for that type of project are applicable for any one project. The questions for other allocations would be considered "Not Applicable." Where land allocations overlap, multiple question sets would be addressed.

(b) *Assessments, Analyses and Plans*: These are monitored at the ranger district and resource area level and are also organized around land allocations.

(c) *Administrative Headquarters*: Certain activities or groups of activities are more appropriately monitored at the headquarters level. Each Administrative Headquarters answers the questions which are grouped by administrative level as follows: 1) Regional Ecosystem Office, 2) Forest Service Regional or State BLM Offices, and 3) National Forest Supervisor or BLM District Offices.

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A complete set of questions for each category along with directions on how to fill out the questionnaires and a data sheet for each activity being monitored are located in the attachment.

## ***IMPLEMENTATION MONITORING APPROACH***

Two approaches to data collection will be undertaken: census and sample. Each has its own purpose, timing, and methods. Data from the two approaches can be combined to give more powerful statistical reliability. The two approaches are discussed below.

### ***Census Approach***

The census approach is intended to be an inexpensive process to evaluate compliance with the standards and guidelines in the ROD. The main focus is to give the land manager and project leader immediate feedback with regard to consistency with Forest Plan direction so that adjustments may be made in a timely manner. It is primarily intended for use at the field level. Generally, the census is a self-monitoring exercise, though the land manager may use this exercise as an opportunity to involve the public and scientists. This broader involvement would widen the learning experiences and better meets the objectives set forth below.

- to provide a method to inexpensively monitor implementation of required direction.
- to provide immediate feedback to the field so adjustments can be initiated if needed.
- to provide a list of expectations for implementation that are contained in the ROD and standard and guidelines.
- to remind the manager of the need to document rationale for actions which appear to differ from direction.
- to enhance credibility, completeness, and accountability of implementation monitoring over that which is possible with the sample alone.

The focal point for data collection will be the lands for which the standards and guidelines apply, i.e., National Forests and Bureau of Land Management Districts. Some implementation monitoring will also be the responsibility of the Forest Service Regional and BLM State Offices and the Regional Ecosystem Office.

The questions can be used as a management tool to identify issues or concerns or potential for non-compliance with standards and guidelines. Where these are identified, the manager is alerted to “take another look” at the proposed activity or process to see if the issues and/or instances of noncompliance can be mitigated and to undertake appropriate action. Examples of non-compliance might be proceeding with a project without completing appropriate watershed assessments or Late Successional Reserve management assessments; finding that you are not

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able to meet the 15% green tree retention standard and guideline; or finding that the location of mining tailings from an ongoing activity does not meet aquatic conservation strategy objectives.

### Data Collection

For projects, each administrative unit (usually a ranger district or resource area) is responsible for completing the list of project monitoring questions at two distinct times: once at the time the respective line officer signs the decision and once upon project completion. Using the checklists or questionnaires at the time the decision is signed allows the line office a higher degree of confidence that the project as proposed is in compliance with the standards and guidelines from the ROD. The use of the checklists after the project is complete is classic after the fact monitoring, answering the question, "did you do what you planned to do?" On the other hand, headquarters questions and assessments/plans are only monitored once. The following is a summary of timing of census monitoring:

- *Projects* (defined as actions requiring NEPA documentation) will be monitored initially at the time of making the project decision and secondly at the completion of the project.
- *Assessments, Analyses, and Plans* will be monitored once at the completion of the assessment.
- *Administrative Headquarters* questions are to be answered on an annual basis.

The census approach will help identify those standards and guidelines that are not implemented as directed and document the rationale at the level of local managers. This institutionalizes a feedback mechanism that will suggest priorities for improving performance or experimentation with different methods to achieve the intent of the standards and guidelines that are especially difficult to implement.

The census monitoring taken at the conclusion of the planning phase (line officer decision point) for projects is expected to take from a few minutes to an hour or so for each project or activity, most minor activities will take but a few minutes. The exercise is intended to be completed by personnel familiar with the field and the project record.

Completion of census monitoring at the conclusion of the project is expected to take the same amount of time, based on the same assumption: that is, the checklist would be filled out by people familiar with the record and what actually happened in the field. Occasional site visits (including field measurements with protocols normally used in implementing the action) would be appropriate to verify judgments made in filling out the questionnaires.

Census information is collected to help the field unit compile a systematic record upon which they can make reasoned and swift adjustments, and to provide a basis for completing annual accomplishment and monitoring reports and responding to other requests for information. The

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data will be maintained locally.

Each National Forest and BLM District will maintain a data base with the responses to census monitoring questions. A common data format will be provided through the REO to eliminate the need for each field unit to develop its own data base system. This standardization of the data base will increase efficiency for use in upward reporting, improve responsiveness over the long term, and provide for the need of a 'corporate' data structure across agencies to facilitate the adaptive management process at all levels.

### Evaluation Process

As each census is completed the manager and interdisciplinary team is encouraged to review the results and incorporate the findings into future project or program planning. Evaluation of census information and formulation of recommendations for altering management direction or for amending land use plans may occur at any level.

National Forest and BLM headquarters have varied annual reporting requirements for monitoring other than those identified here. In general they have the flexibility to evaluate and report their monitoring findings in whatever format is approved by their agency. However, a narrative addressing the following key points should be included annually in a report to respective Forest Service Regional and BLM State Offices in order for the agencies to compile an overview of the census findings. Suggestions gained from the field for clarifying standards and guidelines and identifying potential training topics should also be included.

### **Key Points to Report For Implementation Monitoring of the Northwest Forest Plan**

- Are the standards and guidelines in the ROD being correctly applied and followed?
- Have assessments, plans, and analyses been completed as required by the ROD?
- Are management activities within the various land allocations in compliance with the standards and guidelines?
- What are the standards and guidelines which are proving difficult to implement?

### ***Sampling Approach***

The sampling approach conducted on an annual basis by independent review teams is necessary to earn the trust of people inside and outside the agencies. It applies an unbiased scientifically based method of assessing whether the standards and guidelines are being implemented across the region in accordance with direction in the Northwest Forest Plan. It will serve to validate the reliability of the census data. It also serves to formalize the adaptive management process

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for the public and scientists as well as for managers and establishes a dependable feedback mechanism that will improve performance. The primary value of the sample and statistical data is at the regional level.

### Data Collection

Sampling examines the same monitoring questions as the census approach. The sampling strategy consists of three components: 1) *Project*, 2) *Assessments, Analyses and Plans*, and 3) *Administrative Headquarters*. Projects are defined as actions that require NEPA documentation. Assessments, analyses and plans are those identified in the ROD. Assessing the headquarters component is accomplished by-evaluating standard and guideline questions at various levels of administrative headquarters.

Samples will be selected from a complete list of administrative headquarters and from a list of projects and assessments/plans to be compiled annually at the Regional and State offices of the Forest Service and Bureau of Land Management. To address the Forest Plan strategies, three land allocations will be represented in the sample: Matrix, Late-Successional Reserve, and Riparian Reserve.

The administrative headquarters component includes questions directed at specific land allocations such as Adaptive Management Areas, groups of projects that are typically too small to justify reviewing on an individual basis, and programmatic questions; these are found in the set of questions entitled "Administrative Headquarters Questions" in the attachment. Questions are directed at a variety of administrative levels and at varying levels of intensity. A full survey will be undertaken annually of the Regional Ecosystem Office and the BLM State and Forest Service Regional Offices. A minimum of eight National Forest and BLM District Offices will be randomly selected for the annual sample review.

The project component includes all projects requiring NEPA documentation except in a few circumstances where projects are typically too small to justify reviewing on an individual basis; these projects are grouped and addressed within the administrative headquarters component. A minimum of twenty projects will be randomly chosen from each of three land

allocation categories to be sampled annually. The land allocations are Matrix, Late Successional Reserves and Managed Late Successional Areas, and Riparian Reserves.

The assessments, analyses, and plans component includes those required by the ROD such as AMA plans, watershed analyses, LSR assessments, etc. Two assessments, analyses, or plans would be randomly selected from each province for the annual sample.

The sample size, intensity and frequency of application will provide statistical data for analysis at the regional level. The following table summarizes the scope of the sampling strategy for implementation monitoring:

<u>Unit of Measure</u>	<u>Number of Units Reviewed Annually</u>
<b>Administrative Headquarters</b>	
Regional Ecosystem Office	1
Regional Offices	4
National Forests, BLM Districts	8
<b>Project</b>	
Matrix	2 per province
Riparian Reserves	2 per province
Late-Successional Reserves & Managed Late-Successional Areas	2 per province
<b>Assessments, Analyses, Plans</b>	2 per province

The REQ will be examined by an interagency team appointed by the Intergovernmental Advisory Committee (IAC). Forest Service Regional and BLM State Offices will be examined by a team appointed by the REO.

The respective Province Interagency Executive Committees (PIEC) will select the interagency/interdisciplinary monitoring team members for their province. This team may include people from non-federal agencies and the public. These teams are responsible for reviewing the administrative headquarters at the National Forest and BLM District level, and the projects and assessments, analyses, and plans selected within their province at the Ranger District and Resource Area level.

The proposed pilot test will help refine procedures for the review teams. Monitoring done by these teams is expected to take up to one and a half days per project, with 2/3 of that time spent in the field. Review of protocols for field measurements of key standards and guidelines, as defined by the monitoring team, are expected with the samples. We also expect the monitoring team to be limited to about five to seven people; inclusion of a larger number of people can defeat the intent of looking more in-depth at projects.

At each session, the team reviews all applicable questions (following the census example) to determine compliance with the standards and guidelines. Field or site visits for selected projects will be included in this review. A database containing the cumulative responses to the questions will be maintained using the same format provided for the census. Although these data will not provide summary statistics at the province or lower levels, they will be used to generate regional statistics on the success of implementation of the Forest Plan.

Evaluation Process

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For each session, the review team will provide a one page written report on each project, plan or assessment, or headquarters review to the unit manager which includes an overall assessment of compliance taking into account the relative importance of the applicable standards and guidelines. The report will address the following questions at a minimum:

- Are the standards and guidelines in the ROD being correctly applied and followed?
- Have assessments, plans, and analyses been completed as required by the ROD?
- Are management activities within the various land allocations in compliance with the standards and guidelines?
- What are the standards and guidelines which are proving difficult to implement?

The PIECs will compile all review team reports and forward a provincial summary report to REO on an annual basis. In addition to responding to the above questions, the suggestions gained from the field for clarifying standards and guidelines and identifying potential training topics should be included in these reports.

## ***REGIONAL EVALUATION***

It is necessary to evaluate monitoring data at a regional level to fully gauge the success of implementing the standards and guidelines and gain a larger perspective on implementation issues. Evaluation of monitoring data at these larger scales should strive to answer key questions concerning implementation of the Northwest Forest Plan on a regional basis. These key questions include:

- Are the standards and guidelines in the ROD being correctly applied and followed?
- Have assessments, plans, and analyses been completed as required by the ROD?
- Are management activities within the various land allocations in compliance with the standards and guidelines?
- What are the standards and guidelines which are proving difficult to implement?

Another function of regional evaluation is to integrate the results of implementation monitoring with effectiveness and validation monitoring to determine if adjustments in specific standards and guidelines are necessary.

Regional estimates of compliance with Forest Plan direction will be derived by using the data collected through the sampling approach. These regional estimates are the ratio of the standards and guidelines that complied with the Northwest Forest Plan to the number of applicable standards and guidelines. The regional estimates will be produced by land use allocation, administrative headquarters, assessments, analysis and plans and a combined estimate across all the units of measure. For estimates at the provincial or lower levels, the

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sample size would need to be increased to provide useful statistics at those levels.

The REQ will compile an annual report using these regional estimates and results of annual reports submitted by Forest Service Regional and BLM State Offices. This summary report will be submitted to the IAC. This report will be made available to facilitate the evaluation of policy decisions and allocation and expenditures of funds. Copies will be made available to interested members of the public.

## ***Summary***

In summary, information gained from implementation monitoring will be used primarily to continuously improve success on implementation of the Northwest Forest Plan. It is expected that at each level of this process appropriate recommendations for altering management practices or amending plans will be made as necessary. The implementation monitoring process is intended to be an evolving one. We intend to learn by doing. As we evaluate results of monitoring we will add and drop monitoring questions as needed. The data can be polled for upward reporting and to ensure quality control. Information will be available to publics, managers, and scientists for collective interpretations. Data protected by the Privacy Act are excluded from this open book approach.

## ***TRAINING AND ORIENTATION***

Training and orientation would be provided by the REQ and/or agencies to National Forest and Bureau of Land Management District personnel to ensure consistency in the application and execution of this effort. Training will include but not be limited to the following:

- How and when to initiate implementation monitoring;
- how to use the checklist (i.e. what questions to answer when, etc.);
- collecting and compiling data;
- use of data forms and documentation;
- purpose and use of the corporate database;
- need for documentation of data collection approaches;
- storage and maintenance of monitoring data; and
- overview of sampling process.

Training will also be provided for the monitoring teams responsible for the sampling process.

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## *Acknowledgements*

An internal agency review and a public and peer review were conducted during the development of this plan for implementation monitoring. Numerous comments and suggestions for modifying and improving this approach to monitoring were provided. The Implementation Monitoring Team wishes to thank everyone who contributed comments and ideas during these reviews, along with those who offered suggestions at different times throughout the drafting period with special thanks to the members of the Monitoring Design Team, the Research and Monitoring Committee, and to earlier members of the implementation team (Paul Henson, FWS; John Lloyd, BLM; and Jeff Trejo, FS). All comments and suggestions were extremely constructive in helping to complete development of this document and approach.

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## ***ATTACHMENT: DIRECTIONS FOR IMPLEMENTATION MONITORING OF THE NORTHWEST FOREST PLAN***

### ***Introduction***

This document contains the instructions the user of the monitoring question sets on how and when to fill out the different sets of questions. These should be used by individuals filling out the questionnaires for implementation monitoring of the Northwest Forest Plan. A full description of the approach to implementation monitoring is contained in the introductory document entitled "Implementation Monitoring for Management of Habitat for Late-Successional and Old-Growth Forest Related Species Within the Range of the Northern Spotted Owl" (1995).

### ***How to Use the Questionnaires***

The following instructions provide an explanation of how and when to use the questionnaires.

#### **Questionnaires**

The following appendices contain five sets of questionnaires, each with a separate list of questions. The questionnaires have been separated into the following categories:

**Projects** - included are questions about specific projects or activities (e.g., timber sales, recreation management, surveys, etc.)

**Assessments, Analyses, and Plans** - included are questions about ROD guidance relating to these types of activities (e.g., watershed analysis, LSR management assessment, AMA plan, etc.)

**Administrative Headquarters** - included are questions about programmatic and general resource planning activities, reviews, etc., as well as questions about ongoing and existing activities (e.g., road maintenance, existing facilities, etc.)

### ***Organization of the Questions***

The questions in each of the five question sets have been organized for ease of reference according to the land use allocations and other major headings found within the Record of Decision (ROD) and the ROD's attachments (A-E), as follows:

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- Record of Decision
- Transition (in Attachment A)
- Common to all Land Allocations
- Key Watersheds
- Late-Successional Reserves (LSR)
- Adaptive Management Areas (AMA)  
(including Attachment D)
- Managed Late-Successional Areas (MLSA)
- Administratively Withdrawn Areas
- Riparian Reserves
- Matrix
- Implementation (in Attachment E)

Page notations to the direction within the ROD and Standards and Guidelines have been provided for each question to allow specific reference to the ROD in which the issue under review is discussed.

Example: "C2" would refer to Standards and Guidelines  
Attachment C, page 2 in the ROD.

### ***Who Answers the Questions?***

Project questions should be answered by the personnel familiar with the specific project or activity. Assessment-type questions should be filled out by field level personnel familiar with the assessment or analysis. Questions to be addressed by Administrative Headquarters have been grouped into different subsets of questions because responsibilities for the issues associated with these types of questions often occurs at different levels within the organization. The following provides a general guide to whomever would be the responsible party:

<b><u>Question Type</u></b>	<b><u>Responsible Party</u></b>
Set 1: Project Questions	Ranger District or Resource Area personnel
Set 2: Assessment, Analyses and Plan Questions	Ranger District or Resource Area personnel
Set 3: Administrative Headquarters Questions	Regional Ecosystem Office personnel
Set 4: Admin. Hdqts. Questions	Forest Service Regional and BLM State Office personnel
Set 5: Admin. Hdqts. Questions	National Forest or BLM District personnel

## ***Which Questions Will Be Addressed?***

The manager or assigned staff is expected to complete all applicable questions for the type of activity or project under review. However, it is important that the user of the questionnaires understand the organization of the questions and which questions are applicable. Any one project or assessment only requires a fraction of the questions to be answered. Users should not have to read and consider all the questions, only those in the appropriate category, land allocation, organizational level, etc.

### ***Projects***

For implementation monitoring purposes, a project is defined as a discrete management action which requires NEPA documentation. If an activity falls within the project category, only select the **Project** set of questions (Set 1). Within that question set, only consider questions pertaining to the land use allocations affected by the project. All the rest of the questions should be "Not Applicable" (N/A). Users need to be careful to consider all allocation categories which may be affected by the project. It may be easy to overlook the managed late-successional reserves and the un-mapped late-successional reserves. Remember also to consider the question set under **Common to All Land Allocations**.

*Example 1:* If a proposed timber sale is located on Matrix lands, only the applicable questions in the **Project** set and (Set 1) found under **Common to All Land Allocations**, and **Matrix**, would be filled out. If there are Del Norte salamanders in the sale area, the managed late-successional reserve section should also be considered.

*Example 2:* If a restoration project is located in a riparian reserve and a portion of the project is also within a Late-Successional Reserve, only the applicable questions in the Project set and found under **Common to all Land Allocations, Riparian Reserves** and **Late-Successional Reserves** would be filled out.

### ***Assessments, Analyses and Plans***

For watershed analyses, LSR assessments, recreation plans and other similar efforts, only use the **Assessment, Analyses, and Plans** set of questions (Set 2), and respond to the questions in the appropriate sub-sections. All other questions would be N/A.

*Example 3:* Upon completion of an LSR assessment, use the **Assessment, Analyses and Plans** question set and answer the questions under **Common to All Land**

**Allocations and Late-Successional Reserves.**

***Administrative Headquarters***

The question set consists of a series of questions dealing with standards and guidelines for a wide variety of programs, policy, and general management direction. This set is to be answered annually by the appropriate management unit. There are three different question sets, one each for the Regional Ecosystem Office (Set 3); Forest Service Regional or BLM State Offices (Set 4); and Forests or BLM Districts (Set 5).

*Example 4:* The person responsible for implementation monitoring on a National Forest or BLM District would have to respond to all the questions in question set 5 each year. This may require compiling the information from the Ranger Districts or Resource Areas for some questions. For others, the answer is available at the higher administrative level.

***When Are the Questionnaires Filled Out?***

The questionnaires should be filled out at different times within the life of the activity (for most projects) and annually for other activities. For example, the questionnaires would be filled out on an annual basis for headquarters-type questions but at both the planning stage and completion stage for projects. The following provides a guide to use in deciding when to fill out the questionnaires.

**Type of Questionnaire**

**When to Fill out the Questionnaire**

Set 1: Project Questions

- 2 times during the life of the project:  
1) when the NEPA documents are being completed (decision points); and  
2) when the implementation of the project has been completed.

Set 2: Assessment, Analyses, and Plan Questions

- when the activity has been completed

Set 3: Administrative Headquarters Questions: Regional Ecosystem Office

- annually

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Set 4: Admin. Hdqts. Questions - annually  
Forest Service Regional and  
BLM State Offices

Set 5: Admin. Hdqts Questions - annually  
National Forests and BLM  
District Offices

## ***Types of Responses***

In all cases, the primary response will be either “yes,” “no,” “don’t know,” or “NA” (not applicable). A data sheet is provided to record the answers.

This data sheet also includes other columns to indicate 1) if documentation is available (for questions marked “no”) and/or 2) if there may be problems with a particular standard and guideline (mark only if the answer is “yes”).

A comment column is also included to provide any rationale, concerns, documentation, or other comments (primarily for comments on “no” answers or if the column indicating problems with any standard and guideline was checked). It is up to the responder to decide whether or not to make a comment.

## ***Documentation***

A cover sheet for each set of questions must be completed each time any question set data sheet is filled out.

(Note: A sample data sheet is provided with each attachment so that the reader can gain an understanding of how the questions would be collated. At the time of implementation data sheets will be included with the questionnaires in both a hard copy and electronic form for ease of electronic data entry and storage. The location for entering the data would be associated with the specific question set.)

Copies of completed questionnaires, cover sheets, and data sheets will be maintained as part of the unit manager’s files for the specific activity being reviewed.

Rationale for “no” answers recorded in the questionnaires should be available in project files and appropriate NEPA documents; additional information is not required unless it is not normally part of the project file. Completed questionnaires must contain references to documentation and identify the administrative unit where the documentation will reside. Documentation will be reviewed if the project or administrative unit is selected for evaluation

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through the sampling program.