

| <b>APPLICATION FOR LISTING AN IMPROVED FOREST MANAGEMENT U.S. FOREST OFFSET PROJECT</b>                                                                                                                                                                                                                                                                                     |                                   |                                                         |                                                     |                                                                                       |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------|---------------------------------------------------------|-----------------------------------------------------|---------------------------------------------------------------------------------------|
| <b>OPR Staff Use Only</b>                                                                                                                                                                                                                                                                                                                                                   | <b>Date Application Received:</b> | <b>OPR Tracking Number:</b>                             | <b>Date Application Reviewed:</b>                   | <b>OPR Staff Use Only</b>                                                             |
| <b>PART I. ENTITY APPLYING FOR LISTING</b>                                                                                                                                                                                                                                                                                                                                  |                                   |                                                         |                                                     |                                                                                       |
| <b>Is this form being submitted by the Offset Project Operator (OPO) or by the Authorized Project Designee (APD)?</b><br>Notes:<br>1. The person completing this form should be an OPO/APD employee.<br>2. If the APD is submitting this form, the OPO should submit the form <i>Designation of Authorized Project Designee</i> simultaneously.                             |                                   |                                                         |                                                     | <input checked="" type="checkbox"/> <b>OPO</b><br><input type="checkbox"/> <b>APD</b> |
| <b>Name of Person Completing Form:</b><br>Nathan Voegeli                                                                                                                                                                                                                                                                                                                    |                                   | <b>Organization, if applicable:</b><br>Yurok Tribe      |                                                     |                                                                                       |
| <b>Date Form Completed:</b><br>4/28/14                                                                                                                                                                                                                                                                                                                                      |                                   | <b>Phone Number:</b><br>707-482-1350<br>x1408           | <b>Email Address:</b><br>nvoegeli@yuroktribe.nsn.us |                                                                                       |
| <b>PART II. OFFSET PROJECT INFORMATION</b>                                                                                                                                                                                                                                                                                                                                  |                                   |                                                         |                                                     |                                                                                       |
| <b>Offset Project Name:</b><br>Phase 1 Sustainable Forest Project                                                                                                                                                                                                                                                                                                           |                                   |                                                         |                                                     |                                                                                       |
| <b>Offset Project Commencement Date:</b><br>04/14/2011                                                                                                                                                                                                                                                                                                                      |                                   | <b>First Reporting Period Start Date:</b><br>01/01/2012 |                                                     | <b>First Reporting Period End Date:</b><br>12/31/2013                                 |
| <b>Provide an explanation and justification for the commencement date. Specify the action(s) that identify the offset project commencement date.</b><br>Date when Project lands were acquired by the Yurok Tribe for management under a federally-approved "Yurok Habitat Conservation Plan."                                                                               |                                   |                                                         |                                                     |                                                                                       |
| <b>PART III. OPO/APD INFORMATION</b>                                                                                                                                                                                                                                                                                                                                        |                                   |                                                         |                                                     |                                                                                       |
| <b>A. OPO</b>                                                                                                                                                                                                                                                                                                                                                               |                                   |                                                         |                                                     |                                                                                       |
| <b>OPO Name:</b><br>Yurok Tribe                                                                                                                                                                                                                                                                                                                                             |                                   |                                                         | <b>OPO's CITSS ID#:</b><br>CA 1 2 6 6               |                                                                                       |
| <b>Mailing Address:</b><br>PO Box 1027, 190 Klamath Boulevard                                                                                                                                                                                                                                                                                                               |                                   | <b>City:</b><br>Klamath                                 | <b>State:</b><br>CA                                 | <b>Zip:</b><br>95548                                                                  |
| <b>Contact Person:</b><br>Nathan Voegeli                                                                                                                                                                                                                                                                                                                                    |                                   | <b>Phone Number:</b><br>707-482-1350<br>x1408           | <b>Email Address:</b><br>nvoegeli@yuroktribe.nsn.us |                                                                                       |
| <b>B. APD (if applicable)</b>                                                                                                                                                                                                                                                                                                                                               |                                   |                                                         |                                                     | <input checked="" type="checkbox"/> <b>No APD/Not Applicable</b>                      |
| <b>APD Name:</b>                                                                                                                                                                                                                                                                                                                                                            |                                   |                                                         | <b>APD's CITSS ID#:</b><br>CA _ _ _ _               |                                                                                       |
| <b>Mailing Address:</b>                                                                                                                                                                                                                                                                                                                                                     |                                   | <b>City:</b>                                            | <b>State:</b>                                       | <b>Zip:</b>                                                                           |
| <b>Contact Person:</b>                                                                                                                                                                                                                                                                                                                                                      |                                   | <b>Phone Number:</b>                                    | <b>Email Address:</b>                               |                                                                                       |
| <b>PART IV. LAND OWNERSHIP</b>                                                                                                                                                                                                                                                                                                                                              |                                   |                                                         |                                                     |                                                                                       |
| <b>A. Is the Offset Project Operator (OPO) the owner in fee for the Project Area?</b><br><i>Further documentation is required for all projects. Submit as attachment labeled "Attachment A." See Part X of this listing document for more information.</i><br><b>If "no," explain how the entity identified as the OPO has the right to undertake and list the project.</b> |                                   |                                                         |                                                     | <input checked="" type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>No</b>  |

**B. List all Forest Owners. This includes owners in fee as well as third parties with existing property interests within the Project Area that affect the trees and standing timber located in the Project Area (e.g. mineral rights, timber rights, easements, rights of way, leases, etc.).**

Yurok Tribe

**C. Does the offset project occur on public or private lands?**

*If the project occurs on public lands, proceed to questions C1 and C2. Otherwise, skip to question D. Further documentation is required if project occurs on public lands. Submit as attachment labeled "Attachment B." See Part X of this listing document for more information.*

☒ **Private**  
☐ **Public**

**1. Describe the public process that has been used to approve forest management activities and baseline.**

**2. Describe the documentation being submitted with this listing document demonstrating approval of planned forest management activities and baseline.**

**D. Will the project employ a Qualified Conservation Easement (QCE)?**

*If employing a QCE, proceed to questions D1, D2, and D3. Otherwise, skip to question E. Supporting documentation for a QCE is required. Submit as attachment labeled "Attachment C." See Part X of this listing document for more information.*

☐ **QCE**  
☐ **Public Ownership**

**1. Date that the QCE was or will be recorded.**

**2. Will the project take place in a state that requires third-party beneficiaries to sign the easement (i.e., to "accept and record that acceptance"), such as Arizona, Pennsylvania, or West Virginia?**

☐ **Yes**  
☐ **No**

**3. Provide the terms within the easement that affect forest management.**

**E. Does the offset project occur on any of the following categories of land? (check all that apply)**

- ☒ **Land that is owned by, or subject to, an ownership of possessory interest of a Tribe**  
☐ **Land that is "Indian lands" of a Tribe as defined by 25 U.S.C. §81(a)(1)**  
☒ **Land that is owned by any person, entity, or Tribe, within the external borders of such Indian lands**  
☐ **None of the above**

*If "none of the above," skip to Part V. Otherwise, proceed to questions E1 and E2.*

*Further documentation is required for projects occurring on land listed in the first three categories. Submit supporting documents as attachments labeled "Attachment D." See Part X of this listing document for more information.*

**1. Does a limited waiver of sovereign immunity between ARB and the governing body of the Tribe exist?**

☒ **Yes**  
☐ **No**

**2. Describe how the land within the Project Area is owned.**

Fee land with title held by the Yurok Tribe

## **PART V. OFFSET PROJECT AREA**

*Maps depicting specific elements of the Project Area are required for all projects. Submit supporting documentation as attachments labeled "Attachment E." See Part X of this listing document for more information.*

**Latitude of Offset Project Location:**

41.325954

**Longitude of Offset Project Location:**

-123.792201

**Project Area Total Acreage:**

21,240.5

**A. Identify the assessment area (or assessment areas, if project crosses more than one) that contain Project Area lands and list the acreage of project lands within each assessment area.**

Northern California Coast (Coast Redwood/Douglas-fir Mixed Conifer) - 2,106.3 acres

Southern Cascades (Mixed Conifer) - 19,134.2 acres

**B. Identify the governing jurisdiction(s) applicable to the Project Area.**

Yurok Indian Reservation, Humboldt County, California, and various federal agencies

**C. Describe how the Project Area was determined.**

In an effort to repatriate historical lands and to protect fisheries and natural resources within tribal lands and the state of California, the Yurok Tribe partnered with Western Rivers Conservancy to acquire several tracts of land. These lands (known as the Phase I Acquisition) are subdivided into three separate management tracts, 1) Pecwan, 2) Cappell, and 3) Weitchpec. The Project Area covers all of the lands within the Cappell and Weitchpec management areas, and the large majority of the Pecwan tract.

**D. Describe the existing land cover, and land use of the Project Area.**

The project area consists of coast redwood, douglas fir, and other mixed conifer stands. The land use is resource management and commercial forestry.

**E. Describe the forest vegetation types within the Project Area boundary.**

The project consists of coast redwood, douglas fir, and other mixed conifer stands of various age and density classes.

**F. Describe the site classes within the Project Area boundary.**

The project consists of a roughly even mix of high and low site classes. Approximately 44% of the project is considered high site class (classes I-II), and 56% of the project is low site class (classes III-V).

**G. Describe the land pressures and climate zone/classification applicable to the Project Area.**

Land conversion pressures are minimal since the property is adjacent to public land (US Forest Service) on the east side and is zoned for forest management in adjacent properties. Because of this zoning and general lack of access, development of property within the project site for residential, commercial or other uses is severely restricted.

The project site is found within the Dry Summer Sub-Tropical or Mediterranean Climate Zone (Cs) as defined by the Köppen-Geiger Climate Classification System.

**H. Describe the historical land uses, current zoning, and projected land use within the Project Area and surrounding areas.**

Two types of land management predominate. First, some prominent publicly owned recreational sites in the region include the Redwood National Park, Prairie Creek Redwoods State Park, Six Rivers National Forest, and Del Norte Coast Redwoods State Park. Second, private forested lands throughout the region are zoned and managed for timber harvest. Because of this zoning, land use is not projected to change in the surrounding areas.

The property has been managed for timber harvest since the late 1940s. Simpson Timber Company purchased these parcels between 1956 and 1981. Simpson continued to manage the property for timber production until 2002 when it transferred its timberlands to Simpson Resource Company. In 2004, Simpson Resource Company was renamed Green Diamond Resource Company. Green Diamond Resource Company owned and managed the properties until it sold to Western Rivers Conservancy in September, 2009 and December, 2010, then to the Yurok Tribe as sole fee owner in April 14, 2011. The project site will now be subject to the Yurok Tribe's management plan.

**I. Describe generally the forest conditions within the Project Area, including species composition, age class distribution, and management history.**

Species (tree) composition: Based on a 2008 timber cruise completed by Western Timber Services, the IA lands (Weitchpec and Cappell Parcels) contain both about 65.7 million board feet of merchantable conifer species and 41.5 million board feet of merchantable hardwood species. Conifers are comprised primarily of young growth Douglas-fir (8.3 million board feet on Cappell, and 42.8 million board feet on Weitchpec, or approximately 78% of the total). Of the remainder, 7% is old growth Douglas-fir; there are some redwood stands on Cappell (1.5% of the landscape); and western hemlock (3.5%), Port-Orford-cedar (5.73%), incense-cedar (.5%) Western redcedar (.01%), Ponderosa pine (3.9%) and knobcone pine (.2%) can be found on both parcels. In addition, there are about 6.7 million board feet of red alder, with the remaining hardwood species primarily including tanoak, Pacific madrone, golden chinquapin, big leaf maple, cottonwood and California laurel. Based on the same 2008 timber cruise, the Pecwan Tract contains an estimated 163.6 million board feet of merchantable conifer species and 128.8 million board feet of merchantable hardwood species. Conifers are comprised primarily of young growth Douglas-fir (115.8 million board feet). Other substantial species and volume include old growth Douglas-fir (15.9 million board feet), redwood (2 million board feet), western hemlock (10.4 million board feet), Port-Orford cedar (9.3 million board feet), incense cedar (1.3 million board feet), and ponderosa pine (8.5 million board

feet). In addition, there is an estimated 35.9 million board feet of red alder, as well as other hardwood species primarily including tanoak, Pacific madrone, golden chinquapin, big leaf maple, cottonwood and California laurel.

According to the results of the Western Timber Services inventory of 2008, only a small percentage of the total acreage is 20 years of age or younger. Specifically, the 2008 inventory reveals the following acreages by age class: 0-20 years -- 2,129 acres (1,583 Pecwan, 36 Cappell, and 510 Weitchpec), or 9.57% of the total; 20 + years -- 19,763 acres (14,907 Pecwan, 907 Cappell, and 3,879 Weitchpec), or 88.87% of the total; and non-productive 345 acres (229 Pecwan, 2 Cappell, and 114 Weitchpec), or 1.55% of the total.

The property has been managed for timber harvest since the late 1940s.

## PART VI. OFFSET PROJECT ELIGIBILITY

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                                        |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------|
| <b>A. Does the project take place on land that has greater than 10 percent tree canopy cover?</b><br><i>Supporting documentation is required. Submit as attachment labeled "Attachment F." See Part X of this listing document for more information.</i>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | <input checked="" type="checkbox"/> Yes<br><input type="checkbox"/> No |
| <b>B. Indicate how the offset project meets (or will meet) the definition of Natural Forest Management per Table 3.2 in the Compliance Offset Protocol US Forest Offset Projects, October 20, 2011:</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                        |
| <b>1. Native species:</b><br><b>a) Will the project consist of at least 95% native species based on the estimated sum of carbon in the standing live carbon pool?</b><br><i>If "no," proceed to question 1b. Otherwise, skip to question B2.</i>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | <input checked="" type="checkbox"/> Yes<br><input type="checkbox"/> No |
| <b>b) Describe how the project will meet this requirement. (Improved Forest Management Projects will be assessed using estimates of basal area per acre.)</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                                                                        |
| <b>2. Composition of native species:</b><br><b>a) Does the Project Area naturally consist of a mixed species distribution where no single species' prevalence, measured as the percent of basal area of all live trees in the Project Area, exceeds the percentage value of standing live carbon shown under the heading 'Species Diversity Index' in the Assessment Area Data File?</b><br><i>If "no," proceed to questions 2b and 2c. Otherwise skip to question B3.</i>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | <input checked="" type="checkbox"/> Yes<br><input type="checkbox"/> No |
| <b>b) Explain how the project will demonstrate a trend toward achieving the Species Diversity Index of native species and meet this requirement within 25 years.</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                                                                        |
| <b>c) If the Project Area does not naturally consist of a mixed species distribution: Will or have you provided a written statement from the government agency in charge of forestry regulation in the state where the project is located stipulating that the Project site is not capable of meeting the requirement of mixed species distribution.</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | <input type="checkbox"/> Yes<br><input type="checkbox"/> No            |
| <b>3. Distribution of age classes/sustainable management:</b><br><b>a) Indicate how the project will meet the requirement for sustainable management if commercial harvesting is either planned or ongoing within the Project Area demonstrating sustainable long term harvesting practices. This applies to all forest landholdings of the Forest Owner(s) (check one of the boxes).</b><br><input type="checkbox"/> Not applicable; no commercial harvesting is occurring within the Project Area.<br><input type="checkbox"/> Third party certification under the Forest Stewardship Council, Sustainable Forestry Initiative, or Tree Farm System, whose certification standards require adherence to and verification of harvest levels which can be permanently sustained over time.<br><input checked="" type="checkbox"/> Adherence to a renewable long-term management plan that demonstrates harvest levels which can be permanently sustained over time and that is sanctioned and monitored by a state or federal agency.<br><input type="checkbox"/> Employ uneven-aged silvicultural practices and maintain canopy retention averaging at least 40% across the forest, as measured on any 20 acres within the entire forestland owned by the Forest Owner, including land within and outside of the Project Area (areas impacted by Significant Disturbance may be excluded from this test). |                                                                        |
| <b>b) On a watershed scale up to 10,000 acres (or the Project Area, whichever is smaller), projects must maintain, or make progress toward maintaining, a maximum of 40% of the project's forest lands in ages that are less than 20 years old. (Areas impacted by Significant Disturbance are exempt from this test until 20 years after reforestation of such areas.) Does the acreage within this project does meet this requirement?</b><br><i>If "no," proceed to question 3c. Otherwise, skip to question B4.</i>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | <input checked="" type="checkbox"/> Yes<br><input type="checkbox"/> No |

c) Explain how the project intends to show continuous progress toward meeting this requirement within the next 25 years.

**4. Structural elements (standing and lying dead wood):**

How will the project ensure that structural elements are retained in sufficient quantities throughout the project life?

Forest management includes the retention of snags and coarse woody debris.

**C. Describe the management activities that will lead to increased carbon stocks in the Project Area, compared to the baseline.**

The management activities that will increase carbon stocks on the project site are the prohibition of clear cutting on the Project Area, which will transition to selective harvest management, extended riparian buffers, and the potential creation of cultural reserves.

**D. Is this project being implemented and conducted as the result of any law, statute, regulation, court order, or other legally binding mandate?  
If "yes," explain:**

☐ Yes  
☒ No

**E. Will the offset project employ broadcast fertilization?**

☐ Yes  
☒ No

**F. Does the offset project take place on land that was part of a previously listed and verified Forest Offset Project?**

☒ Yes  
☐ No

*If "yes," proceed to questions E1 and E2. Otherwise, skip to Part VII.*

**1. Was the previous Forest Offset Project terminated due to an Unintentional Reversal?**

☐ Yes  
☒ No

**2. Is the project transitioning to the Compliance Offset Protocol U.S. Forest Projects, October 20, 2011, after previously being listed as an early action offset project?**

☒ Yes  
☐ No

**PART VII. CARBON STOCK INVENTORY**

**A. Provide a general description of the inventory methodology to be used to quantify carbon stocks for each required carbon pool in the forest project's offset boundary. The inventory methodology must describe the information required in Appendix A.3 of the Compliance Offset Protocol U.S. Forest Projects, October 20, 2011.**

**IFM-1 Standing Live:** A new carbon inventory was conducted in 2011, installing 107 plots in the project area. In this inventory, 78 of the plots were count plots and 29 were measure plots. In 2014, 12 new plots were added to supplement this inventory. Nine of the new plots were count plots and three were measure plots. The plots were allocated on a grid across the project area. The origin of the grid was randomly selected.

Count plots consist of variable-radius prism point sample. Prism measurements were taken from plot center using a 20 BAF prism with the prism directly over the center of the plot. Diameters and species were recorded for all "in" trees whose diameters are greater than or equal to five inches and whose total heights are at least fifteen feet.

Measure plots consist of a variable-radius, prism point sample using a 20 BAF prism and a single 17-foot fixed-radius plot with a shared center. The fixed-radius plot is only used to tally tree heights by diameter class for trees whose diameters are less than 5 inches. Measurements on the fixed-radius plots are only used for growth modeling and the projection of future carbon stocks. Within the variable radius plot, detailed measurements were collected for all "in" trees whose diameters are greater than or equal to five inches. Measurements include species, height, and diameter.

Diameter at breast height was measured using a DBH tape, to the nearest tenth of an inch. Height measurements were made to the nearest foot using an optical or ultrasonic hypsometer or rangefinder. Plot measurements were made using a 20 BAF prism, for variable-radius plots, and a 100 foot tape or hypsometer/rangefinder, for fixed-radius plots.

On variable-radius plots, all borderline trees were recorded to predict ingrowth to future modeling predictions.

The Yurok Tribe will maintain a current running inventory of carbon stocks as part of their management of the project site. Plots will be re-measured at least every twelve years. Individual trees on measure plots may be grown using FVS or any other growth model approved by ARB between re-measurements, provided that it has been calibrated to accurately reflect data in earlier modeling exercises. Individual trees on the count plots may be grown using the same growth model by taking tree diameters as mid-points in each diameter class. Alternatively, basal area on count plots may be estimated using a ratio of basal area growth as predicted on measure plots in the same stratum. Additional plots may be added to the inventory to improve the precision of estimates.

**IFM-3 Standing Dead:** Standing dead was also measured in the new carbon inventory. On count plots, prism measurements were taken from plot center using a 20 BAF prism directly over the center of the plot. Diameter and decay class were recorded for all "in" trees whose diameters are greater than or equal to five inches and whose total heights are at least fifteen feet.

Measure plots consist of a variable-radius, prism point sample. Within the plot, measurements were collected for all "in" standing dead trees whose diameters are greater than or equal to five inches and whose total heights are at least fifteen feet. Measurements include species, height, diameter, and decay class.

**IFM-6 Soil (if applicable):** Not applicable

**IFM-7 Carbon in in-use forest products:** Mill receipts for harvested wood products are recorded and retained by the OPO.

**IFM-8 Forest product carbon in landfills (if applicable):** Mill receipts for harvested wood products are recorded and retained by the OPO.

**IFM- 9 Biological emissions from site preparation:** Not applicable

**IFM-14 Biological emissions/removals from change in harvesting on forestland outside project area:** Default 20% secondary effects factor applied to difference between actual and baseline harvest volumes.

**IFM-17 Biological emissions from decomposition of forest products:** Mill receipts for harvested wood products are recorded and retained by the OPO.

**B. Describe the calculation methodologies to be used to determine metric tons per acre for each of the carbon pools included in the Offset Project Data Report.**

**IFM-1 Standing Live:** If necessary, plot measurements are grown forward to the current reporting year. A statistical model is applied to estimate carbon in above-ground living, below-ground living and standing deadwood (LSD) biomass for individual count plots (tCO<sub>2</sub>e/ac). The model is initially developed at the first verification but may be updated over time to reduce bias in model predictions if bias is detected. On individual measure plots, carbon in LSD is calculated using ARB-approved volume and biomass equations for California (tCO<sub>2</sub>e/ac). Mean carbon in LSD (tCO<sub>2</sub>e/ac) for the entire sampling frame is estimated across forest stratum using stratum area weights. At the plot-level, mean carbon is calculated from biomass (kg/ac) by multiplying by 0.5, 0.001 (kg/tonne) and 3.664 (tC/tCO<sub>2</sub>e).

A ratio is applied to the estimated mean carbon in LSD to estimate mean carbon in standing live trees. This ratio is estimated as the ratio of above-ground living and below-ground living biomass to estimated mean carbon in LSD.

**IFM-3 Standing Dead:** For decaying standing dead trees, decay factors from Harmon et al. (2011) were applied to the volume of a frustum of a cone.

A ratio is applied to the estimated mean carbon in LSD to estimate mean carbon in standing deadwood. This ratio is estimated as the ratio of standing dead biomass to estimated mean carbon in LSD.

**IFM-6 Soil (if applicable):** Not applicable

**IFM-7 Carbon in in-use forest products:** Measured through harvest receipts, and calculated using ARB regional mill efficiency rates, decay rate, and landfill values.

**IFM-8 Forest product carbon in landfills (if applicable):** Measured through harvest receipts, and calculated using ARB regional mill efficiency rates, decay rate, and landfill values.

**IFM- 9 Biological emissions from site preparation:** Not applicable

**IFM-14 Biological emissions/removals from change in harvesting on forestland outside project area:** Default 20% secondary effects factor applied to difference between actual and baseline harvest volumes.

**IFM-17 Biological emissions from decomposition of forest products:** Calculated based on harvest wood volumes and mill efficiencies.

**C. Provide a summary of the inventory of carbon stocks for each carbon pool (or approach used, if inventory is not applicable).**

**IFM-1 Standing Live:** 191.8 tCO<sub>2</sub>e/ac

**IFM-3 Standing Dead:** 10.5 tCO<sub>2</sub>e/ac

**IFM-6 Soil (if applicable):** Not applicable

**IFM-7 Carbon in in-use forest products:** 0 tCO<sub>2</sub>e. No harvesting has occurred in the Project Area.

**IFM-8 Forest product carbon in landfills (if applicable):** 0 tCO<sub>2</sub>e. No harvesting has occurred in the Project Area.

**IFM- 9 Biological emissions from site preparation:** Not applicable

**IFM-14 Biological emissions/removals from change in harvesting on forestland outside project area:** 8,042 tCO<sub>2</sub>e

**IFM-17 Biological emissions from decomposition of forest products:** 0 tCO<sub>2</sub>e. No harvesting has occurred in the Project Area.

**D. Provide a summary of the estimated inventory confidence statistics.**

The estimated sampling error is 16.9% of the inventory estimate. The sampling error is estimated by first computing the standard error of the estimated mean carbon, multiplying the standard error by the z-value of 1.645 and 100, and then dividing by estimated mean carbon.

The estimator for the standard error is an equation and is unbiased. The equation is a linear combination of three sources of uncertainty: uncertainty associated with the probability model for selecting sample plots, uncertainty in the statistical model predictions for count plots and uncertainty introduced by the covariance of measure plots and count plots introduced by the statistical model.

Due to the removal of previous timber cruise plots and the addition of new carbon inventory plots, the sampling error has changed since the first verification.

**E. Provide the calculation of the offset project's reversal risk rating and expected contribution to the Forest Buffer Account.**

$$1 - ((1-.01) \times (1-0) \times (1-.02) \times (1-.02) \times (1-.02) \times (1-.04) \times (1-.03) \times (1-.03)) = 15.8\%$$

## **PART VIII. OFFSET PROJECT BASELINE**

**A. Required for ALL Improved Forest Management Projects**

1. Describe the project's modeling plan, following the requirements and methods in Appendix B, Section B.3 of the Compliance Offset Protocol U.S. Forest Projects, October 20, 2011.

All harvest and planting prescriptions allow for the removal of all trees according to the legal constraints described in this report, which may include all trees at final rotation.

The natural regeneration model in FPS follows a 1/100th acre grid across the simulation area.

This simulation area is typically 0.25 acres but can go as high as 2.5 acres for each stand. A list of species was generated by tolerance in the HABSPP table, assembled using the habitat classification routine and the species on the ownership. In version 7 of the FPS software, this also includes non-tree vegetation habitat classes. At every trigger point (1 growth step or 20' of height growth) all of the 1/100th acre grids are evaluated. Since the model created a stem map internally it knows the level of competition at every point. Given the level of competition at each point, the regeneration model introduces species by tolerance as listed in the habitat classification. Sometimes the answer is no vegetation of any kind can be put in the space. Once the tree is there the small tree model takes over and the survival is dependent on the small tree silviculture defined in the stand regimes. The small tree model is calibrated to FBRI field data and uses two parameters from the SILVICS table, PctHt and PctSur, which were left as FPS defaults for the even and uneven-aged regimes.

The model assumes that natural regeneration is a function of species tolerance relative to levels of density-dependent competition. The model also assumes that early height growth and survival are near the defaults values provided by FPS.

The following silvicultural prescriptions are used in the modeling:

NONE - Not modeled, assumes no carbon stocks (only road features).

GROW - No management. Assumes natural regeneration as predicted by the approved-FPS growth model.

SLRP - Selection cuts from 380 to 300 ft<sup>2</sup>/ac. Harvested with uniform selection over diameter classes and species. Harvest intervals vary by site class from 60 to 100+ years. Assumes natural regeneration. No species preferences were specified in the model and thus FPS selected trees randomly for harvest.

PLT1 - Planting Douglas fir at 300 trees/ac.

CLR1 - Clear cut for Site Class I: intermediate thinning to 125 ft<sup>2</sup>/ac, planting Douglas fir at 300 trees/ac. Thinned from below. Group A species favored including Douglas fir, ponderosa pine and white fir. Harvest intervals vary by site class from 12 to 100+ years.

CLR2 - Clear cut for Site Class I: intermediate thinning to 100 ft<sup>2</sup>/ac, planting Douglas fir at 300 trees/ac. Thinned from below. Group A species favored including Douglas fir, ponderosa pine and white fir. Harvest intervals vary by site class from 12 to 100+ years.

CLR3 - Clear cut for Site Class I: intermediate thinning to 100 ft<sup>2</sup>/ac, planting Douglas fir at 300 trees/ac. Thinned from below. Group A species favored including Douglas fir, ponderosa pine and white fir. Harvest intervals vary by site class from 12 to 100+ years.

CLR4 - Clear cut for Site Class I: intermediate thinning to 75 ft<sup>2</sup>/ac, planting Douglas fir at 300 trees/ac. Thinned from below. Group A species favored including Douglas fir, ponderosa pine and white fir. Harvest intervals vary by site class from 12 to 100+ years.

CLR5 - Clear cut for Site Class I: intermediate thinning to 50 ft<sup>2</sup>/ac, planting Douglas fir at 300 trees/ac. Thinned from below. Group A species favored including Douglas fir, ponderosa pine and white fir. Harvest intervals vary by site class from 12 to 100+ years.

SLI1 - Individual selection cuts from 200 to 125 ft<sup>2</sup>/ac. Harvested with uniform selection over diameter classes and species. Harvest intervals vary by site class from 60 to 100+ years. Assumes natural regeneration as predicted by the approved-FPS growth model. No species preferences were specified in the model and thus FPS selected trees randomly for harvest.

SLL1 - Light individual selection cuts from 280 to 240 ft<sup>2</sup>/ac. Harvested with uniform selection over diameter classes and species. Harvest intervals vary by site class from 60 to 100+ years. Assumes natural regeneration as predicted by the approved-FPS growth model. No species preferences were specified in the model and thus FPS selected trees randomly for harvest.

SLGP - Group selection cuts from 200 to 125 ft<sup>2</sup>/ac, less than 2.5 acre openings. Harvest intervals vary by site class from 60 to 100+ years. Assumes natural regeneration as predicted by the approved-FPS growth model. No species preferences were specified in the model and thus FPS selected trees randomly for harvest.

The following legal and management plan constraints were considered when parameterizing the model:

Stream Class 1 - 150 ft buffer

Stream Class 2 - 100 ft buffer

Stream Class 3 - 50 ft buffer

Stream Class 4 - 100 ft buffer

Steep Streamside Slope Management Zones - Areas within 200 feet of Class I and II streams and of slopes greater than 65 degrees.

NDDB Species - Natural Diversity Database species subject to surveying and habitat avoidance requirements

Federal List - Subset of NDDB species that are threatened and endangered under federal law; Pacific fisher is only listed species in project area

Wild and Scenic River - 1/4 mile zone around Klamath River; clear-cutting not explicitly prohibited from Wild and Scenic Zone but is not included in the project model or the baseline

Road - 25 ft buffer

Northern Spotted Owl detections - No changes to nesting habitat within 500 ft; no changes to roosting habitat within 1,000 ft

Northern Spotted Owl territories - 500 acres of owl habitat must be maintained within 0.7 miles of NSO detections, and 1,336 acres within 1.3 miles

Salamander detections - Salamander observations from landowner

Pacific Fisher detections - Pacific fisher observations from landowner

Serpentine Woodland Objective - Areas of poor stocking due to infertile serpentine soils; may be excluded from the project

Prairie Objective - Areas recommended for prairie restoration

Oak Savannah Objective - Areas recommended for oak savannah restoration

Clear cut adjacency - Forest Practice Rules for even-aged silviculture requiring at least 300 feet between harvested units

Stocking standards - Minimum planting and residual basal area standards of Resource Conservation from the Forest Practice Rules

Restricted zones - Spatial harvesting limits imposed by the above riparian and wildlife constraints

The model was parameterized with silvicultural prescriptions and local calibration. It was parameterized to consider the required legal constraints of the California Forest Practice Rules (FPRs) and Special Assessment Areas in the baseline scenario and in the project scenario the same, plus management plan objectives. The model was calibrated using inventory taper data obtained from the inventory. These data served to calibrate the volume equations used to estimate yield.

Merchantability was specified for all merchantable species as a minimum diameter of 6 inches and minimum log length of 16 feet. In reality, merchantability specifications would change over time as milling systems and markets evolve. The model does not assume how merchantability specifications would have change over the modeling period and thus these specifications were fixed throughout the modeling period.

The Northern California Region 16 library was selected based on recommendation from FBRI. The project resides in this region generally defined by FBRI.

Site index was assigned to stands by using simple aggregation by leading species. Site index was calculated by applying site tree measurements into species-specific equations from Hanson, et al. (2002). The mean site index as calculated within each Stand Type as defined by leading species (i.e. Redwood, Douglas Fir, Mixed Conifer, Mixed Pine, Hardwood, and Alder) was tabulated and assigned to all uncruised stands within that type. Site Indices were maintained for stands in which site index trees were measured. The assigned site indices are shown below:

Alder: 80.94

Mixed Conifer: 58.13

Douglas Fir: 104.25

Hardwood: 78.63

Pine: 71.47

Redwood: 81.91

Pre-Merchantable: 65.79

2. Describe and estimate the project's baseline onsite carbon stocks. Explain any annual changes in baseline carbon stocks over time.

Modeled above ground carbon stocks in the baseline scenario averaged over 100 year is 113 tCO<sub>2</sub>e/acre. This is not below the Common Practice value for the Project Area (111 tCO<sub>2</sub>e/acre). Annual changes in baseline carbon stocks are the result of considering all legal and financial constraints in the model.

The baseline model (see Attachment G) shows an initial dip in carbon stocks followed by regrowth. This reflects an increase in harvest levels to recover the costs of acquiring the property.

*A graph portraying the baseline onsite carbon stocks, labeled "Attachment G," and a diagram of the baseline incorporating all required carbon stocks, labeled "Attachment H," are required. See Part X of this listing document for more information.*

3. Identify the approved growth model that will be used for the project.

Forest Projection and Planning System (FPS) version 7.2.0

4. Harvest Planning

- a. Is harvesting planned in the Project Area?

If "yes," proceed to question 4b. Otherwise, skip to question A5.

☒ Yes  
☐ No

- b. Will the project use a harvest schedule model?

If "yes," proceed to question 4c. Otherwise, skip to question A5.

☒ Yes  
☐ No

- c. How do you plan to address age class and stratification as part of your harvest scheduling?

Vegetation was stratified by species, size, and stocking by Western Timber Services in 2008 as part of the timber valuation for land sale. These strata were clipped to the Project Area and used for modeling purposes. Areas by vegetation stratum were subdivided into modeling units. Each modeling unit is modeled individually.

5. Provide an estimate of carbon that will be stored long-term in harvested wood products in the baseline.  
13,230 tCO<sub>2</sub>e

**B. Required for Improved Forest Management Projects on Private Lands ONLY**

1. Provide the estimated initial above ground standing live carbon stock per acre for the project, if known.  
154.6 tCO<sub>2</sub>e/ac

2. Provide the estimated adjusted above ground standing live carb stock per acre, if known.  
113.47 tCO<sub>2</sub>e/ac

3. Provide the Common Practice statistic associated with the Project Area.  
111.30 tCO<sub>2</sub>e/ac

4. Are the Project Area's initial above-ground standing live carbon stocks per acre above or below Common Practice?

If below Common Practice, what is the High Stocking Reference for the Project Area?

*Further documentation is required if project below Common Practice. Submit supporting documents as attachments labeled "Attachment I." See Part X of this listing document for more information.*

☒ Above  
☐ Below

5. Does the Forest Owner(s) and its affiliate(s) own land in fee or hold timber rights on land outside the Project Area?

If "no," skip to question B.6.

☒ Yes  
☐ No

If "yes" does the Protocol require the use of a weighted average carbon stock on lands in the same Logical Management Unit (LMU, as defined in Section 6.2.1.1)?

If "no," skip to question B.6.

☐ Yes  
☒ No

If "yes," is inventory data available for the LMU or will the OPO use a stratified vegetation analysis?

☐ Data available for LMU  
☐ Stratified Vegetation Analysis

6. Provide a general description of the legal constraints affecting forest management activities in the Project Area; include a description of each constraint (referring to Section 6.2.1.2 in the Protocol) as well as a narrative those constraints have on forest management.

Management on the site will conform with all applicable state and federal regulations governing timber harvesting and endangered species. On-reservation portions of the Project Area are

managed in accordance with the National Indian Forest Resources Management Act under a BIA-approved forest management plan. The Yurok Tribe will comply with applicable provisions of California state law for activities undertaken on off-Reservation portions of the Project Area, including compliance with the California Forest Practices Act.

In addition to applicable state, federal, and tribal regulations, all management will abide by restrictions listed on the property itself. There are currently several categories of encumbrances on the title which could impact land management activities. These can be grouped into the following major categories: oil, gas, hydrocarbon, and mineral rights; rights of way grants and access easements, and utility easements. Since these title restrictions do not define clear operational actions that will be undertaken on restricted areas, they are not modeled as part of the baseline carbon calculation. Timber harvest may occur on any of these encumbered areas.

There are no current Timber Harvest Plans (THPs) currently on file for the project site.

There is an Aquatic Habitat Conservation Plan (aHCP) on the property, in effect since July 7, 2007. The aHCP protects aquatic habitats in the Project Area, restricting management activities in proximity to Class I and II streams. All restrictions outlined in the aHCP will be treated as legal constraints.

The following legal and management plan constraints were considered when parameterizing the model:

Stream Class 1 - 150 ft buffer

Stream Class 2 - 100 ft buffer

Stream Class 3 - 50 ft buffer

Stream Class 4 - 100 ft buffer

Steep Streamside Slope Management Zones - Areas within 200 feet of Class I and II streams and of slopes greater than 65 degrees.

NDDB Species - Natural Diversity Database species subject to surveying and habitat avoidance requirements

Federal List - Subset of NDDB species that are threatened and endangered under federal law; Pacific fisher is only listed species in project area

Wild and Scenic River - 1/4 mile zone around Klamath River; clear-cutting not explicitly prohibited from Wild and Scenic Zone but is not included in the project model or the baseline

Road - 25 ft buffer

Northern Spotted Owl detections - No changes to nesting habitat within 500 ft; no changes to roosting habitat within 1,000 ft

Northern Spotted Owl territories - 500 acres of owl habitat must be maintained within 0.7 miles of

NSO detections, and 1,336 acres within 1.3 miles

Salamander detections - Salamander observations from landowner

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Serpentine Woodland Objective - Areas of poor stocking due to infertile serpentine soils; may be excluded from the project

Prairie Objective - Areas recommended for prairie restoration

Oak Savannah Objective - Areas recommended for oak savannah restoration

Clear cut adjacency - Forest Practice Rules for even-aged silviculture requiring at least 300 feet between harvested units

Stocking standards - Minimum planting and residual basal area standards of Resource Conservation from the Forest Practice Rules

Restricted zones - Spatial harvesting limits imposed by the above riparian and wildlife constraints

**7. Provide a description of the modeling techniques used to simulate the effects of the constraint.**

The following silvicultural prescriptions were applied to constrained areas within baseline and project modeling:

Stream Class 1 - No management in either project or baseline models. Assumes natural regeneration as predicted by the approved-FPS growth model.

Stream Class 2 - No management in project model or baseline models. Assumes natural regeneration as predicted by the approved-FPS growth model.

Stream Class 3 - No management in project model. Assumed natural regeneration as predicted by the approved-FPS growth model. Selection cuts from 380 to 300 ft<sup>2</sup>/ac in baseline model. Harvested with uniform selection over diameter classes and species. Harvest intervals vary by site class from 60 to 100+ years. Assumes natural regeneration. No species preferences were specified in the model and thus FPS selected trees randomly for harvest.

Stream Class 4 - No management in either project or baseline models. Assumes natural regeneration as predicted by the approved-FPS growth model.

Steep Streamside Slope Management Zones - No management in either project or baseline models. Assumes natural regeneration as predicted by the approved-FPS growth model.

NDDB Species - No management in either project or baseline models. Assumes natural regeneration as predicted by the approved-FPS growth model.

Federal List - No management in either project or baseline models. Assumes natural regeneration as predicted by the approved-FPS growth model.

Wild and Scenic River - No management in either project or baseline models. Assumes natural regeneration as predicted by the approved-FPS growth model.

Road - Not modeled, assumes no carbon stocks.

Northern Spotted Owl detections - No management in either project or baseline models. Assumes natural regeneration as predicted by the approved-FPS growth model.

Northern Spotted Owl territories - No management in either project or baseline models. Assumes natural regeneration as predicted by the approved-FPS growth model.

Salamander detections - No management in either project or baseline models. Assumes natural regeneration as predicted by the approved-FPS growth model.

Pacific Fisher detections - No management in either project or baseline models. Assumes natural regeneration as predicted by the approved-FPS growth model.

Serpentine Woodland Objective - No management in either project or baseline models. Assumes natural regeneration as predicted by the approved-FPS growth model.

Prairie Objective - No management in either project or baseline models. Assumes natural regeneration as predicted by the approved-FPS growth model.

Oak Savannah Objective - No management in either project or baseline models. Assumes natural regeneration as predicted by the approved-FPS growth model.

**8. How will the OPO demonstrate financial feasibility of the growth and harvesting regime assumed for the baseline?**  
(check one of the boxes)

- ☐ Conducting a financial analysis of the anticipated growth and harvesting regime that captures all relevant costs and returns, taking into consideration all legal, physical, and biological constraints, using regional norms or documented costs and returns for the project area or other properties in the Forest Project's Assessment Area
- ☒ Providing evidence that activities similar to the proposed baseline growth and harvesting regime have taken place on other properties within the Forest Project's Assessment Area within the past 15 years

**C. Required for Improved Forest Management Projects on Public Lands ONLY**

1. Has an initial forest carbon inventory been conducted for the Project Area? ☐ Yes ☐ No
2. Provide a projection of future changes to Project Area forest carbon stocks extrapolating from historical trends.
3. Explain how current public policy will affect onsite carbon stocks and how the baseline modeling incorporates constraints imposed by all applicable statutes, regulations, policies, plans, and activity-based funding.
4. Have carbon stocks in the Project Area been increasing or declining over the preceding ten-year period? ☐ Increasing ☐ Declining

**PART IX. ADDITIONAL QUESTIONS**

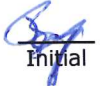
- A. Have any lands within the Project Area ever been listed or registered with an offset project registry or program in the past?  
*If "yes," identify the registry or program and provide details on the issued credits below.* ☒ Yes ☐ No
- B. Have greenhouse gas emission reductions or removal enhancements associated with lands within the Project Area been credited or claimed for the purpose of greenhouse gas mitigation or reduction goals, whether in a voluntary or regulatory context?  
*If "yes," identify the registry or program and provide details on the issued credits below.* ☒ Yes ☐ No

|                                                             |                                                 |                            |                                               |
|-------------------------------------------------------------|-------------------------------------------------|----------------------------|-----------------------------------------------|
| <b>Registry/Program:</b><br>Climate Action Reserve FPP v3.1 | <b>Reporting Period(s):</b><br>4/14/11-12/31/11 | <b>Vintage(s):</b><br>2011 | <b>Number of Credits Issued:</b><br>1,245,840 |
|-------------------------------------------------------------|-------------------------------------------------|----------------------------|-----------------------------------------------|

## PART X. ATTACHMENTS

- A. If the answer to Part IV.A is "yes," provide documentation (e.g., deed of trust, title report, etc.) showing the OPO's ownership interest in the property and its interest in the trees and standing timber on the property. If the answer to Part IV.A is "no," provide documentation supporting the explanation of the OPO's right to undertake and list the project.
- B. If the answer to Part IV.C is "public," provide documentation demonstrating explicit approval of the offset project's management activities and baseline including any public vetting processes necessary to evaluate management and policy decisions concerning the offset project. ☒ N/A
- C. If a Qualified Conservation Easement (QCE) has been recorded, provide a copy. The listing information contained in this form and the documents attached to it will eventually be submitted to ARB so submitting a copy of the QCE as an attachment to this listing document fulfills the requirement in 9.1.1.1(18)(a) of the Compliance Offset Protocol U.S. Forest Projects, October 20, 2011 to provide ARB with a copy. ☒ N/A
- D. If the project is located on one of the categories of Tribal land listed in Part IV.E, provide documentation demonstrating that the land within the Project Area is owned by a tribe or private entity. Also provide documentation that demonstrates the existence of a limited waiver of sovereign immunity between ARB and the governing body of the Tribe entered into pursuant to section 95975(l) of the Cap-and-Trade Regulation. ☐ N/A
- E. Attach map(s) of the Project Area including:
1. Public and private roads
  2. Towns
  3. Major watercourses (4<sup>th</sup> order or greater), water bodies, and watersheds
  4. Topography
  5. Townships, ranges, and sections or latitude and longitude
  6. Existing land cover and land use (optional)
  7. Forest vegetation types (optional)
  8. Site classes (optional)
  9. Land pressures and climate zone/classification (optional)
  10. Historical land uses, current zoning, and projected land use within the Project Area (optional)
  11. A georeferenced shape file (or other electronic file that can be read in a geographic information system) that clearly identifies the Project Area and boundaries. *Note that the georeferenced shape file may constitute the required map if it includes the required map information listed above.*
- F. Provide supporting documentation demonstrating that the offset project takes places on land that has greater than 10 percent tree canopy cover.
- G. Attach a graph portraying the baseline onsite carbon stocks with time depicted on the x-axis and metric tons CO<sub>2</sub>e depicted on the y-axis.
- H. Attach a diagram of the baseline incorporating all required carbon stocks.
- I. For projects on private lands ONLY: If the Project Area's initial above-ground standing live carbon stocks are below Common Practice, submit an affidavit testifying that the inventory depicted over the past 10 years (used to determine the High Stocking Reference for the Project Area) is reasonably accurate and a summary of volume harvested over the past 10 years. ☒ N/A

## PART XI. ATTESTATIONS AND OPO/APD SIGNATURE

|                                                                                                                                                                                                        |                                                                                                                                                                                                                                                                                                                                                                                                                          |      |                                                      |                                                          |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------|------------------------------------------------------|----------------------------------------------------------|
| <br>Initial                                                                                                         | <b>I certify under penalty of perjury under the laws of the State of California the GHG reductions and/or GHG removal enhancements for</b>                                                                                                                                                                                                                                                                               |      |                                                      |                                                          |
|                                                                                                                                                                                                        | Project Name:<br><br><b>Yurok Tribe Sustainable Forest Project</b>                                                                                                                                                                                                                                                                                                                                                       | from | Crediting Period<br>Start Date:<br><b>01/01/2012</b> | to<br>Crediting Period<br>End Date:<br><b>12/31/2013</b> |
| <b>will be measured in accordance with the Compliance Offset Protocol U.S. Forest Projects, October 20, 2011, and all information required to be submitted to ARB is true, accurate, and complete.</b> |                                                                                                                                                                                                                                                                                                                                                                                                                          |      |                                                      |                                                          |
| <br>Initial                                                                                                         | <b>I understand I am voluntarily participating in the California Greenhouse Gas Cap-and-Trade Program under title 17, article 5, and by doing so, I am now subject to all regulatory requirements and enforcement mechanisms of this program and subject myself to the jurisdiction of California as the exclusive venue to resolve any and all disputes arising from the enforcement of provisions in this article.</b> |      |                                                      |                                                          |
| <br>Initial                                                                                                         | <b>I understand that the offset project activity and implementation of the offset project must be in accordance with all applicable local, regional, and national environmental and health and safety laws that apply to the offset project location. I understand that offset projects are not eligible to receive ARB or registry offset credits for GHG reductions and GHG removal enhancements that are</b>          |      |                                                      |                                                          |

not in compliance with the requirements of the cap-and-trade program.

In signing this form, I certify under penalty of perjury of the laws of California that the information contained in this form is true, accurate, and complete. I further certify that I am an Account Representative of the Offset Project Operator (OPO).

SIGNATURE:



PRINTED NAME:

PEGGY A. GOINS

TITLE:

Deputy Executive Director

DATE:

5/1/14

## Background for Application of Listing an Improved Forest Management U.S. Forest Offset Project

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Section 95975 of the Cap-and-Trade Regulation describes the requirements and process for an Offset Project Operator (OPO) or Authorized Project Designee (APD) to list an offset project with an approved Offset Project Registry. This form is designed to help an OPO or APD fulfill the requirements of Section 95975 of the Cap-and-Trade Regulation and of Section 9.1.1 of the Compliance Offset Protocol U.S. Forest Projects, October 20, 2011, for listing an offset project. The Compliance Offset Protocol U.S. Forest Projects, October 20, 2011 designates three project types: Avoided Conversion, Improved Forest Management, and Reforestation. This form is designed for Improved Forest Management projects only. The information in the completed form should be submitted to the approved Offset Project Registry with which the OPO or APD would like their offset project listed.

### Where to Submit Information Contained in This Form

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Please complete the information on the form using your computer. Then print, sign, and scan the form. The completed and signed information and all supporting documentation should be submitted to the appropriate [Offset Project Registry](#).

Copies of this form can be downloaded from the ARB website at:  
<http://www.arb.ca.gov/cc/capandtrade/offsets/forms/forms.htm>

## Detailed Instructions for Application for Listing an Improved Forest Management U.S. Forest Offset Project

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### Part I. Entity Applying for Listing:

- Indicate whether the Offset Project Operator (OPO) or Authorized Project Designee (APD) is submitting the information for project listing. Section 95975(a) of the Cap-and-Trade Regulation requires that the OPO and, if applicable, the APD must register with ARB for the Cap-and-Trade Program prior to listing a project. It also requires that neither the OPO nor APD be subject to any Holding Account restrictions imposed as part of an enforcement action. To register with ARB, please visit the website for Compliance Instrument Tracking System Services (CITSS): <https://www.wci-citss.org/>
- List the name, organization, phone number, and email address of the person submitting the information. This person should be an employee of the OPO or APD, whichever entity is making the submission. The person submitting the information need not be the same person as the contact person listed for the OPO or APD in Part III and also need not be the person signing the form in Part XI.
- The person submitting the information should indicate the date the form is completed.

### Part II. Offset Project Information:

- Provide the name for the offset project. Indicate the offset project commencement date and the start and end dates of the first reporting period; approximations are acceptable if precise dates are unknown.
- Project commencement for an Improved Forest Management Project must be linked to a discrete, verifiable action that delineates a change in practice that increases sequestration and/or decreases emissions relative to the forest project's baseline. This date could be when the Project Area is transferred to public ownership, when a conservation easement on the Project Area is recorded, or when submitting the offset project listing information.

### Part III. OPO/APD Information:

- Enter contact information for the OPO and APD requesting the offset project listing. Every offset project will have an OPO. If an offset project does not have an APD, please mark the box indicating the Offset Project does not have an APD and leave the remaining fields blank.
- For both the OPO and, if applicable, the APD, enter the entity's name, its mailing address, and the name, phone number, and email address of a contact person for the entity. Also include its CITSS ID number. The CITSS ID is six characters in length, with two letters followed by four numbers (e.g., "CA1234"). **DO NOT PROVIDE THE CONFIDENTIAL CITSS ACCOUNT NUMBER**, which begins with the CITSS ID number followed by a hyphen and more numbers.

#### **Part IV. Land Ownership:**

- This part includes questions regarding land ownership and property interests.
- Further documentation is required based on the responses to some questions. See Part X of this listing form for more information on the precise requirements.

#### **Part V. Offset Project Area:**

- This part asks for qualitative descriptions of the offset Project Area.
- Maps are required to complement the descriptions provided in this part. See Part X of this listing form for more information on the precise requirements.
- The Project Area should be determined following the requirements of Section 4 of the Compliance Offset Protocol U.S. Forest Projects, October 20, 2011.
- Assessment areas shall be determined by referencing the Assessment Area Data File available at: <http://www.arb.ca.gov/cc/capandtrade/protocols/usforestprojects.htm>

#### **Part VI. Offset Project Eligibility:**

- The questions in this part are designed to facilitate the determination of project eligibility for Improved Forest Management Projects.
- Further documentation is required based on the responses to some questions. See Part X of this listing form for more information on the precise requirements.
- Details on the eligibility requirements for Improved Forest Management Projects can be found in Sections 2.1.2, 3.1, and 3.8 of the Compliance Offset Protocol U.S. Forest Project, October 20, 2011.
- Details on the Natural Forest Management criteria can be found in Table 3.2 in the Compliance Offset Protocol U.S. Forest Project, October 20, 2011.

#### **Part VII. Carbon Stock Inventory:**

- Projects are not required to have completed a full carbon stock inventory at the time of listing, but OPOs/APDs should be familiar with Appendix A and have a plan for how they will meet the requirements therein. Therefore, a general description of the project's inventory methods and procedures, consistent with the requirements in Appendix A.3, is required at the time of listing. ARB recognizes that some information provided will be preliminary and based on best estimates. If the project's inventory methodology changes between the time of listing and submission of the first OPDR, this should be reported as a change to the information submitted at project listing when submitting the first OPDR.
- Section 6.2 of the Compliance Offset Protocol U.S. Forest Projects, October 20, 2011 outlines the approved quantification methodologies for Improved Forest Management Projects. Further details on completing a forest project carbon inventory can be found in Appendix A of the Protocol.
- Follow the steps in Appendix D of the Compliance Offset Protocol U.S. Forest Projects, October 20, 2011 to quantify the project's reversal risk rating.
- The project's expected contribution to the Forest Buffer Account is determined annually based upon the project's risk of reversal and is calculated by multiplying the project specific reversal risk rating by the total net GHG reductions/removals achieved by the project. An approximation of the contribution to the Forest Buffer Account is acceptable.

#### **Part VIII. Offset Project Baseline:**

- Projects are not required to have a finalized baseline at the time of listing, but OPOs/APDs should be familiar with Appendix B and have a plan for how they will meet the requirements therein. A complete modeling plan reflecting the requirements in Appendix B.3 is therefore required at the time of listing. ARB recognizes that some information provided will be preliminary or based on best estimates. If the project's modeling plan or baseline estimates change between the time of listing and submission of the first OPDR, this should be reported as a change to the information submitted at project listing when submitting the first OPDR.
- Note that IFM projects located on public land must present documentation demonstrating explicit approval of the offset project's management activities and baseline. These projects may report changes to the baseline within the initial OPDR if the changes have gone through a public review process and meet the Protocol requirements regarding explicit approval of the project's baseline.
- This part is divided into three sections: questions required for all Improved Forest Management Projects; questions for Improved Forest Management Projects on private lands; and questions for Improved Forest Management Projects on public lands. Answer the questions applicable to the project.
- Section 6.2 of the Compliance Offset Protocol U.S. Forest Projects, October 20, 2011 outlines the approved quantification methodologies for Improved Forest Management Projects. Instructions for

considering legal and financial constraints can be found in Sections 6.2.1.2 and 6.2.1.3, respectively. Further details on modeling carbon stocks can be found in Appendix B of the Protocol.

- ARB approved growth models can be found in Appendix B, Section B.1 of the Compliance Offset Protocol U.S. Forest Projects, October 20, 2011.
- When a requirement is not applicable to the project being listed, please select the "N/A" (Not Applicable) checkbox next to the requirement so that it is clear that the question was not inadvertently left unanswered.

**Part IX. Additional Questions:**

- Answer both questions. If the answer to either question is "yes," identify the registry or program and provide details on the issued credits in the space provided.

**Part X. Attachments:**

- Provide each attachment on a separate sheet of paper and submit along with the completed application for listing.
- To aid with tracking each attachment, it is recommended that the attachments are labeled to correspond with the letter in Part X that they refer to (e.g. "Attachment B").
- When an attachment is not applicable to the project being listed, please select the "N/A" (Not Applicable) checkbox next to the requirement so that it is clear that the attachment was not inadvertently left off.

**Part XI. Attestations and OPO/APD Signature:**

- Section 95975(c) of the Cap-and-Trade Regulation requires three attestations for listing an offset project. The required attestations are provided in this section. Each attestation should be initialed by the person signing the form.
- The first attestation requires the applicant to provide the offset project name and the start and end dates of the crediting period to complete the statement. The offset project name should match the name entered in Part II. The dates for the offset project's crediting period must also be provided. Please note that the dates provided in the attestation are for the crediting period, not for the first reporting period provided in Part II. The crediting period dates may be approximate if precise dates are not known.
- The attestations must be submitted to ARB but need not be submitted to ARB until requesting issuance of ARB offset credits. A request for issuance of ARB offset credits requires a copy of the offset project listing information, and providing the attestations on this form will satisfy this regulatory requirement.
- The individual signing the document must be registered in CITSS as the Primary Account Representative or Alternate Account Representative for the OPO.
- Please provide the person's signature, printed name, corporate title, and date signed.

Please contact your Offset Project Registry with any questions.