

MINISTRY OF FORESTS AND RANGE

PROCEDURES FOR MODIFYING STANDARD UNIT DATA IN RESULTS



Edition 1.0

November 19, 2007

Acknowledgments

The assistance of the following individuals is gratefully acknowledged:

Craig Wickland Scott Killam Darren Bonar Mei-Ching Tsoi Ralph Winter Caroline MacLeod Patricia Humphreys Carolyn Stevens Christine McClarnon

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1. Scope

These procedures are for Ministry of Forests and Range (MFR) RESULTS users¹ who submit data to RESULTS to satisfy requirements of: 1) the *Forest Planning and Practices Regulation*, s. 86, 87, and 88; and/or, 2) MFR contractual agreements. The procedural guidance pertains to data modifications submitted in accordance with:

- Forest and Range Practices Act (FRPA) s.5, s.8, s.16, s.20, s.189 (2); and s.197(8);
- Forest Planning and Practices Regulation (FPPR)s.22.1, s.29, and s.30;
- Forest Practices Code of British Columbia Act (FPCBCA)s.42.1; and,
- Operational and Site Planning Regulation (OSPR) s.7.1 and s.7.3.

These procedures pertain to modifications of stocking standards data on a Standards Unit (SU) within an opening.

2. Overview

Users may modify Standard Unit information in RESULTS to be consistent with, and accurately reflect, information in approved Forest Stewardship Plans (FSPs), Forest Development Plans (FDPs), silviculture prescriptions and their amendments, and amended site plans.

2.1. Data modification options

Data modification options are:

- Silviculture Prescriptions:
 - corrections
 - amendments (changes to stocking standards that require District Manager approval)
 - minor amendments (changes to stocking standards that do not require District Manager approval)
- Site Plans:
 - approved variations
 - site plan amendments

As of June 1, 2005 amendments/approved variations/corrections are submitted to the MFR through submissions to RESULTS via the ESF, or directly into RESULTS. Figure 1 illustrates available data modification options.

¹ A "user" is defined as a person employed by a licensee or the MFR to load data to RESULTS.

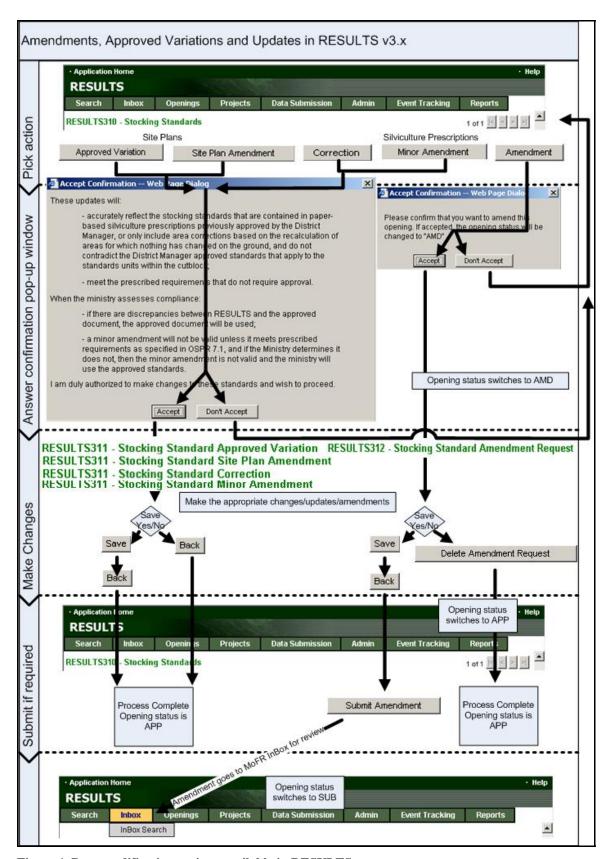


Figure 1 Data modification options available in RESULTS.

2.2. Authorisation and Credentials

Modifications submitted to RESULTS stocking standards data are considered official if the following conditions apply:

- The submitted data has been:
 - collected and prepared under the direction of a Registered Professional Forester who is fully conversant with FRPA and/or the FPCBCA requirements for stocking standards and amendment processing;
- The submitter is:
 - authorised to submit data on behalf of the licence holder (or timber sales manager if applicable), by an official (or timber sales manager if applicable) who is legally² authorised to commit the licence holder to reforestation obligations; and,
 - trained in how to use RESULTS to make modifications.
- The proposed modifications are consistent with:
 - legislated requirements and conditions for amendments, and,
 - operational plans (e.g., SPs, FDPs, or FSPs) that apply to the area.

Data is modified by the party who is responsible for the data. For:

- **licensee-responsibility openings**, authorised licensee personnel and their authorised contractors modify licensee data;
- **MFR-responsibility openings**, MFR staff and their authorised contractors modify the data.

MFR staff or external (to the licensee) forestry professionals who identify errors in licensee data, should report them immediately to the affected licensee, with a cc to the applicable district RESULTS coordinator. Licensees are expected to review, verify, and correct (if applicable) affected data within 60 days of receipt of a notice informing them of errors. District RESULTS coordinators monitor whether errors have been corrected.

2.3. Official Documentation

Any submission that is accepted and approved (where applicable) electronically is considered the official document, provided that the submitter is authorised and credentialed as noted in Section 2.2, and provided it meets legislated and submission specifications³ requirements. No approved paper copy is returned to the licensee (with the exception of circumstances described in Section 3.2.3.2).

For historical records, where discrepancies exist between any approved legal document and information held electronically by RESULTS, the approved legal document is considered official.

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² e.g., on a company signing matrix held at the MFR district office

³ See submission specifications documentation at http://www.for.gov.bc.ca/his/results/business.htm#Submission Specifications

2.4. History

All actions in RESULTS are tracked and available for viewing by authorized licensee and ministry staff. Any changes that occur from corrections, minor amendments, amendments, approved variations, or site plan amendments are recorded in RESULTS and may be audited.

2.5. Data correction projects

Occasionally, the MFR issues contracts to service providers to correct data that is inaccurate or missing as a result of former policies, data conversion errors, or data submission practices during periods when policies regarding submission procedures were under development or review. Part of these contracts may include correction of licensee records. Licensee data may be corrected by service providers under these circumstances, where licensees have been made aware of the nature of the project and data to be corrected. Service providers or MFR staff may not correct licensee data outside of these circumstances, or where licensees have not provided permission to do so.

3. RESULTS Data modification processes

Stocking standards information for an opening in RESULTS can be modified by making an amendment⁴ to a silviculture prescription, applying an approved variation or amendment to a site plan, correcting silviculture prescription information so that the electronic copy matches the approved paper copy. **Modifications to data in RESULTS cannot be made unless the changes are consistent with applicable approved SPs, FSPs, or FDPs, or amendments to these plans.** Sections 3.2 and 3.3 provide details on when to use a given modification process.

Depending on the task and the licensee's ESF submission capabilities, these modifications are completed either through an ESF submission, or on-line through RESULTS. The modification process (Table 1) is based on the nature of the desired modification and the type of document (i.e., silviculture prescription versus site plan).

⁴ major or minor

Table 1 RESULTS Data Modification Processes

Plan Type	Action	Allowable Modifications	Fields that Can Be Changed	Related Legislation
Silviculture Prescription	No Approval Required	Modify information in RESULTS to match the approved paper version. Add SUs Delete SUs Change information	All components of a stocking standard, with these exceptions: RG or FG offset will not change if they have been declared (e.g., regen delay cannot be modified if a regen declaration has been submitted).	FPCBCA s42.1 OSPR s7.1, s7.3 FRPA s189 (2) FRPA s197(8)
	Minor Amendment – No Approval Required	Amendment meets prescribed requirements for not requiring District Manager (or designate) approval. • Amend SU area or BEC information.	NAR, BEC, SU identifier, spatial.	
	Amendment – Approval Required	Amend a stocking standard. • Add SUs • Delete SUs • Change information	All components of a stocking standard with these exceptions: RG or FG offset will not change if they have been declared. If a Standards ID is assigned to one SU then all SUs within the opening must be assigned a Standards ID. SP can be incorporated into FSP through a major amendment. Must then: Assign a Standards ID to all SUs. SU BEC must match BEC assigned Standards ID.	
Site Plan	Approved Variation – No Approval Required	Implement a variation to a stocking standard that is approved in an FSP/FDP. Change information	All components of a stocking standard with these exceptions: Standards ID cannot be changed. RG or FG offset will not change if they have been declared. Must be consistent with the approved FDP or FSP standard.	FPCBCA s42.1 OSPR s7.1, s7.3 FRPA s5, s8, s16, s20, s189 (2) FPPR s22.1, s29, s30
	Site Plan Amendment – No Approval Required	Add SUs Delete SUs Change stocking standards by changing the Standards ID	 Change Standards ID. Must be consistent with the approved FDP or FSP standard. Cannot delete Standards ID. RG or FG offset will not change if they have been declared. 	

When submitting changes to stocking standards information in RESULTS through ESF, the amount of information required depends on the type of submission. For:

1. Silviculture prescription amendments, site plan amendments or corrections all of the current SU information in the RESULTS database is deleted and replaced with what is contained in the new submission. All valid SUs must be included in the submission with all information for each SU, regardless of whether or not information has changed. Missing SUs are considered deletions and are removed from RESULTS. All unchanged data in the SUs being modified must be included or it will be deleted.

For example, to modify the following information for an SU (e.g., SU 1 of 3)⁵:

- add subalpine fir to acceptable species;
- extend free-growing late from 15 to 17 years; and
- reduce the MITD from 2.0 to 1.5 m for that opening;

submit the entire stocking standard (all of the attributes) including the three changes. If only the three attributes are submitted to RESULTS, everything except these three attributes is deleted. Also, SUs 2 and 3 must be submitted in their entirety.

2. Minor amendments

only NAR and BEC information can be updated. NAR and BEC must both be submitted. Any other submitted information is ignored. Only the SU being modified is included in the submission, given that SUs cannot be added or deleted in a minor amendment.

3. Approved variations

all information must be supplied for the SU being modified, but only that SU is submitted. SUs cannot be added or deleted in an approved variation.

When processing corrections, minor amendments, approved variations, or site plan amendments in RESULTS or through the ESF, the opening status remains approved (APP) throughout the process. By contrast, an opening subject to a silviculture prescription amendment (major) is assigned a series of opening statuses throughout the process. Any status other than APP may restrict a user's ability to declare milestones, report forest cover data, or complete other tasks.

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⁵ This change can be made in RESULTS <u>after</u> a corresponding amendment has been made to the FDP/FSP stocking standard.

3.1. General Submission Guidelines

3.1.1. Submitting Through RESULTS

- 1. Navigate to the *RESULTS310-Stocking Standards* screen for the opening.
- 2. At the bottom of that screen, select the desired action (see Figure 1):
 - a. **Silviculture Prescriptions:** Correction, Minor Amendment, or Amendment:
 - b. Site Plans: Approved Variation, Site Plan Amendment.
- 3. Make the required modifications.
- 4. Save the modifications and return to the *RESULTS310* screen. This will either signal an end to the process or enable submission of a major amendment to the ministry Inbox (for approval).

Spatial modifications are made through the ESF only.

3.1.2. Submitting Through ESF

- 1. Generate an Opening Definition submission, which includes the opening identifier (key), the submission action code, stocking standards values replacing the original values, and spatial data.
 - a. **Include** <u>all</u> **SUs** and **SU** information where required, because RESULTS deletes and replaces all of the existing stocking standard information under the circumstances described in Section 3.
 - b. The action code differs depending on the nature of the modification:
 - Correction Action Code U;
 - Minor Amendment Action Code M:
 - Amendment (major) Action Code A;
 - Approved Variation Action Code V; or
 - Site Plan Amendment Action Code A.

3.2. Modifications to Silviculture Prescription Data

3.2.1. Corrections

Stocking standards information in RESULTS can be changed to be consistent with an approved silviculture prescription (paper version). Although all corrective actions are tracked and occasionally audited, no approval is required to complete these corrections. The opening status remains in Approved (APP) status throughout the correction process.

Submit <u>all</u> data for all SUs, including the data to be modified, unless an SU is to be deleted.

Site Plans cannot be modified through a correction.

Spatial modifications are made through the ESF only.

To process a correction through:

RESULTS

- Navigate to the applicable opening on the *RESULTS310* screen.
- Select Corrections.
- Make the desired modifications.
- Select Save after each modification. The correction takes effect when the update is saved.

ESF

- Create an XML/GML Opening Definition (with spatial data)
- Set the action code to 'U.'
- Upload the submission through ESF.

3.2.2. Minor amendments

Minor amendments do not require approval from the District Manager or designate. They include modifications to opening size without changing the District Manager-approved stocking standards that apply to the SUs in the opening (within legislated constraints), or where there is no physical change on the ground (e.g., area modification as a result of a more accurate traverse). Only the NAR, BEC and spatial information can be changed in a minor amendment. Openings subject to minor amendments remain in Approved (APP) status throughout the amendment process.

Submit only the SU's to be changed⁶. Supply NAR and BEC data for each SU submitted. Any additional data submitted is ignored. SUs cannot be added or deleted through a minor amendment.

Spatial modifications are made through the ESF only.

To process a minor amendment through:

RESULTS

- Navigate to the applicable opening on the *RESULTS310* screen.
- Select Minor Amendment.
- Make the desired modifications.
- Select Save for each modification. The amendment takes effect when the update is saved.

• ESF

- Create an XML/GML Opening Definition submission, including spatial data if required (see Section 3.4)
- Set the action code to 'M.'
- Upload the submission through ESF.

⁶ SUs subject to no changes are not required to be submitted for minor amendments.

3.2.3. Amendments

Amendments require approval from the District Manager or designate (in accordance with FPCBCA legislation). They are also referred to as "major amendments."

Submit <u>all</u> SUs except ones to be deleted. Include <u>all</u> attribute data for each SU. Both online and ESF submissions are identified as amendments requiring District Manager (or designate) approval. The application is directed to the RESULTS Inbox to await processing by district staff.

Openings that are subject to a major amendment show changes to the opening status throughout the process. While the opening is in amended (AMD) or submitted (SUB) status the proposed changes are held in a series of temporary stocking amendment files and can be viewed only by selecting the Amendment button on the *RESULTS310* screen. In RESULTS, the opening changes from approved (APP) to AMD status once the pop-up confirmation box is accepted. The opening remains in the AMD status until the proposed amendment is deleted (status reverts to APP), or the proposed amendment is submitted (SUB status) to MFR.

The opening remains in SUB status until the ministry either approves the proposed amendment (status changes to APP), or rejects the proposed amendment at which time the opening changes back to AMD status. This allows the licensee to address issues in the rejection note, or delete the amendment. Once a Proposed Amendment is in SUB status, it cannot be deleted. It must be rejected to reset its status to AMD. When the Proposed Amendment is in AMD status a licensee can access the **RESULTS 312** screen and select the Delete Amendment Request Button.

Spatial modifications are made through the ESF only.

To process a major amendment through:

RESULTS

- Navigate to the applicable opening on the *RESULTS310* screen.
- Select Amendment. This sets the opening status to AMD-Amended.
- Make the desired modifications (on the *RESULTS312-Stocking Standards Request* screen).
- Select Save for each modification.
- Return to the *RESULTS310* screen and submit the amendment to the ministry Inbox by selecting Submit Amendment. This sets the opening status to SUBSubmitted.
- To delete an amendment in progress, while it is in AMD status, select Amendment, then Delete Amendment at the bottom of *RESULTS312* screen.
 - To delete an amendment in SUB status, ask the district to "not approve" the amendment. This resets the amendment to AMD status, after which it can be deleted.

• ESF

- Create an XML/GML Opening Definition submission, including spatial data if required (see Section 3.4)
- Set the action code to 'A'
- Upload the submission through ESF.

3.2.3.1. Tracking Amendments Through the Approval Process

Major amendment submissions through either the ESF or RESULTS are stored in the RESULTS Inbox until ministry staff process them. Once an amendment is in the Inbox it can be approved/rejected by ministry staff, or it can be reviewed by either ministry staff or the submitting licensee. The licensee can access the Inbox to check the status of the amendment.

To review a proposed amendment:

- Search the RESULTS Inbox for the proposed amendment.
 - Navigate to the RESULTS201 Inbox Search screen, and ensure that the correct 'Org Unit' and 'Client' is set.
 - Select Search to return all the records and choose the correct opening.
 - Records may be filtered to display only submitted amendments (submitted stocking standards are also visible) by selecting the 'Submitted' status. Choose the correct opening from the list.
 - o Records may be filtered so that only draft amendments (i.e., amendments that have not been submitted), and amendments that have been processed as 'not approved' are displayed by selecting 'Amended' status. Choose the desired opening from the list.
 - Alternatively, use any of the opening keys (Licence/CP/Cutblock, Timber Mark/ Cutblock, Opening Number, or Opening ID) to search for the opening for which an amendment is proposed.
- Once the opening with the proposed amendment is identified, select Details to
 navigate to submission details and to access the RESULTS310 Stocking Standards
 screen. This screen displays the currently approved and effective stocking standards.
 To view the proposed amendment:
 - o Select the <u>Amendment Proposed</u> hyperlink or the <u>Amendment</u> button, to access the *RESULTS312 Stocking Standard Amendment Request* screen, which shows all the fields that have been modified. The modified fields are highlighted in red or have red text.
 - o Select Back repeatedly to return to the *RESULTS 201 Inbox Search screen*. From this screen MFR staff may approve or not approve the amendment. A Rejection Reason field is completed by MFR staff who choose to not approve any amendment. The reason comment is included in the email returned to submitter notifying him/her of the rejection.

Figure 2 and Figure 3 illustrate how the approval process is applied by ministry reviewers when rejecting an amendment.

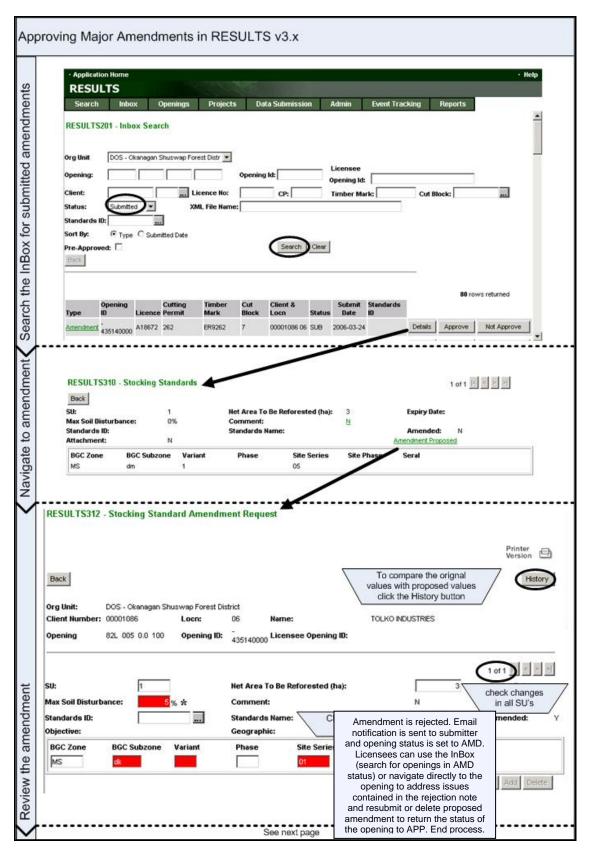


Figure 2 Amendment approval process in RESULTS.

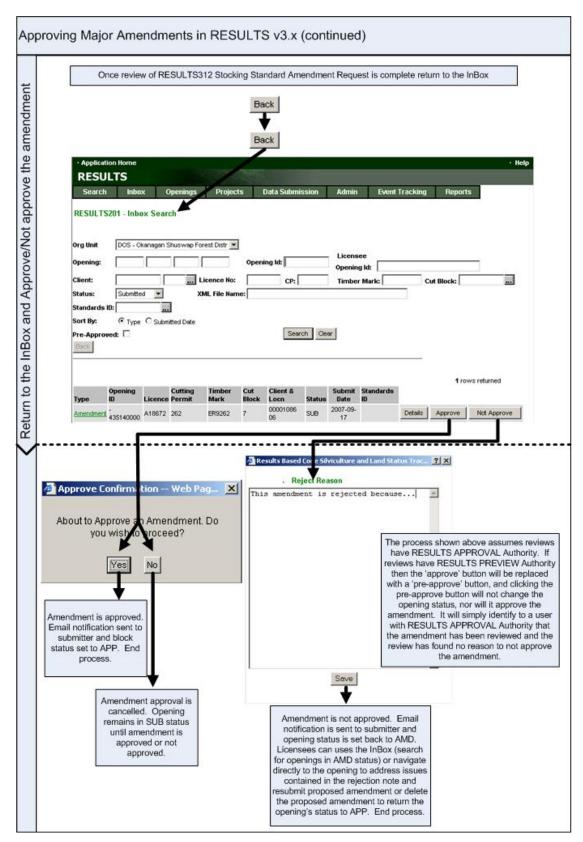


Figure 3 Amendment approval process in RESULTS, continued.

3.2.3.2. Manually-processed amendments

Users occasionally encounter situations under which RESULTS is not programmed to validate all legislation requirements regarding amendments⁷ (e.g., woodlot regulations). Under such circumstances, users take <u>all</u> guidance from the legislation, and follow district internal approval processes that ensure legal requirements have been addressed.

District managers or their designates may design internal amendment approval processes (where RESULTS is not programmed to direct an amendment requiring approval to the Inbox for processing) to ensure that legal requirements are met. Licensees follow any district internal amendment approval processes prior to making data submissions to RESULTS:

- Legal paperwork is processed internally in the district office. In some cases, this may consist of an approval process where the licensee submits, then the district manager (DM) signs, a paper version of the amendment. (e.g., for some types of area corrections, this may consist of a letter and spatial map showing the location and size of the area change).
- Once the amendment is approved, the RESULTS coordinator may notify the licensee (along with a copy of the approved amendment) advising that the data may be entered into RESULTS via one of the other (inappropriate) modification buttons. In this case, the amendment will not go to the Inbox as expected; however, the DM approval on paper will have ensured legal requirements were fulfilled (if the decision was made to approve the amendment).
 - The licensee may be asked to attach a copy of the DM paper-approved amendment to the RESULTS record using "attachment tool" per instructions in Section 3.5. (If the district sends an approval letter, the licensee user scans the paper copy to a .pdf document and stores it on a hard drive for attaching to the RESULTS record during the submission. Or, if the approval is in the form of an email, the licensee user saves the email to a hard drive and can attach it to the RESULTS record during the submission).
 - Alternatively, the district may scan and append the paper-approved doc to the RESULTS record (depending on how the district work flow is set up - some woodlot license holders have limited facilities, e.g., no access to scanner. Often the licensee's service provider can look after this detail when submitting on behalf of the licensee).
 - Or the paper-record can be kept in an opening file if the district still manages opening records, but a comment should be added to the RESULTS record (as part of the submission) stating that a paper-based amendment approval exists on the district opening file.

⁷ Licensees should contact APPHELP and/or their district RESULTS coordinators when this situation arises.

3.3. Modifications to Site Plan Data

3.3.1. Approved variations

Approved variations reflect variations in operational plans that have been approved by the District Manager or designate. Forest stewardship plans and/or transition FDPs contain several Standards IDs (i.e., sets of stocking standards for particular ecosystems). FDPs/FSPs may also contain variations of those standards to address particular circumstances. For example, a given Standards ID may have Fdi and Pli as the only preferred or acceptable species for a given ecosystem, but the approved FDP/FSP may contain a variation that allows for the use of Py on xeric, south-facing slopes. Similarly, a particular Standards ID may specify a minimum inter-tree distance of 2 m, but the approved FDP/FSP may contain a variation that allows for a 1.5 m minimum inter-tree distance in areas of high cattle usage. The RPF who prepares/amends the site plan must apply the appropriate Standards IDs, and any approved variations of those standards.

The opening remains in Approved (APP) status throughout the variation process.

Submit only the SUs to be changed⁸. Include all data for each SU.

Spatial modifications are made through the ESF only.

To process the variation through:

RESULTS

- Navigate to the applicable opening on the **RESULTS310** screen.
- Select Approved Variation.
- Make the desired modifications.
- Select Save for each modification. This allows the user to modify the standards to reflect the approved variation.

• ESF

 Create an XML/GML Opening Definition submission, including spatial data if required (see Section 3.4)

- Set the action code to 'V' for approved variation.
- Upload the submission through ESF.

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⁸ SUs subject to no changes are not required to be submitted for approved variations.

3.3.2. Site plan amendments

Site plan amendments are generally made to change the Standards Regime that has been applied to the SU by entering a new Standards ID; or to make changes to SU boundaries. They do not require approval from the District Manager or designate and are referred to as "amendments that do not require approval." They must meet the prescribed requirements in the FPPR. The amendment takes effect when the application is submitted. Openings subject to amendments that do not require approval remain in Approved (APP) status throughout the amendment process.

Submit all SUs except those to be deleted. Include <u>all</u> attribute data for each SU.

Spatial modifications are made through the ESF only.

To process a site plan amendment through:

RESULTS

- Navigate to the applicable opening on the *RESULTS310* screen.
- Select Site Plan Amendment.
- Make the desired modifications.
- Select Save for each modification.
- Submit the amendment. This allows the user to change Standards IDs on the SU.

ESF

- Create an XML/GML Opening Definition submission, including spatial data if required (see Section 3.4)
- Set the action code to 'A'.
- Upload the submission through ESF.

3.4. Spatial Data

RESULTS accommodates corrections to spatial information. Any attribute area correction is accompanied by the corresponding spatial correction, and a spatial correction is accompanied by the corresponding attribute area correction. Attribute area is required for SUs.

For changes to spatial data, either as stand-alone (Spatial Only) changes, or as a component of other corrections or amendments, the spatial data is submitted through the ESF.

For a 'Spatial Only' submission, no attribute data is included except the identifier and the action code. Modifications to any attribute area are made online or through a separate submission.

To submit 'Spatial Only' modifications through ESF⁹:

- 1. Create an Opening Definition submission. Include the new spatial data for <u>all</u> SUs. Only include the SU ID, do not include any other attribute information for the SU or the system will try to process it as an amendment and the submission will fail.
- 2. Set the action code to 'U'.
- 3. The opening spatial data can be updated at the same time by including the new spatial data for the opening, but do not enter any attribute information for the Opening Definition except for the action code.

3.5. Attachments

RESULTS can store attachments such as:

- Excel spreadsheets
- Jpg files
- Word documents
- Pdf files
- Other documents on an opening that provide documentation of plans, results, correspondence, or observations

To add files as attachments to a RESULTS opening record (Figure 4):

- 1) Tab-**Openings** Select Attachments
- 2) Enter opening information to retrieve opening record.
- 3) Beside **File Name** Select Browse. The user's computer Explorer program will be activated.
- 4) Select a file. The path to the file on the user's hard drive will display in the **File Name** window.
- 5) In the **Description** window, enter a description for the file.
- 6) Select Save.

⁹ Forest cover area corrections are processed similarly. Spatial files are submitted for all polygons in the opening, including those for the polygons that are being corrected and those for polygons that are not being corrected.

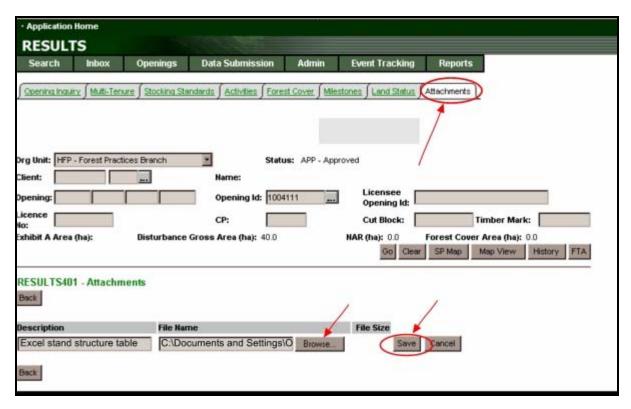


Figure 4 RESULTS Attachments

4. Training and Support

RESULTS training schedules are at http://www.learningestore.com/bcmof

- Select *Topic: RESULTS Training*
- Click Search
 - o **Key course:** RESULTS Amendments and Updates

Course materials and recordings are located at:

ftp://ftp.for.gov.bc.ca/HIS/external/!publish/OnLineClassroom/Results/

Additional resources are on the RESULTS website:

http://www.for.gov.bc.ca/his/results/