

New York State Department of Environmental Conservation

625 Broadway, 5th Floor Albany, NY 12233-4255

2015-2019 SFI Standard® - Section 2: Forest Management

Audit Type Reassessment



NSF International

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NSF International Forestry Program Audit Report

A. Certificate Holder

New York State Department of Environmental Conservation

NSF Customer Number

6L741

Contact Information:

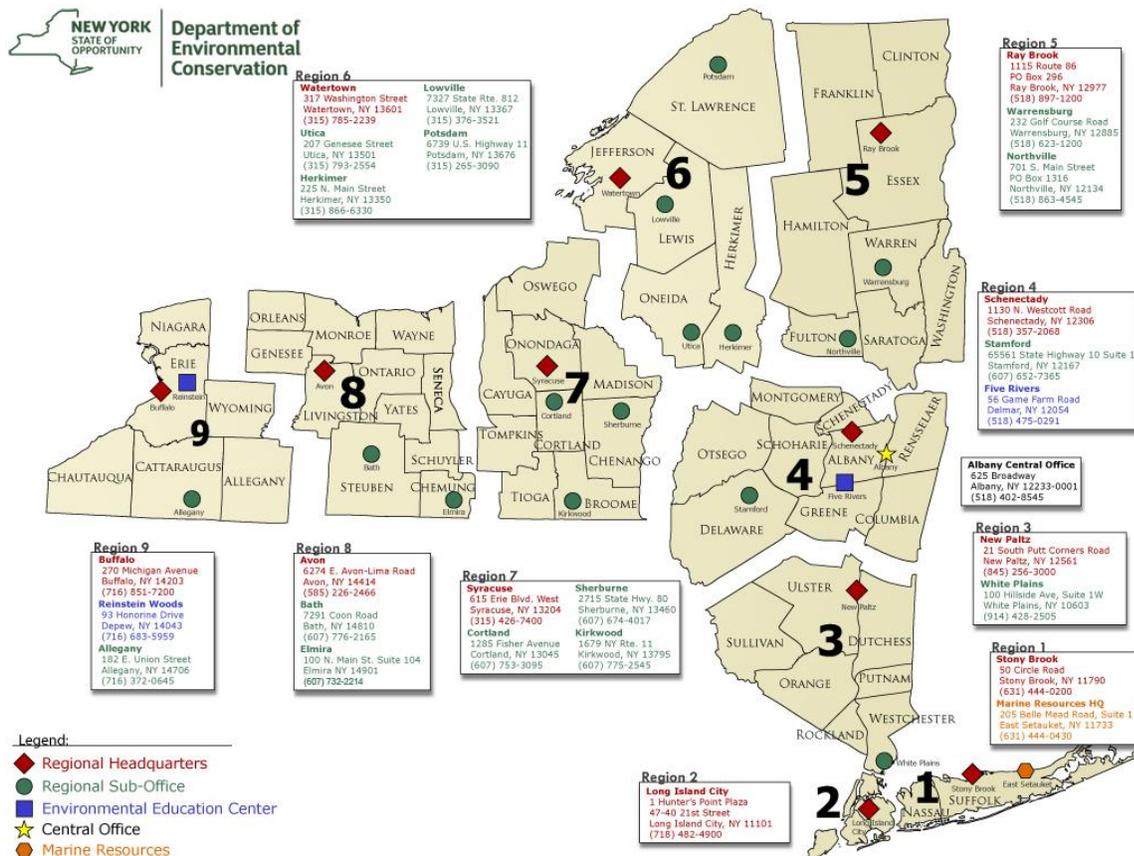
Josh Borst
Forester 2, Bureau of Forest Resource Management
Division of Lands and Forests
New York State Department of Environmental Conservation
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B. Scope of Certification

The management of New York State Forests in Regions 3-9, including Reforestation Areas, Multiple Use Areas and Unique Areas and related activities in support of sustainable forestry. The SFI Forest Management certification number is NSF-SFI-FM-6L741. The SFI 2015-2019 Forest Management Standard meets and exceeds the requirements of the earlier SFI 2010-2014 Standard (Section 2), therefore fiber sold under this certificate counts as 100% SFI and 100% PEFC certified forest content.

Locations Included in the Certification

The land management activities and forestry offices in NY State Forests in Region 3-9, 2017. See map inserted below all activities and offices in Regions 1 & 2 excluded from the Green Certification program.



C. Audit Team

Keri Yankus

Audit Dates

10/10/17 thru 10/13/17 & 10/16/17

D. Significant Changes to Operations or to the Standard(s)

New Green Certification Coordinator

Re- organization with in the agency

E. Audit Results

No nonconformities or opportunities for improvement were identified.

There were 2 opportunities for improvement identified.

List and describe:

Multi-site criteria IAF=MDI 4.4.1 d as it relates to “Internal Audit Team Charter and Internal Audit report”.

There is an opportunity for addressing collection, analysis, and evaluation and finalization of internal observations identified in yearly audits for the multi-site criteria in audit report.

11.1.1. Written statement of commitment to the *SFI 2015-2019 Forest Management Standard* communicated throughout the organization, particularly to facility and woodland managers, and field foresters.

There is an opportunity to effectively communicate the signed *SFI 2015-2019 Forest Management Standard* commitment throughout all levels of the organization, especially to seasonal and temporary staff when onboarding occurs with the agency across all regions.

There were 3 minor nonconformities identified.

List and describe:

3.1.2 Contract provisions that specify conformance to *best management practices*.

Several, minor isolated BMP topics were observed in the field. Contact provisions such as stump heights and BMP topics, including cross drains, temporary water bars and lack of water bar (two different sites in two different regions for water bars) were not always met. Auditors were unable to obtain documented information two times showing field foresters spoke to contractor asking them to address stump heights. Foresters in each region check to see if a logger is NY logger trained initially. In some instances some forester’s field files did not have this documented information showing status of logger training or that they rechecked during the active period of the contact. It is unclear across several regions whether measures taken by forestry staff to ensure contractor provisions like stump heights, other BMP topics, or the use of a NY-trained logger for the life of active contact, are effective.

3.1.3 Monitoring of overall *best management practices* implementation.

Auditor Reviewed a sample of hand written field notes in project files, however in some cases hand written field notes or completion reports could not be provided during the field audit. It is unclear if consistent BMP monitoring checks or final completion reports are occurring to ensure effectiveness of BMP implementation across all regions.

8.2.1. *Program* that includes communicating with affected *Indigenous Peoples* to enable *Program Participants* to:

- a. understand and respect traditional forest-related knowledge;
- b. identify and protect spiritually, historically, or culturally important sites;
- c. address the use of non-timber forest products of value to Indigenous Peoples in areas where Program Participants have management responsibilities on public lands; and
- d. respond to Indigenous Peoples’ inquiries and concerns received.

Evidence was not provided that NYDEC with forest management responsibilities on public lands consistently confer with affected Indigenous Peoples with respect to sustainable forest management practices across all regions.

NYDEC policy, *Contact, Cooperation, and Consultation with Indian Nations (CP-42)*, requires that the NY DEC undertake good faith efforts to consult with Indian Nations on any Department decision or action which could foreseeably have Indian Nation implications. Albany provided evidence of an annual meeting showing commitment to building relationships

with Indian Nations. For example, since 2015 the Office of Environmental Justice has held an Annual DEC/Indian Nations Leaders Meeting to discuss mutual interests. During the audit it was learned that the level of consultation with Indian Nations at the local level varies across the regions. For example, Region 6 staff confirmed that no effort was made to contact Indian Nations as part of developing the Oneida Hills UMP. Interviews with staff in other regions suggest that not all employees are aware of the requirement for consulting with Indian Nations on forest management planning.

There were 0 major nonconformities identified.

List and describe: NA

Issues identified at previous audits reviewed for continued conformance.

List and describe:

While on site, NSF closed the one Major nonconformance and three minor non conformances and progress was made towards addressing the opportunity for improvements. Status noted below:

Major Nonconformance:

15.1.2 System for collecting, reviewing, and reporting information to management regarding progress in achieving SFI 2015-2019 Forest Management Standard objectives and performance measures. 15.1.3 Annual review of progress by management and determination of changes and improvements necessary to continually improve conformance to the SFI 2015-2019 Forest Management Standard. Reporting of information to management regarding progress of the SFI program status did occur along with reporting of the information. The management determined changes and improvements necessary to make to continually improve the program since the last audit. Full implementation and effectiveness occurred and NSF closed this finding.

2016 Minor Non-conformances Resolved:

9.1.2. System to achieve compliance with applicable federal, provincial, state, or local laws and regulations.

There is a system in place to achieve compliance with applicable federal, provincial state or local laws and regulations as it relates to chemical checks. Full implementation and effectiveness occurred and NSF closed this finding.

4.1.5 Program to address conservation of known sites with viable occurrences of significant species of concern.

Confirmed that the organization has developed a HCVF monitoring protocol and methodology as it relates to High Conservation Value Forests (HCVF) with in all regions in cooperation with the New York Natural Heritage Program. Full implementation and effectiveness occurred and NSF closed this finding.

Multi-site criteria IAF=MDI 4.4.1 d.: There is minor non-conformance to "Internal Audit Team Charter and Executive Review Process" for addressing collection, analysis, and evaluation of corrective actions identified in yearly audits for the multi-site criteria. "Internal Audit Team Charter Executive Review Process" was updated for collection, analysis, and evaluation of corrective actions identified in yearly audits for the multi-site criteria and observed document evidence in audit report and confirmed through several internal auditor interviews across several regions. Full implementation and effectiveness occurred and NSF closed this finding.

2016 opportunities for improvement status:

Regions are starting to consider results of the State Wildlife Action Plan into initial phases in the UMP Process in some of the regions.

The organization has new internal policy in place to forester(s) to check for chemical being used against the Stockholm Convention on Persistent Organic Pollutants (2001) listing.

Certain regions are actively capturing fire and pest prevention and control programs information, and now updating information into SFID while in the field.

F. Audit Planning and Summary

| Objectives/Performance Measures (include dates) | | | | | |
|--|---------------------|--|-----------------------|-----------------------|-----------------------|
| Audited (A) or Planned (P) | Reassessment | Surveillance 1 | Surveillance 2 | Surveillance 3 | Surveillance 4 |
| | 10-16 Oct 2017 | 10 Sep 2018 | TBD | TBD | TBD |
| Objective 1 | A | P 1.1.1, 1.1.4 | P | P | P |
| Objective 2 | A | P 2.1.1, 2.1.2, 2.2.3, 2.2.4, 2.3.2, 2.4.2 | P | P | P |
| Objective 3 | A | P 3.1.1, 3.1.2, 3.1.3, 3.2.3 | P | P | P |
| Objective 4 | A | P 4.1.5, 4.1.6, 4.2.1, 4.3.1, 4.4.2 | P | P | P |
| Objective 5 | A | P 5.1.1, 5.2.2, 5.3.2 | P | P | P |
| Objective 6 | A | P 6.1.1 | P | P | P |
| Objective 7 | A | P 7.1.1 B & C | P | P | P |
| Objective 8 | A | P 8.2.1 | P | P | P |
| Objective 9 | A | P 9.1.2, 9.1.3, 9.2.2 | P | P | P |
| Objective 10 | A | P 10.2.1 | P | P | P |
| Objective 11 | A | P 11.1.2, 11.1.3 | P | P | P |
| Objective 12 | A | P 12.1.1 | P | P | P |
| Objective 13 | A | P 13.1.2 | P | P | P |
| Objective 14 | A | P | P | P | P |
| Objective 15 | A | A | P | P | P |
| Multi-Site Requirements | A | A | P | P | P |

| Sites/Facilities (include dates) | | | | | |
|----------------------------------|--|------------------------|------------------------|------------------------|------------------------|
| Audited (A) or Planned (P) | Reassessment | Surveillance 1 | Surveillance 2 | Surveillance 3 | Surveillance 4 |
| | 10-16 Oct 2017 | 10 Sep 2018 | TBD | TBD | TBD |
| | Region field sites and offices in 9, 8,7 & 4 | TBD | TBD | TBD | TBD |
| | Regional Albany office | Regional Albany office | Regional Albany office | Regional Albany office | Regional Albany office |

Yes No N/A Accreditation logos (eg ANSI/ANAB) are utilized correctly in accordance with NSF SOP 14680 and SOP 4876. If no, a nonconformity should be issued.

For reassessment or re-certification audits, describe the organization’s performance and conformance to the standard(s) over the period of the certification. This includes a review of all audits since the registration or most recent reassessment and should take into consideration interactions between processes and locations, and external changes. Specify what records were reviewed to reach this conclusion.

Answer: Three years of internal documented audit reports records, charters- management reviews records were reviewed for FY 17, FY 16, FY 15. SFI annual reports were also reviewed for 3years which also demonstrate organization performance and conformance to the SFI 2015-2019 standard requirements for the central office and all the regions in the scope of the audit.

G. Appendices

- [Appendix 1:](#) Audit Notification

- [Appendix 2:](#) Audit Standard Checklist SFI Forest Management Standard and Multi site checklist

- [Appendix 3:](#) SFI Forest Management Public Summary Report

- [Appendix 4:](#) Meeting Attendance



Appendix 1

Audit Notification Letter

September 18, 2017

Josh Borst
Forester 2, Bureau of Forest Resource Management
Division of Lands and Forests
New York State Department of Environmental Conservation
625 Broadway, 5th Floor, Albany, NY 12233-4255
P: (518) 473-9209 | F: (518) 402-9028 | joshua.borst@dec.ny.gov
www.dec.ny.gov

RE: Reassessment Audit to SFI 2015-2019

Dear Mr. Borst,

As we discussed, I will be conducting your SFI audit October 10-13 and October 16, 2017 as described in the attached itinerary. Please confirm that these dates are still appropriate for the audit of your program's continued conformance to the 2015-2019 SFI Standard[®] section 2 Forest Management and section 9 Multi site requirements.

Preparing for the Audit

A key part of the audit is a review of selected evidence related to your program, which may include:

- Supplier documentation of certifications
- Approval for logo usage (if used)
- Internal Audit records
- Management Review records
- Multi- site requirements
- Training records, continued education
- Update Status of UMP
- Status of inventory
- Documents showing regeneration status
- Field site BMP inspections
- Harvest Plans
- Complete listing of Chemicals (Herbicide/Pesticide)
- Dues to the SIC
- Contributions to any research entity
- Acres total harvested, planted and sprayed last fiscal year
- Documentation for operation of complaint procedure
- Documentation for subcontracting/outsourcing
- Policies regarding certification, health, and safety to the SFI 2015-2019 Standard
- Annual SFI report to SFI Inc. and SFI logo approval

Please have this information available for me **during the audit.**



Field Site Selections

Please provide a list of management activities for the forests being audited this year. The lists should be as comprehensive as possible, covering recently completed, ongoing, and planned harvests at a minimum. Please also include lists of other management activities (road building, site-preparation, planting, TSI or release for example) in cases where compiling such lists will not be unduly time-consuming. The lead auditor will make preliminary random selections from these lists. I will then ask your forest manager to prepare suggested itinerary which include our primary selections supplemented by sites which are proximate or which combine into efficient travel routes.

We will need to complete the preliminary selections **at least one week** before the start of the audits to allow you time to prepare travel route

Scope of Certification The management of New York State Forests in Regions 3-9, including Reforestation Areas, Multiple Use Areas and Unique Areas and related activities in support of sustainable forestry. The SFI Forest Management certification number is NSF-SFI-FM-6L741. The SFI 2015-2019 Forest Management Standard meets and exceeds the requirements of the earlier SFI 2010-2014 Standard (Section 2), therefore fiber sold under this certificate counts as 100% SFI and 100% PEFC certified forest content.

Role of SFI Inc. Office of Label Use and Licensing

As a reminder, your organization is responsible for contacting SFI, Inc. and complying with all requirements before using or changing any SFI label or logo. Your contact is:

Rachel Dierolf
Manager of Statistics and Labeling
Sustainable Forestry Initiative, Inc.
900 17th Street NW, Suite 700
Washington, DC 20006
613-274-0124
rachel.dierolf@sfiprogram.org

Agenda for Review

Attached for your review is the tentative agenda that will guide the conduct of the audit. Please contact me via email or phone if you would like to recommend changes or have any questions regarding what is needed for the audit.

Thank you for selecting NSF International to provide your audit services.

Sincerely,

Keri Yankus

Keri Yankus, CF
NSF Senior Lead Auditor
603/340-1304
kyankus@nsf.org



Audit Agenda

Type of Audit

- | | | |
|---|---|---------------------------------------|
| <input type="checkbox"/> Readiness Review (Stage 1) | <input type="checkbox"/> Registration (Stage 2) | <input type="checkbox"/> Surveillance |
| <input checked="" type="checkbox"/> Reassessment | <input type="checkbox"/> Transfer | <input type="checkbox"/> Verification |
| <input type="checkbox"/> Other _____ | | |

Audit Objectives

Determine if certification should be renewed to the SFI 2015-2019 section 2 forest management and all of the SFI performance measures and multi-site requirements.

Schedule

| Day/Date | Time | Activity/Process and Location to be Audited | LA SFI Keri Yankus=KY |
|--------------------------|---------------|--|-----------------------|
| Tuesday October 10, 2017 | 8AM | Opening Meeting: Region 9- Cover: Offices Allegheny and West Almond /field sites <u>NYDEC & Staff</u> Review changes to the Facility Record Sheet (contact information, billing information, etc.) Discuss changes/improvements to the SFI Program, changes in operations, or changes in scope since the Re-certification audit Review NSF SFI Audit Procedures Discuss field site visit provisions and other logistical issues Verify effective implementation of any corrective action plans the previous NSF audit Check on status of OFI Review SFI Survey forms and confirm public report is available to public Review minutes of Management meetings Review Logo or Label use issues | KY |
| | 9:00-10:00 | SFI Objectives 1-15 (Documents/field) Review and finalize field sites at 9:00 am Forest Management Planning Forest Health and Productivity Protection and Maintenance of Water Resources Conservation and Biological Diversity Management of Visual Quality and Recreational Benefits Protection of Special Sites Efficient Use of Fiber Resources Recognize and respect Indigenous Peoples Rights Legal and Regulatory Compliance Forest Research, Science and Technology Training and Education Community Involvement and Landowner Outreach Public Land Management Responsibilities Communications and Public Reporting Management Review and Continual Improvement How these field sites fit into the SFI Multi-Site Requirements | KY |
| | 10am 12:00 | Field sites visited Allegheny and West Almond /field sites Lunch in the field | KY |



| | | | |
|-------------------------|--------------|---|-----------|
| | 12:30-4:00 | <p>Continued visiting field sites NSF auditor both in field with NYDEC Foresters (forest management activities, wildlife issues, invasive plants, road building/dozer operator interviews, inventory, forest health issues, recreation, and fire management if any, logger (active harvest site=interviews) PCT, tree planting (local/native), BMP, unique flora or fauna, and spray sites).</p> <p>SFI Indicators in the field continued</p> <p>Forest Management Planning</p> <p>Forest Health and Productivity</p> <p>Protection and Maintenance of Water Resources</p> <p>Conservation and Biological Diversity</p> <p>Management of Visual Quality and Recreational Benefits</p> <p>Protection of Special Sites</p> <p>Efficient Use of Fiber Resources</p> <p>Recognize and respect Indigenous Peoples Rights</p> <p>Legal and Regulatory Compliance</p> <p>Forest Research, Science and Technology</p> <p>Training and Education</p> <p>Community Involvement and Landowner Outreach</p> <p>Public Land Management Responsibilities</p> <p>Communications and Public Reporting</p> <p>Management Review and Continual Improvement</p> <p>Multi-site requirements</p> | KY |
| | 4:30pm | Daily debrief and drive Region 8 | |
| Wednesday Oct. 11, 2017 | 8 am | <p>8 am Opening Briefing and overview of Region 8-Cover: Office Bath and in the field (9 am Review and finalize field audit sites)</p> <p>field sites NSF auditor both in field with LV Foresters Possible SFI topics: (forest management activities, wildlife issues, invasive plants, road building/dozer operator interviews, inventory, forest health issues, recreation, and fire management if any, logger (active harvest site=interviews) PCT, tree planting (local/native), BMP, unique flora or fauna, and spray sites).</p> <p>SFI Indicators in the field continued</p> <p>Forest Management Planning</p> <p>Forest Health and Productivity</p> <p>Protection and Maintenance of Water Resources</p> <p>Conservation and Biological Diversity</p> <p>Management of Visual Quality and Recreational Benefits</p> <p>Protection of Special Sites</p> <p>Efficient Use of Fiber Resources</p> <p>Recognize and respect Indigenous Peoples Rights</p> <p>Legal and Regulatory Compliance</p> <p>Forest Research, Science and Technology</p> <p>Training and Education</p> <p>Community Involvement and Landowner Outreach</p> <p>Multisite requirements</p> | |
| | 9:30 - 12:00 | <p>Field sites visited Region 8-Cover: Office Bath field sites</p> <p>Lunch in the field</p> | KY /NYDEC |



| | | | |
|------------------------|--|---|---------|
| | 12:30-4:30 pm | <p>Continued visiting field sites NSF auditor both in field with NYDEC Foresters (forest management activities, wildlife issues, invasive plants, road building/dozer operator interviews, inventory, forest health issues, recreation, and fire management if any, logger (active harvest site=interviews) PCT, tree planting (local/native), BMP, unique flora or fauna, and spray sites).</p> <p>SFI Indicators in the field continued</p> <p>Forest Management Planning</p> <p>Forest Health and Productivity</p> <p>Protection and Maintenance of Water Resources</p> <p>Conservation and Biological Diversity</p> <p>Management of Visual Quality and Recreational Benefits</p> <p>Protection of Special Sites</p> <p>Efficient Use of Fiber Resources</p> <p>Recognize and respect Indigenous Peoples Rights</p> <p>Legal and Regulatory Compliance</p> <p>Forest Research, Science and Technology</p> <p>Training and Education</p> <p>Community Involvement and Landowner Outreach</p> <p>Public Land Management Responsibilities</p> <p>Communications and Public Reporting</p> <p>Management Review and Continual Improvement</p> <p>Multi-site requirements</p> <p>Daily debrief at 4:30 Region 7</p> | KY |
| Thursday Oct. 12, 2017 | 8 am | Brief opening meeting Region 7 and 6 -Cover: Office Sherburne and field (1/2 day) and Office Herkimer and field site visits (1/2 day) finalize field sites 9 am and head to field (Same SFI topics noted for previous regions above) | KY |
| | 9am-12 | Region 7 Sherburne field sites, lunch in the field and head to Region 6 Herkimer | KY /ALL |
| | 12:30-4:30 | Region 6 Herkimer field sites(Same SFI topics noted for previous regions above will be covered), daily debrief at 4:30 then drive to Region 4 | KY |
| Friday Oct. 13, 2017 | 8am - 12:00 Then 12:30pm - 4:30 pm | Brief opening meeting -Region 4 Cover: Office in Schenectady and field sites on the other side of the river. Lunch in the field about 12 - 12:30pm then resume field site visits (Same SFI topics noted for previous regions above will be covered) 4:30 pm daily debrief and then drive HM | KY |
| Monday Oct. 16, 2017 | 8am - 11am 11am-11:30 11:30-12pm | Interviews with Albany key staff and NYDEC leadership Prepare for closing meeting Closing with NYDEC | KY/ALL |



Appendix 2

SFI 2015-2019, Section 2: Forest Management Standard Audit Checklist

FRS#6L741, NYDEC

Date of audit(s): Oct 17, 2016 (half day), Oct 18 & 19, 2016 and Oct 20, 2016 (half day).

One Auditor on Project: Lead Auditor, Keri Yankus=KY

1.2 Additional Requirements

SFI Program Participants with fiber sourcing programs (acquisition of roundwood and field-manufactured or primary-mill residual chips, pulp and veneer to support a forest products facility), must also conform to the SFI 2015-2019 Fiber Sourcing Standard.

Use of the SFI on-product labels and claims shall follow Section 5 - Rules for Use of SFI On-Product Labels and Off-Product Marks as well as ISO 14020:2000.

☒ N/A ☐ Conformance ☐ Exceeds ☐ O.F.I. ☐ Major NC ☐ Minor NC

Audit Notes: NYDEC doesn't operate a fiber sourcing program

Objective 1 Forest Management Planning

To ensure forest management plans include long-term sustainable harvest levels and measures to avoid forest conversion.

Performance Measure 1.1

Program Participants shall ensure that forest management plans include long-term harvest levels that are sustainable and consistent with appropriate growth-and-yield models.

☐ N/A ☒ Conformance ☐ Exceeds ☐ O.F.I. ☐ Major NC ☐ Minor NC

Audit Notes: Forest Management Plan (State Unit Management Plans=UMP's) are in place and most are up to date and one identified behind.

1.1.1. Forest management planning at a level appropriate to the size and scale of the operation, including:

- a. a long-term resources analysis;
b. a periodic or ongoing forest inventory;
c. a land classification system;
d. biodiversity at landscape scales;
e. soils inventory and maps, where available;
f. access to growth-and-yield modeling capabilities;
g. up-to-date maps or a geographic information system (GIS);
h. recommended sustainable harvest levels for areas available for harvest; and
i. a review of non-timber issues (e.g., recreation, tourism, pilot projects and economic incentive programs to promote water protection, carbon storage, bioenergy feedstock production, or biological diversity conservation, or to address climate-induced ecosystem change).

☐ N/A ☒ Conformance ☐ Exceeds ☐ O.F.I. ☐ Major NC ☐ Minor NC

Audit Notes: Reviewed management plans (UMP's Keuka Lowlands) other State Forests: Pine Hill SF, South Valley SF, Elkdale SF and Swift Hill SF, Birdseye Hollow State Forest, South Bradford State Forest, Clark Hill State Forest Pittstown State Forest). Management plans for NYDEC include, and have included extensive sections a. thru i. Reviewed the "Strategic Plan for State Forest Management."

1.1.2. Documented current harvest trends fall within long-term sustainable levels identified in the forest management plan.

☐ N/A ☒ Conformance ☐ Exceeds ☐ O.F.I. ☐ Major NC ☐ Minor NC

Audit Notes: An internal process is SFID which uses a 15-year rotation which is documented and used in UMP planning.

1.1.3. A forest inventory system and a method to calculate growth and yield.

- N/A
 Conformance
 Exceeds
 O.F.I.
 Major NC
 Minor NC

Audit Notes: September 10, 2015 SUNY College of Environmental Science and Forestry

Department of Forest and Natural Resource Management Report- "Difference between tree size, volume or any other forest characteristics is divided by the number of years involved between two measurements to get the periodic annual increment (PAI) (Avery and Burkhart, 2002)." "Periodic annual increment (PAI) was calculated for each of the forest stands selected for the final analysis (i.e. stands with at least two measurements excluding the ones with zero measurements for both measurements). Saw timber MBF yield increment over the years was used in PAI estimation using following equation,

$$PAI_{hi} = \frac{(Y_{hi2} - Y_{hi1})}{(t_{hi2} - t_{hi1})}$$

where,

PAI_{hi} is PAI for stand i in stratum h, and

Y_{hi1} and Y_{hi2} are the yields for stand i in stratum h for years t_{hi1} and t_{hi2}

A total of 1813 stands were subdivided into two or more smaller stands between first and second measurements. These stands are represented as split stands (table1) for this analysis. Weighted mean (weight = acreage) of the smaller subparts were calculated as an estimate of second measurement for these split stands which was then used as a second measurement in the PAI equation." This will be followed up in the next audit cycle.

1.1.4. Periodic updates of forest inventory and recalculation of planned harvests to account for changes in growth due to productivity increases or decreases, including but not limited to: improved data, long-term drought, fertilization, climate change, changes in forest land ownership and tenure, or forest health.

- N/A
 Conformance
 Exceeds
 O.F.I.
 Major NC
 Minor NC

Audit Notes: Inventory is completed prior to the development of the unit management plan. Managers and field staff discussed the emphasis placed on inventory work. An internal process is SFID which uses a 15-year rotation.

1.1.5. Documentation of forest practices (e.g., planting, fertilization and thinning) consistent with assumptions in harvest plans.

- N/A
 Conformance
 Exceeds
 O.F.I.
 Major NC
 Minor NC

Audit Notes: Timber sale contract-planting, reported numbers of acres tracked. Individual stand prescriptions reviewed.

Performance Measure 1.2

Program Participants shall not convert one forest cover type to another forest cover type, unless in justified circumstances.

1.2.1. Program Participants shall not convert one forest cover type to another forest cover type, unless the conversion:

- a. Is in compliance with relevant national and regional policy and legislation related to land use and forest management; and
- b. Would not convert native forest types that are rare and ecologically significant at the landscape level or put any native forest types at risk of becoming rare; and
- c. Does not create significant long-term adverse impacts on Forests with Exceptional Conservation Value, old-growth forests, forests critical to threatened and endangered species, and special sites.

- N/A
 Conformance
 Exceeds
 O.F.I.
 Major NC
 Minor NC

Audit Notes: The current forest types of Pine Plantation from CCC are being convert back to the natural hardwood cover types. See notes.



-
- 1.2.2. Where a *Program Participant* intends to convert another *forest cover type*, an assessment considers:
- a. *Productivity* and *stand* quality conditions and impacts which may include social and economic values;
 - b. Specific ecosystem issues related to the site such as invasive species, insect or disease issues, riparian *protection* needs and others as appropriate to site including regeneration challenges; and
 - c. Ecological impacts of the conversion including a review at the site and *landscape* scale as well as consideration for any appropriate mitigation measures.
- N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Reviewed harvesting prescriptions that intended to convert from softwood cover type to a hardwood covert type, site conditions were reviewed and this was in align with current ecological impacts and the landscape. See notes.

Performance Measure 1.3

Program Participants shall not have within the scope of their certification to this *SFI Standard*, forest lands that have been converted to non-forest land use. Indicator:

- 1.3.1. Forest lands converted to other land uses shall not be certified to this *SFI Standard*. This does not apply to forest lands used for forest and *wildlife* management such as *wildlife* food plots or infrastructure such as forest roads, log processing areas, trails etc.
- N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NYDEC forest lands are not converted to other land uses.



Objective 2 Forest Health and Productivity

To ensure *long-term forest productivity*, carbon storage and *conservation* of forest resources through prompt *reforestation*, *afforestation*, *minimized chemical use*, *soil conservation*, and protecting forests from damaging agents.

Performance Measure 2.1

Program Participants shall promptly reforest after final harvest. Indicators:

2.1.1. Documented *reforestation* plans, including designation of all harvest areas for either natural, planted or direct seeded regeneration and prompt *reforestation*, unless delayed for site-specific environmental or *forest health* considerations or legal requirements, through *planting* within two years or two *planting* seasons, or by planned *natural regeneration* methods within five years.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: UMP's provide direction, harvest prescriptions contain information regarding reforestation- organization normally all harvest areas for natural regeneration but the organization monitors and if needed planting does occur. Annual State Forest and Tree Planting Report FY 2016 Region 8.

2.1.2. Clear criteria to judge adequate regeneration and appropriate actions to correct understocked areas and achieve acceptable species composition and stocking rates for *planting*, *direct seeding* and *natural regeneration*.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Individual stand prescriptions, visual walk through 3 years and prior to 5 years if not enough natural regeneration observed then a plan is formulated with appropriate actions taken with planting local nursery tree stock.

2.1.3. Plantings of exotic tree species should minimize risk to native ecosystems.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Confirmed on TRP visit Birdseye Hollow State Forest that no exotic tree species were planted in help of EAB stream restoration

2.1.4. *Protection* of desirable or planned advanced *natural regeneration* during harvest.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Observed on several active harvests in different regions that contractor and NYDEC foresters protected desirable or planned natural hardwood regeneration during the active harvests.

2.1.5. *Afforestation programs* that consider potential ecological impacts of the selection and *planting* of tree species in non-forested *landscapes*.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: No afforestation is being conducted.

Performance Measure 2.2

Program Participants shall *minimize* chemical use required to achieve management *objectives* while protecting employees, neighbors, the public and the environment, including *wildlife* and *aquatic habitats*. Indicators:

2.2.1. *Minimized* chemical use required to achieve management *objectives*.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Reviewed Document Record 8/31/2016 Pesticide Application Record for Perfect Circle Forestry applicator #C7626479 list chemicals used and how to achieve the management objectives with minimal chemical used for Madison Reforestation Area #12.

2.2.2. Use of least-toxic and narrowest-spectrum pesticides necessary to achieve management objectives.

- N/A
 Conformance
 Exceeds
 O.F.I.
 Major NC
 Minor NC

Audit Notes: Reviewed Document Record 8/31/2016 Pesticide Application Record for Perfect Circle Forestry applicator #C7626479 list chemicals used and how to achieve the management objective with minimal chemical used for Madison Reforestation Area #12. Reviewed 8 Annual State Forest Herbicide and Tree Planting Report. Checked Chemical Flammable Cabinets in several regions- quarter masters are assigned of checking and document status of chemical management.

2.2.3. Use of pesticides registered for the intended use and applied in accordance with label requirements.

- N/A
 Conformance
 Exceeds
 O.F.I.
 Major NC
 Minor NC

Audit Notes:

| Commercial name of pesticide/ herbicide | Active ingredient | Quantity applied annually (gallons) | Size of area treated annually (ac) | Reason for use |
|---|---|-------------------------------------|------------------------------------|---|
| Makaze | Glyphosate | 1.9875 | 5.3 | Weed control |
| Strategy | Clomazone + Ethalfluralin | 6 | 8 | Weed control |
| Quintec | Quinoline | 0.625 | 8 | Weed control |
| Outlook | Dimethenamid | 3.140625 | 33.5 | Weed control |
| Callisto | Mesotrione | 1.5703125 | 33.5 | Weed control |
| Radiant SC | Spinetram | 2.625 | 33.5 | Weed control |
| Accord XRT II | glyphosate | 96 | 522 | control beech, striped maple, ironwood, fern, giant hogweed and Japanese knotweed |
| Rodeo | glyphosate | 150 | 1236.7 | control beech, striped maple, ironwood, fern and black swallow-wort |
| Accord | glyphosate | 94 | 309.5 | control beech, ironwood, red maple, striped maple |
| Oust | sulformetron methyl | 7 | 364.5 | control beech, striped maple, and invasive species |
| Oust XP | Sulfometuron | 1 | 92.7 | Foliar spray to control NY and Hayscented Fern |
| Arsenal | imazapyr | 3 | 247.0 | control beech, striped maple, ironwood |
| Impel Basal Oil and Element 4 | triclopyr | 6 | 31.0 | control beech, striped maple, red maple, ironwood and fern |
| ELEMENT 4 | triclopyr | 3 | 24.0 | control beech |
| Garlon 4 | triclopyr | 4 | 21.0 | control beech, ironwood and striped maple |
| RoundUp Promax | glyphosate | 0.4 | 1.8 | control of invasive black swallow-wort |
| Tank mix of - Rodeo / Escort XP / Polaris carried in Thinvert RTU | glyphosate / metsulfuron methyl 2 / isopropylamine salt of imazapyr | 19 | 9.6 | control Japanese knotweed |
| Pathfinder II | Triclopyr | 71 | 32.0 | control beech |

2.2.4. The World Health Organization (WHO) type 1A and 1B pesticides shall be prohibited, except where no other viable alternative is available.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NYDEC has checked chemicals to ensure that none are on the WHO list. There is a new internal memo providing direction on checking chemicals. Memo sent to staff in January 2017. Staff were instructed that they are to ensure that chemicals on the WHO listing for Type 1 A and 1 B, the Stockholm Convention on Persistent Organic Pollutants (2001) listing and the FSC List of Highly Hazardous Pesticides are not to applied to state lands for any purpose. These list have been posted to our In-Site page for their reference.

2.2.5. Use of pesticides banned under the Stockholm Convention on Persistent Organic Pollutants (2001) shall be prohibited.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NYDEC has checked the FSC listing which covers an array of chemicals. Organizations has provided an internal memo providing direction on checking multiple lists of chemicals. Memo sent to staff in January 2017. Staff were instructed that they are to ensure that chemicals on the WHO listing for Type 1 A and 1 B, the Stockholm Convention on Persistent Organic Pollutants (2001) listing and the FSC List of Highly Hazardous Pesticides are not to applied to state lands for any purpose. These list have been posted to our In-Site page for their reference.

2.2.6. Use of *integrated pest management* where feasible.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Confirmed interagency integrated pest management occurs example where monitoring FTC, HWA, or EAB. Spray Hogweed

2.2.7. Supervision of forest chemical applications by state- or provincial-trained or certified applicators.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Confirmed NYDEC foresters for current certifications are certified applicators Bath Region. Confirmed documented paper work for a contactor (state trained and certified). Visited several field offices and the chemical storage areas used for chemical applications, see notes.

2.2.8. Use of management practices appropriate to the situation, for example:

- a. notification of adjoining landowners or nearby residents concerning applications and chemicals used;
- b. appropriate multilingual signs or oral warnings;
- c. control of public road access during and immediately after applications;
- d. designation of streamside and other needed buffer strips;
- e. use of positive shutoff and minimal-drift spray valves;
- f. aerial application of forest chemicals parallel to buffer zones to *minimize* drift;
- g. monitoring of water quality or safeguards to ensure proper equipment use and *protection* of streams, lakes and other water bodies;
- h. appropriate transportation and storage of chemicals;
- i. filing of required state or provincial reports; and/or
- j. use of methods to ensure *protection of threatened and endangered* species.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Reviewed Herbicide Application Plan a thru j.

Performance Measure 2.3

Program Participants shall implement forest management practices to protect and maintain forest and soil *productivity*. Indicators:

2.3.1. Process to identify soils vulnerable to compaction, and use of appropriate methods, including the use of soil maps where available, to avoid excessive soil disturbance.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: GIS data layer is checked with NRCS published soils maps are used in forest management activities.



2.3.2. Use of erosion control measures to *minimize* the loss of soil and site *productivity*.

- N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Active field sites visited confirmed that various level of erosion control measures were used- water bars, cross drains, bridge install, or corduroy wet areas to minimize loss of soil and site productivity. See note.

2.3.3. Post-harvest conditions conducive to maintaining site *productivity* (e.g., limited rutting, retained down woody debris, *minimized skid trails*).

- N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Confirmed by field observations that post-harvest conditions reflect efforts to maintain site productivity.

2.3.4. Retention of vigorous trees during partial harvesting, consistent with scientific silvicultural standards for the area.

- N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Confirmed by field observations that vigorous trees during various harvesting regimes were being retained.

2.3.5. Criteria that address harvesting and site preparation to protect soil *productivity*.

- N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Confirmed by field observations that various active sites visited that soil productivity was being protected in site preparation.

2.3.6. Road construction and skidding layout to *minimize* impacts to soil *productivity*.

- N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Confirmed by field observations that road construction and skidding layout with foresters and contractors layout minimize impacts to soil productivity.

Performance Measure 2.4

Program Participants shall manage so as to protect forests from damaging agents, such as environmentally or economically undesirable wildfire, pests, diseases and *invasive exotic plants and animals*, to maintain and improve *long-term forest health, productivity* and *economic viability*. Indicators:

2.4.1. *Program* to protect forests from damaging agents.

- N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Forest Tent Caterpillar, Hemlock Wooley Adelgid, Beach Bark Disease, & Emerald Ash Borer are currently being monitoring and there is concerns with EAB ash cover type.

2.4.2. Management to promote healthy and productive forest conditions to *minimize* susceptibility to damaging agents.

- N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Confirmed by field observations that forester are managing for forest condition and looking to minimize susceptibility to damaging agents - Isabel A. Munck USDA Forest Service made visit to several state forests to provide insight into forest conditions in Pine Plantations as it relates to damaging agents.

2.4.3. Participation in, and support of, fire and pest prevention and control *programs*.

- N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Rush Oak Openings Prescribed Burns FY 2016. 27.4 acres burned on 4/27/15, 43.8 Burned on 4/28/16 Region 8

Performance Measure 2.5

Program Participants that deploy improved planting stock, including varietal seedlings, shall use best scientific methods. Indicator:

2.5.1. *Program* for appropriate research, testing, evaluation and deployment of *improved planting stock*, including *varietal seedlings*.

- N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: State tree nursery will provide seedlings.

Objective 3 **Protection and Maintenance of Water Resources**

To protect the water quality of rivers, streams, lakes, *wetlands* and other water bodies through meeting or exceeding *best management practices*.

Performance Measure 3.1

Program Participants shall meet or exceed all applicable federal, provincial, state and local water quality laws, and meet or exceed *best management practices* developed under Canadian or U.S. Environmental Protection Agency–approved water quality *programs*.

Indicators:

3.1.1. *Program* to implement federal, state or provincial water quality *best management practices* during all phases of management activities.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Foresters and contactors followed legal requirements with the permits for bridge install and in most instances they implement BMP during all phases of management operations.

3.1.2. Contract provisions that specify conformance to *best management practices*.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Observed during the audit contact and BMP topics such as stump heights were not meeting contractor provisions. BMP's cross drain, temporary water and lack of water bar (two different sites in two different regions for water bars). These BMP topics were minor isolated incidents observed in the field. Auditor were unable to obtain documented information showing field foresters spoke to contractor asking them to address stump heights two times. Foresters in each region check to see if a logger is NY logger trained initially, however in some instances some foresters field files did not have this documented information showing status of logger training or that they rechecked during the active period of the contact. Minor NC: It's unclear across several Regions, measures taken by forestry staff to ensure contractor provisions are being met like stump heights or other BMP topics, or necessary contract required NY trained logger for the life of active contact.

3.1.3. Monitoring of overall *best management practices* implementation.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Auditor Reviewed a sample of hand written field notes in project files, however in some cases hand written field notes could not be provided or completion reports during the field audit. Minor NC: It's unclear how consistent BMP monitoring checks are occurring along with final completion reports to ensure overall of BMP implementation and effectiveness is occurring across all regions

Performance Measure 3.2

Program Participants shall implement water, *wetland* and *riparian protection* measures based on soil type, terrain, vegetation, ecological function, harvesting system, state *best management practices (BMPs)*, provincial guidelines and other applicable factors.

Indicators:

3.2.1. *Program* addressing management and *protection* of rivers, streams, lakes, *wetlands*, other water bodies and *riparian areas* during all phases of management, including the layout and construction of roads and *skid trails* to maintain water reach, flow and quality.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Observed during field site visits that stream side management zones are used to protect rivers, wetlands and other key water bodies.

3.2.2. Mapping of rivers, streams, lakes, *wetlands* and other water bodies as specified in state or provincial *best management practices* and, where appropriate, identification on the ground.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Observed during field visits and harvest plans include mapped water bodies



3.2.3. Document and implement plans to manage and protect rivers, streams, lakes, *wetlands*, other water bodies and *riparian areas*.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Harvest plans incorporate protection of various water bodies. Observed in several active harvested visited- bridge crossing

3.2.4. Plans that address wet-weather events in order to maintain water quality (e.g., *forest inventory* systems, wet-weather tracts, definitions of acceptable operating conditions).

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NYDEC has plans to address wet weather events (Nor ester and Micro burst). Foresters have identified wet weather tracts in each region visited.

Objective 4 Conservation of Biological Diversity

To manage the quality and distribution of *wildlife habitats* and contribute to the *conservation of biological diversity* by developing and implementing *stand-* and *landscape-level* measures that promote a diversity of types of *habitat* and successional stages, and the *conservation* of forest plants and animals, including *aquatic species*, *as well as threatened and endangered species*, *Forests with Exceptional Conservation Value*, *old-growth forests* and ecologically important sites.

Performance Measure 4.1

Program Participants shall conserve biological diversity. Indicators:

4.1.1. Program to incorporate the *conservation of native biological diversity*, including species, *wildlife habitats* and ecological community types at *stand* and *landscape* levels.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Field sites visited that foresters incorporate wildlife habitats such as item recognized on the Natural Heritage data base was the Coal Skink Habitat.

4.1.2. Development of criteria and implementation of practices, as guided by regionally based *best scientific information*, to retain *stand-level wildlife habitat* elements such as snags, stumps, mast trees, down woody debris, den trees and nest trees.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Active and inactive field sites visited in multiple regions observed that snags, stumps, mast trees and down woody debris, den trees were being left and implementing the state criteria.

4.1.3. Document diversity of *forest cover types* and age or size classes at the individual ownership or forest tenure level, and where credible data are available, at the *landscape* scale. Working individually or collaboratively to support diversity of *native forest cover types* and age or size classes that enhance *biological diversity* at the *landscape* scale.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: SPSFM and UMP's. Confirmed some RSAs are present in the regions visited. The NE cotton tail, has been documented as a species present at landscape scale and is dependent on the distribution of early sessional habitat.

4.1.4. Program Participants shall participate in or incorporate the results of state, provincial, or regional *conservation* planning and priority-setting efforts to conserve biological diversity and consider these efforts in forest management planning. Examples of credible priority-setting efforts include state *wildlife* action plans, state forest action plans, relevant *habitat conservation* plans or provincial *wildlife* recovery plans.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: State Wide Master Plan. Foresters are starting to incorporate the results of State Wildlife Action Plan information (such as the species assessments) into the initial phases of the UMP process and also in the field across several regions.

4.1.5. Program to address *conservation* of known sites with viable occurrences of significant species of concern.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: A new database that predicts sites that may include rare species and communities (PRO) is being used during the planning process.

4.1.6. Identification and *protection of non-forested wetlands*, including bogs, fens and marshes, and *vernal pools* of ecological significance.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NYDEC foresters identify non-forested areas including vernal pools of ecological significance in the field. This information is noted in the GIS data layers. Some field information is also captured in the field file folders. Walked a skid trail to a non-forest wetland that was protected on an active harvest.

4.1.7. Participation in *programs* and demonstration of activities as appropriate to limit the introduction, spread and impact of *invasive exotic plants and animals* that directly threaten or are likely to threaten *native* plant and animal communities.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Demonstrated management of an invasive species such as EAB on a TRP.

4.1.8. Consider the role of natural disturbances, including the use of prescribed or natural fire where appropriate, and *forest health* threats in relation to *biological diversity* when developing forest management plans.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Region 8 use of prescribed fire observed as prescribed in UMP's. Rush Oak Openings Prescribed Burns FY 4/27/15 27.4 acres and 4/28/16 43.8 acres burned.

Performance Measure 4.2

Program Participants shall protect threatened and endangered species, Forests with Exceptional Conservation Values (FECV) and old-growth forests. Indicators:

4.2.1. Program to protect threatened and endangered species.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: UMP's. NYDEC Foresters check the Natural Heritage data base and protect threatened and endangered species. NSF visited a potential old-growth site. Confirmed in field site visits and at the central office.

4.2.2. *Program* to locate and protect known sites flora and fauna associated with viable occurrences of *critically imperiled* and *imperiled* species and communities also known as *Forests with Exceptional Conservation Value*. Plans for *protection* may be developed independently or collaboratively, and may include *Program Participant* management, cooperation with other stakeholders, or use of easements, *conservation* land sales, exchanges, or other *conservation* strategies.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: UMP's. NYDEC Foresters check the Natural Heritage data base and protect threatened and endangered species.

4.2.3. Support of and participation in plans or *programs* for the *conservation* of *old-growth forests* in the region of ownership or forest tenure.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Confirmed with observations and documents that some regions have now generated a separate map or listing capturing possible old – growth forests with in the state land ownership.

Performance Measure 4.3

Program Participants shall manage ecologically important sites in a manner that takes into account their unique qualities. Indicators:

4.3.1. Use of information such as existing natural heritage data or expert advice in identifying or selecting ecologically important sites for *protection*.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Foresters interviewed reported the systematic use of the heritage database and consultation with Natural Heritage staff. Natural Heritage staff in the central office also confirmed that foresters will submit possible field observations for consideration.

4.3.2. Appropriate mapping, cataloging and management of identified ecologically important sites.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Currently over 725 point locations that are delineated on the ground by forestry/field staff representing any number of culturally significant/historic sites in our state land assets data set. GIS is checked with SFID and central office to ensure that current information is occurring for mapping, cataloging and management of identified ecologically important sites.

Performance Measure 4.4

Program Participants shall apply knowledge gained through research, science, technology and field experience to manage *wildlife habitat* and contribute to the *conservation of biological diversity*. Indicators:

- 4.4.1. Collection of information on *Forests with Exceptional Conservation Value* and other *biodiversity*-related data through *forest inventory* processes, mapping or participation in external *programs*, such as NatureServe, state or provincial heritage *programs*, or other credible systems. Such participation may include providing non-proprietary scientific information, time and assistance by staff, or in-kind or direct financial support.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: FECV and biodiversity is now in an inventory process in different categories in a natural heritage data base. Staff is now providing field input. The HCVF types (Rare Community, Special Treatment Area and Watershed Protection Areas) are each symbolized differently:

Rare Community is in red

Special Treatment Area is in purple

Watershed Protection Areas are in blue hashed pattern.

-
- 4.4.2. A methodology to incorporate research results and field applications of *biodiversity* and ecosystem research into forest management decisions.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: TRP's in each region were checked.



Objective 5 Management of Visual Quality and Recreational Benefits

To manage the visual impact of forest operations and provide recreational opportunities for the public.

Performance Measure 5.1

Program Participants shall manage the impact of harvesting on visual quality. Indicators:

5.1.1. Program to address visual quality management.

- N/A
- Conformance
- Exceeds
- O.F.I.
- Major NC
- Minor NC

Audit Notes: Field observation confirmed that visual quality considered in the field management.

5.1.2. Incorporation of aesthetic considerations in harvesting, road, landing design and management, and other management activities where visual impacts are a concern.

- N/A
- Conformance
- Exceeds
- O.F.I.
- Major NC
- Minor NC

Audit Notes: Field observations confirmed that there are aesthetic considerations in harvesting, road and landing design. Recreational management includes visual considerations. The NYDEC Division of Land and Forest has established and incorporated aesthetic considerations in various aspects of planning and management activities (harvesting, and landing design) to minimize visual impacts or concerns that is exceeds the standard.

Performance Measure 5.2

Program Participants shall manage the size, shape and placement of clearcut harvests. Indicators:

5.2.1. Average size of clearcut harvest areas does not exceed 120 acres (50 hectares), except when necessary to meet regulatory requirements, achieve ecological objectives or to respond to forest health emergencies or other natural catastrophes.

- N/A
- Conformance
- Exceeds
- O.F.I.
- Major NC
- Minor NC

Audit Notes: Checked at Albany office with GIS and SFID. SFID was updated Aug. 2016. SPSFM and SEQR thresholds for clear cut is (40 acres). Visited a 10-acre clear cut. See field notes

5.2.2. Documentation through internal records of clearcut size and the process for calculating average size.

- N/A
- Conformance
- Exceeds
- O.F.I.
- Major NC
- Minor NC

Audit Notes: Documented in regions and the information is then SFID Albany office.

Performance Measure 5.3

Program Participants shall adopt a green-up requirement or alternative methods that provide for visual quality. Indicators:

5.3.1. Program implementing the green-up requirement or alternative methods.

- N/A
- Conformance
- Exceeds
- O.F.I.
- Major NC
- Minor NC

Audit Notes: Sale completion reports.

5.3.2. Harvest area tracking system to demonstrate conformance with the green-up requirement or alternative methods.

- N/A
- Conformance
- Exceeds
- O.F.I.
- Major NC
- Minor NC

Audit Notes: Field offices check after harvest year(s) 1/3/5 to see how green-up requirements are being met. Will be followed during the 5 year audit cycle certificate.

5.3.3. Trees in clearcut harvest areas are at least 3 years old or 5 feet (1.5 meters) high at the desired level of stocking before adjacent areas are clearcut, or as appropriate to address operational and economic considerations, alternative methods to reach the performance measure are utilized by the Program Participant.

- N/A
- Conformance
- Exceeds
- O.F.I.
- Major NC
- Minor NC

Audit Notes: SFID. NYDEC foresters can plan and implement < 40acre clear cut. If clear cut is > 40 acres then approval is obtained. Field visit to a clear cut confirmed this process.



Performance Measure 5.4

Program Participants shall support and promote recreational opportunities for the public. Indicator:

5.4.1. Provide recreational opportunities for the public, where consistent with forest management *objectives*.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Recreational site visited during the audit were a handicap accessible road for hunting, fishing and hiking and a recreational area for horse trails. The NYDEC Division of Land and Forest has established an exemplary recreation program to allow multi-user access, while concur traditional forestry operations happen and excellent educational kiosk in recreational areas.

Objective 6 Protection of Special Sites

To manage lands that are geologically or *culturally important* in a manner that takes into account their unique qualities.

Performance Measure 6.1

Program Participants shall identify *special sites* and manage them in a manner appropriate for their unique features. Indicators:

6.1.1. Use of information such as existing natural heritage data, expert advice or stakeholder consultation in identifying or selecting *special sites* for *protection*.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Interviewed the state archeologist and confirmed through SHPO – required data base information mapped and stake holder consultation in identifying or selecting special site for protection is noted in the on line data base.

6.1.2. Appropriate mapping, cataloging and management of identified *special sites*.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Archaeological inventories maintained by the New York State Museum and Office of Parks, Recreation, and Historic Preservation are searched prior to site altering activities for identification/location of protected cultural resources on or near management units. UMP also identify known locations. Checked this process in the field (on active harvested visited. Forester and contractor protected a known special site which was identified by central office in Albany.

Objective 7 Efficient Use of Fiber Resources

To *minimize* waste and ensure the efficient use of fiber resources.

Performance Measure 7.1

Program Participants shall employ appropriate forest harvesting technology and in-woods manufacturing processes and practices to *minimize* waste and ensure efficient utilization of harvested trees, where consistent with other *SFI Standard objectives*. Indicator:

7.1.1. *Program* or monitoring system to ensure efficient utilization, which may include provisions to ensure:

- a. management of harvest residue (e.g., slash, limbs, tops) considers economic, social and environmental factors (e.g., organic and nutrient value to future forests and the potential of increased fuels build-up) and other utilization needs;
- b. training or incentives to encourage loggers to enhance utilization;
- c. exploration of markets for underutilized species and low-grade wood and alternative markets (e.g., bioenergy markets); or
- d. periodic inspections and reports noting utilization and product separation.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Confirmed by field site observations of active harvests that utilization is generally good, including efforts to separate saw logs, pulpwood, firewood and chips done by the contractor. The lump-sum sale method is exclusively employed; this method ensures that the timber purchaser has strong incentives to utilize the harvested trees fully, and removes the need for the NY DEC to monitor wood utilization. Some regions do not have the necessary markets thus it make it challenging for the contractor at times get full utilization.

Objective 8 Recognize and Respect *Indigenous Peoples'* Rights

To recognize and respect *Indigenous Peoples'* rights and traditional knowledge.

Performance Measure 8.1

Program Participants shall recognize and respect Indigenous Peoples' rights. Indicator:

8.1.1. *Program Participants* will provide a written *policy* acknowledging a commitment to recognize and respect the rights of *Indigenous Peoples*.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Reviewed the written documented policy CP-42 "Contact, Cooperation, and consultation with Indian Nations"

Performance Measure 8.2

Program Participants with forest *management responsibilities on public lands* shall confer with affected *Indigenous Peoples* with respect to sustainable forest management practices. Indicator:

8.2.1. *Program* that includes communicating with affected *Indigenous Peoples* to enable *Program Participants* to:

- a. understand and respect traditional forest-related knowledge;
- b. identify and protect spiritually, historically, or culturally important sites;
- c. address the use of non-timber forest products of value to Indigenous Peoples in areas where Program Participants have management responsibilities on public lands; and
- d. respond to Indigenous Peoples' inquiries and concerns received.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NYDEC policy, *Contact, Cooperation, and Consultation with Indian Nations (CP-42)*, requires that the NY DEC undertake good faith efforts to consult with Indian Nations on any Department decision or action which could foreseeably have Indian Nation implications. Albany provided evidence of an annual meeting showing commitment to building relationships with Indian Nations. For example, since 2015 the Office of Environmental Justice has held an Annual DEC/Indian Nations Leaders Meeting to discuss mutual interests. During the audit it was learned that the level of consultation with Indian Nations at the local level varies across the regions. For example, Region 6 staff confirmed that no effort was made to contact Indian Nations as part of developing the Oneida Hills UMP. Interviews with staff in other regions suggest that not all employees are aware of the requirement for consulting with Indian Nations on forest management planning.

Minor NC: It's unclear how NYDEC with forest management responsibilities on public lands shall confer with affected Indigenous Peoples with respect to sustainable forest management practices across all regions and local level a thru c

Performance Measure 8.3

Program Participants are encouraged to communicate with and shall respond to local *Indigenous Peoples* with respect to sustainable forest management practices on their private lands. Indicators:

8.3.1. *Program Participants* are aware of *traditional forest-related knowledge*, such as known cultural heritage sites, the use of wood in traditional buildings and crafts, and flora that may be used in cultural practices for food, ceremonies or medicine.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NYDEC is state land agency and doesn't own or manage private lands.

8.3.2. Respond to *Indigenous Peoples'* inquiries and concerns received.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: David E. Witt, Ph.D. -Indian Nations Affairs Coordinator, Office of Environmental Justice manages, responds to inquiries and concerns received. This was confirmed through a phone call and email dated 10/18/2017.

Objective 9 Legal and Regulatory Compliance

To comply with applicable federal, provincial, state and local laws and regulations.

Performance Measure 9.1

Program Participants shall comply with applicable federal, provincial, state and local *forestry* and related social and environmental laws and regulations. Indicators:

9.1.1. Access to relevant laws and regulations in appropriate locations.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Foresters confirmed they have access to relevant laws and regulations in the organization In-Site page for their reference.

9.1.2. System to achieve compliance with applicable federal, provincial, state, or local laws and regulations.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Observed numerous containers in exterior buildings/ garages at various regions, see notes. Chemicals stored with labeling, and SDS. Quarter master reports track to ensure organization is achieve compliance with federal, state and local laws and regulations as it relates to chemical management. Field visits on active harvests confirmed necessary permits for bridge installation with the contactor were available for review. Visited TRP that also had legal permits needed.

9.1.3. Demonstration of commitment to legal compliance through *available regulatory action information*.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Confirmed through field visits that organization is committed to legal compliance and voluntary BMP

Performance Measure 9.2

Program Participants shall take appropriate steps to comply with all applicable social laws at the federal, provincial, state and local levels in the country in which the *Program Participant* operates. Indicators:

9.2.1. Written *policy* demonstrating commitment to comply with social laws, such as those covering civil rights, equal employment opportunities, anti-discrimination and anti-harassment measures, workers' compensation, *Indigenous Peoples'* rights, workers' and communities' right to know, prevailing wages, workers' right to organize, and occupational health and safety.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Information contained in the Employee Handbook. Field observations confirmed numerous posters EEO, anti-harassment and anti-discrimination right to know, workers right to organize and OSHA were posted in each regional offices visited.

9.2.2. *Forestry enterprises* will respect the rights of workers and labor representatives in a manner that encompasses the intent of the International Labor Organization (ILO) core conventions.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Confirmed there were no ILO-related complaints.

Objective 10 Forestry Research, Science and Technology

To invest in *forestry* research, science and technology, upon which sustainable forest management decisions are based and broaden the awareness of *climate change* impacts on forests, *wildlife* and *biological diversity*.

Performance Measure 10.1

Program Participants shall individually and/or through cooperative efforts involving *SFI Implementation Committees*, associations or other partners provide in-kind support or funding for forest research to improve *forest health*, *productivity* and sustainable management of forest resources, and the environmental benefits and performance of forest products. Indicators:

10.1.1. Financial or in-kind support of research to address questions of relevance in the region of operations. Examples could include, but are not limited to, areas of forest *productivity*, water quality, biodiversity, community issues, or similar areas which build broader understanding of the benefits and impacts of forest management.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Confirmed research.

10.1.2. Research on genetically engineered trees via *forest tree biotechnology* shall adhere to all applicable federal, state, and provincial regulations and international protocols ratified by the United States and/or Canada depending on jurisdiction of management.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NYDEC does not allow GMO planting on State Forests due to FSC restrictions.

Performance Measure 10.2

Program Participants shall individually and/or through cooperative efforts involving *SFI Implementation Committees*, associations or other partners develop or use state, provincial or regional analyses in support of their *sustainable forestry programs*. Indicator:

10.2.1. Participation, individually and/or through cooperative efforts involving *SFI Implementation Committees* and/or associations at the national, state, provincial or regional level, in the development or use of some of the following:

- a. regeneration assessments;
- b. growth and drain assessments;
- c. *best management practices* implementation and conformance;
- d. *biodiversity conservation* information for family forest owners; and
- e. social, cultural or economic benefit assessments.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Strategic Plan for State Forest Management.

Performance Measure 10.3

Program Participants shall individually and/or through cooperative efforts involving *SFI Implementation Committees*, associations or other partners broaden the awareness of *climate change* impacts on forests, *wildlife* and *biological diversity*. Indicators:

10.3.1. Where available, monitor information generated from regional climate models on *long-term forest health*, *productivity* and *economic viability*.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Adirondack Research Consortium reports.

10.3.2. *Program Participants* are knowledgeable about *climate change* impacts on *wildlife*, *wildlife habitats* and *conservation of biological diversity* through international, national, regional or local *programs*.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Confirmed with field interviews in the regions foresters are knowledgeable about climate change impacts on Wildlife. Field visit to an active harvest were deer management study is ongoing.



Objective 11 Training and Education

To improve the implementation of *sustainable forestry* practices through appropriate training and education *programs*.

Performance Measure 11.1

Program Participants shall require appropriate training of personnel and contractors so that they are competent to fulfill their responsibilities under the *SFI 2015-2019 Forest Management Standard*. Indicators:

11.1.1. Written statement of commitment to the *SFI 2015-2019 Forest Management Standard* communicated throughout the organization, particularly to facility and woodland managers, and field foresters.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: The "Commitment to Forest Certification to the SFI and FSC Forest Management Standards" was not posted on In-site or circulated to regional staff, however most staff were aware unlike newly hired employees. Commissioner Seggos signed this commitment last August and he is fully supportive of our dual certification on State Forests. There is an opportunity to effectively communicate the signed *SFI 2015-2019 Forest Management Standard* commitment throughout all levels of the organization, especially to seasonal and temporary staff when onboarding occurs with the agency across all regions.

11.1.2. Assignment and understanding of roles and responsibilities for achieving *SFI 2015-2019 Forest Management Standard objectives*.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Interviews with Division of Forestry personnel with various duties (field foresters, managers, central office) confirmed understanding.

11.1.3. Staff education and training sufficient to their roles and responsibilities.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Personnel and contractors are required to be appropriately trained: foresters have college degrees (Associate's degree or BS degree in forestry); harvest contractors have NY Logger Training. Confirmed in an email that the Central office sent out webinar notices and other emails that were forwarded to regional staff over the past year letting them know about education/training opportunities.

11.1.4. Contractor education and training sufficient to their roles and responsibilities.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Interviewed contractors on active sale and they were current with NY logger training.

11.1.5. *Program Participants* shall have written agreements for the use of *qualified logging professionals* and/or *certified logging professionals* (where available) and/or *wood producers* that have completed training *programs* and are recognized as *qualified logging professionals*.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Revenue and local sales agreements include this requirement.

Performance Measure 11.2

Program Participants shall work individually and/or with *SFI Implementation Committees*, logging or *forestry* associations, or appropriate agencies or others in the *forestry* community to foster improvement in the professionalism of *wood producers*.
Indicators:

11.2.1. Participation in or support of *SFI Implementation Committees* to establish criteria and identify delivery mechanisms for *wood producer* training courses and periodic continuing education that address:

- a. awareness of sustainable forestry principles and the SFI program;
- b. best management practices, including streamside management and road construction, maintenance and retirement;
- c. reforestation, invasive exotic plants and animals, forest resource conservation, aesthetics and special sites;
- d. awareness of responsibilities under the U.S. Endangered Species Act, the Canadian Species at Risk Act, and other measures to protect wildlife habitat (e.g., Forests with Exceptional Conservation Value);
- e. awareness of rare forested natural communities as identified by provincial or state agencies, or by credible organizations such as NatureServe, The Nature Conservancy, etc.
- f. logging safety;
- g. U.S. Occupational Safety and Health Administration (OSHA) and Canadian Centre for Occupational Health and Safety (CCOHS) regulations, wage and hour rules, and other provincial, state and local employment laws;
- h. transportation issues;
- i. business management;
- j. public policy and outreach; and
- k. awareness of emerging technologies.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Confirmed involvement in the New York SFI Implementation Committee.

11.2.2. The *SIC*-approved *wood producer* training *programs* shall have a continuing education component with coursework that supports the current training *programs*, safety and the *principles* of *sustainable forestry*.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NYLT TLC requirements in Notice of Sale.

11.2.3. Participation in or support of *SFI Implementation Committees* to establish criteria for recognition of logger certification *programs*, where they exist, that include:

- a. completion of *SFI Implementation Committee* recognized logger training *programs* and meeting continuing education requirements of the training *program*;
- b. independent in-the-forest verification of conformance with the logger certification *program* standards;
- c. compliance with all applicable laws and regulations including responsibilities under the U.S. Endangered Species Act, the Canadian Species at Risk Act and other measures to protect *wildlife habitat*;
- d. use of *best management practices* to protect water quality;
- e. logging safety;
- f. compliance with acceptable *silviculture* and utilization standards;
- g. aesthetic management techniques employed where applicable; and
- h. adherence to a management or harvest plan that is site specific and agreed to by the forest landowner.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: NYDEC participates in the New York SFI Implementation Committee meetings that are generally held quarterly.

Objective 12 Community Involvement and Landowner Outreach

To broaden the practice of *sustainable forestry* through public outreach, education, and involvement, and to support the efforts of *SFI Implementation Committees*.

Performance Measure 12.1

Program Participants shall support and promote efforts by consulting foresters, state, provincial and federal agencies, state or local groups, professional societies, *conservation* organizations, *Indigenous Peoples* and governments, community groups, sporting organizations, labor, universities, extension agencies, the *American Tree Farm System*® and/or other landowner cooperative *programs* to apply *principles* of sustainable forest management. Indicators:

12.1.1. Support, including financial, for efforts of *SFI Implementation Committees*.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Confirmed active support and financial in the SFI implantation committee.

12.1.2. Support, individually or collaboratively, education and outreach to forest landowners describing the importance and providing implementation guidance on:

- a. best management practices;
- b. reforestation and afforestation;
- c. visual quality management;
- d. conservation objectives, such as critical wildlife habitat elements, biodiversity, threatened and endangered species, and Forests with Exceptional Conservation Value;
- e. management of harvest residue (e.g., slash, limbs, tops) considers economic, social, environmental factors (e.g., organic and nutrient value to future forests) and other utilization needs;
- f. control of invasive exotic plants and animals;
- g. characteristics of *special sites*; and
- h. reduction of wildfire risk.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Confirmed through TRP's as well as along with each region Foresters participate in education and outreach.

12.1.3. Participation in efforts to support or promote *conservation* of managed forests through voluntary market-based incentive *programs* such as current-use taxation *programs*, *Forest Legacy Program* or *conservation* easements.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Private Forest Reserves and 900,000 acres of DEC conservation easements. Interviews in regions visited confirmed protection of about 100,000 acres in conservation easement.

Performance Measure 12.2

Program Participants shall support and promote, at the state, provincial or other appropriate levels, mechanisms for public outreach, education and involvement related to sustainable forest management. Indicator:

12.2.1. Periodic educational opportunities promoting *sustainable forestry*, such as

- a. field tours, seminars, websites, webinars or workshops;
- b. educational trips;
- c. self-guided forest management trails;
- d. publication of articles, educational pamphlets or newsletters; or
- e. support for state, provincial, and local *forestry* organizations and soil and water *conservation* districts.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Different Forestry staff cover a) b) and d) throughout the year.



Performance Measure 12.3

Program Participants shall establish, at the state, provincial, or other appropriate levels, procedures to address concerns raised by loggers, consulting foresters, employees, unions, the public or other *Program Participants* regarding practices that appear inconsistent with the *SFI Standard principles and objectives*. Indicators:

12.3.1. Support for *SFI Implementation Committees* (e.g., toll-free numbers and other efforts) to address concerns about apparent nonconforming practices.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Checked and no known 1-800 complaints on the NYDEC and they support the NY SIC.

12.3.2. Process to receive and respond to public inquiries. *SFI Implementation Committees* shall submit data annually to *SFI Inc.* regarding concerns received and responses.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: This support is provided through the NY SFI Implementation Committee.



Objective 13 Public Land Management Responsibilities

To participate and implement sustainable forest management on *public lands*.

Performance Measure 13.1

Program Participants with forest *management responsibilities on public lands* shall participate in the development of *public land* planning and management processes. Indicators:

13.1.1. Involvement in *public land* planning and management activities with appropriate governmental entities and the public.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: The UMP Process includes opportunities for the public to comment.

13.1.2. Appropriate contact with local stakeholders over forest management issues through state, provincial, federal or independent collaboration.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: The UMP Process includes opportunities for the public to comment.



Objective 14 Communications and Public Reporting

To increase transparency and to annually report progress on conformance with the *SFI Forest Management Standard*.

Performance Measure 14.1

A *Program Participant* shall provide a summary audit report, prepared by the *certification body*, to *SFI Inc.* after the successful completion of a certification, recertification or surveillance audit to the *SFI 2015-2019 Forest Management Standard*. Indicator:

- 14.1.1. The summary audit report submitted by the *Program Participant* (one copy must be in English), shall include, at a minimum,
- a. a description of the audit process, *objectives* and scope;
 - b. a description of substitute *indicators*, if any, used in the audit and a rationale for each;
 - c. the name of *Program Participant* that was audited, including its *SFI* representative;
 - d. a general description of the *Program Participant's* forestland included in the audit;
 - e. the name of the *certification body* and *lead auditor* (names of the *audit team* members, including *technical experts* may be included at the discretion of the *audit team* and *Program Participant*);
 - f. the dates the audit was conducted and completed;
 - g. a summary of the findings, including general descriptions of evidence of conformity and any nonconformities and corrective action plans to address them, opportunities for improvement, and exceptional practices; and
 - h. the certification decision.

The summary audit report will be posted on the *SFI Inc.* website (www.sfiprogram.org) for public review.

- N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Included in the template for NSF's audit report; NSF provides the summary report within the audit report; report must be sent to SFI, Inc.

Performance Measure 14.2

Program Participants shall report annually to SFI Inc. on their conformance with the SFI 2015-2019 Forest Management Standard. Indicators:

14.2.1. Prompt response to the *SFI* annual progress report survey.

- N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Reviewed annual SFI progress report FY 16

14.2.2. Record keeping for all the categories of information needed for *SFI* annual progress report surveys.

- N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Most of the information for the categories of information needed for SFI annual progress reports is contained in the NYDEC GIS and spreadsheets.

14.2.3. Maintenance of copies of past survey reports to document progress and improvements to demonstrate conformance to the *SFI 2015-2019 Forest Management Standard*.

- N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Reviewed the SFI 2016 SFI annual progress report.

Objective 15 Management Review and Continual Improvement

To promote continual improvement in the practice of *sustainable forestry* by conducting a management review and monitoring performance.

Performance Measure 15.1

Program Participants shall establish a management review system to examine findings and progress in implementing the *SFI 2015-2019 Forest Management Standard*, to make appropriate improvements in *programs*, and to inform their employees of changes.

Indicators:

15.1.1 System to review commitments, *programs* and procedures to evaluate effectiveness.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: The system consists of day-to-day work by the Certification Coordinator, monthly reports to the Bureau Chief, discussions during conference calls with the regions, annual reports, and various meetings with managers.

15.1.2 System for collecting, reviewing, and reporting information to management regarding progress in achieving *SFI 2015-2019 Forest Management Standard objectives and performance measures*.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Collecting, reviewing and reporting information to management did take place in the 2017 Statewide Internal Audit Report. Reviewed the detailed internal management review and outcomes of the audit.

NYDEC Internally audited the Potsdam and Schenectady offices this year.

The past internal audits from 2013 -2016 are:

| Year | Internal Audit Locations |
|------|----------------------------------|
| 2016 | R3 (New Paltz), R5 (Warrensburg) |
| 2015 | R7 (Altmar), R8 (Bath) |
| 2014 | R7 (Cortland), R9 (W. Almond) |
| 2013 | R4 (Stamford), R6 (Lowville) |

15.1.3 Annual review of progress by management and determination of changes and improvements necessary to continually improve conformance to the *SFI 2015-2019 Forest Management Standard*.

N/A Conformance Exceeds O.F.I. Major NC Minor NC

Audit Notes: Annual review of progress by management and determination of changes and improvements was completed in the 2017 state wide internal review

(End)

Checklist for Section 9, Appendix 1: Audits of Multi-Site Organizations

3. Terms and Definitions

- 3.1 Organization:** The term organization is used to designate any company or other organization owning a management system subject to audit and certification.
- 3.2 Site:** A site is a permanent location where an organization carries out work or a service.
- 3.3 Multi-Site Organization:** An organization having an identified central function (hereafter referred to as a central office – but not necessarily the headquarters of the organization) at which certain activities are planned, controlled or managed and a network of local offices or branches (sites) at which such activities are fully or partially carried out.
- 3.4 Group Certification Organization:** A specific type of multi-site organization where forest owners, forest owners' organizations, forest managers, forest products manufacturers or forest products distributors without a pre-existing legal or contractual link can form a group for the purposes of achieving certification and gaining eligibility for a sampling approach to certification audits.
-

For audits of conformance with SFI Section 4 in the SFI 2015-2019 Standards and Rules document, multi-site organizations using either IAF-MD1 or alternate approaches to sampling shall ensure that all the relevant sites (including the central function) are subject to the organization's internal audit program and shall have been audited in accordance with that program prior to the certification body starting its assessment. (Section 9, Requirement 4.1.5 Audit Procedures)

Note: Communicate with NSF Project Manager to confirm.

Yes No N/A

Audit Notes: Confirmed with the NSF Project Manager that this is a multi-site client.

4.1 Eligibility Criteria / Method of Sampling (choose 1)

- Eligibility criteria established in IAF-MD1: **Use Sub-Checklist 9-1-A** below.
- Alternative Approaches to sampling provided for in Section 9, Subsection 5.2 of the Audit Procedures and Auditor Qualifications and Accreditation document: **Use Sub-Checklist 9-1-B** below.
-

Sub-Checklist 9-1-A: Eligibility Criteria Established in IAF-MD1

Applicable **Not Applicable**

4.1.1 Multi-site organizations using IAF-MD1 as the basis for sampling shall meet the eligibility criteria established in IAF-MD1, including, but not limited to, the following:

a. The processes at all sites have to be substantially of the same kind and have to be operated to similar methods and procedures.

Yes No N/A

Audit Notes: All sites are wholly owned by NYDEC which is a state agency. All the sites operated to similar methods and procedures.

b. The organization’s management system shall be under a centrally controlled and administered plan and be subject to central management review and all relative sites (including the central administration function) shall be subject to the organization’s internal audit program.

Yes No N/A

Audit Notes: Albany office oversees the Green Certification Program. This central office conducts an annual management review of all relative sites. Reviewed the recent internal audit September 2017.

c. It shall be demonstrated that the central office of the organization has established a management system in accordance with the SFI 2015-2019 Standards and that the whole organization meets the requirements of the standard.

Yes No N/A

Audit Notes: NYDEC demonstrated that the central office (Albany) has established a management system to the new SFI Standard. The regions visited in the sampling (Regions 3 & 5) help the organization meet the requirements of the standard.

d. The organization should demonstrate its ability to collect and analyze data (including, but not limited to, the items listed below) from all sites including the central office and its authority and also demonstrate its authority and ability to initiate organizational change if required:

- i. System documentation and system changes;
- ii. Management review;
- iii. Complaints;
- iv. Evaluation of corrective actions;
- v. Internal audit planning and evaluation of the results;
- vi. Changes to aspects and associated impacts for environmental management systems and
- vii. Different legal requirements.

Yes No N/A

Audit Notes: Multi-site criteria IAF=MDI 4.4.1 d) IV as it relates to “Internal Audit Team Charter and Internal Audit report”. There is an opportunity for addressing collection, analysis, and evaluation and finalization of internal observations identified in yearly audits for the multi-site criteria in audit report.

5.1 Sampling Approaches

5.1.1 Certification bodies auditing multi-site organizations using IAF -MD1 as the basis for sampling shall meet the sample selection and intensity criteria established in IAF -MD1. (Note: The Sampling requirements under IAF-MD1 are provided below in italics and using the numbering system from IAF-MD1)

Yes No N/A

Audit Notes: Based on a review of the applicable Sampling Requirements under IAF-MD1 as detailed below, the organization meets the sample selection and intensity criteria for MD1. Albany (central office) and various regions are audited each year.

Note: The Sampling Requirements under IAF-MD1 are provided; only the requirements which apply to the organization and which are mandatory ("must...") were included.

5. SAMPLING

5.1. Methodology

- 5.1.1. The sample should be partly selective based on the factors set out below and partly nonselective, and should result in a representative range of different sites being selected, without excluding the random element of sampling.
- 5.1.2. At least 25% of the sample should be selected at random.
- 5.1.3. Taking into account the provisions mentioned below, the remainder should be selected so that the differences among the sites selected over the period of validity of the certificate is as large as possible.

5.2. Size of Sample

- 5.2.1. The certification body shall have a documented procedure for determining the sample to be taken when auditing sites as part of the audits and certification of a multi-site organization. This should take into account all the factors described in this document.

- 5.2.2. The certification body shall have records on each application of multi-site sampling justifying it is operating in accordance with this document.

- 5.2.3. The following calculation is an example based on the example of a low to medium risk activity with less than 50 employees at each site. The minimum number of sites to be visited per audit is:

Initial audit: the size of the sample should be the square root of the number of remote sites: ($y=Mx$), rounded to the upper whole number.

Surveillance audit: the size of the annual sample should be the square root of the number of remote sites with 0.6 as a coefficient ($y=0.6 Mx$), rounded to the upper whole number.

Re-certification audit: the size of the sample should be the same as for an initial audit. Nevertheless, where the management system has proved to be effective over a period of three years, the size of the sample could be reduced by a factor 0.8, i.e.: ($y=0.8 Mx$), rounded to the upper whole number.

- 5.2.4. The certification body should define within its management system the risk levels of activities as applied above.
- 5.2.5. The central office shall be audited during every initial certification and recertification audit and at least annually as part of surveillance.
- 5.2.6. The size or frequency of the sample should be increased where the certification body's risk analysis of the activity covered by the management system subject to certification indicates special circumstances in respect of factors such as:
 - The size of the sites and number of employees (e.g. more than 50 employees on a site);
 - The complexity or risk level of the activity and of the management system;
 - Variations in working practices (e.g. shift working);
 - Variations in activities undertaken;
 - Significance and extent of aspects and associated impacts for environmental management systems (EMS);
 - Records of complaints and other relevant aspects of corrective and preventive action;
 - Any multinational aspects; and
 - Results of internal audits and management review.
- 5.2.7. When the organization has a hierarchical system of branches (e.g. head/central office, national offices, regional offices, local branches), the sampling model for initial audit as defined above applies to each level.

Example:

1 head office: visited at each audit cycle (initial or surveillance or recertification)

4 National offices: sample = 2: minimum 1 at random

27 regional offices: sample = 6: minimum 2 at random

1700 local branches: sample = 42: minimum 11 at random.

5.3. Audit Times

- 5.3.1. The audit time to spend for each individual site is another important element to consider, and the certification body shall be prepared to justify the time spent on multisite audits in terms of its overall policy for allocation of audit time.

-
- 5.3.2. The number of man-days per site, including the central office, should be calculated for each site using the most recently published IAF document for the calculation of man-days for the relevant standard.
 - 5.3.3. Reductions can be applied to take into account the clauses that are not relevant to the central office and/or the local sites. Reasons for the justification of such reductions shall be recorded by the certification body.

Note: *Sites which carry out the most or critical processes are not subject to reductions (clause 3.1.1).*

- 5.3.4. The total time expended on initial assessment and surveillance is the total sum of the time spent at each site plus the central office and should never be less than that which would have been calculated for the size and complexity of the operation if all the work had been undertaken at a single site (i.e. with all the employees of the company in the same site).

5.4. Additional Sites

- 5.4.1. On the application of a new group of sites to join an already certified multi-site network, each new group of sites should be considered as an independent set for the determination of the sample size. After inclusion of the new group in the certificate, the new sites should be cumulated to the previous ones for determining the sample size for future surveillance or recertification audits.

(END Sub-Checklist 9-1-A: Eligibility Criteria Established in IAF-MD1)

Field Notes

Region 9. Brief opening meeting held in the office. See the NSF audit attendance sheet.

Checked the flammable cabinet – Checks being made of the contents, SDS (MSDS) binder on top, items organized and labeled and forester labeled and quarantined the item that appeared in the cabinet from Wildlife Department. No issues.

Stop #1: Region 9 Stand #17 Pine Hill SF Stand Acreage 266 BA 115 TPA 128 Contract X010426 White Ash Salvage Revenue sale.

Active harvest job. Guthrie Lumber Company was the logger company that was awarded the bid. Road material brought on site to upgrade the prior skid trail into a haul road from the landing to the main road. 2 cross drain installed with some ditching to keep water off the newly built access. Some sediment in the cross drain no silt fencing or bales of hay in place as a preventative measure. NYDEC forester was going to contact logging company to get something installed to ensure that no further sediment would continue in the lower cross drain. Horse trail recreation consideration in the pre-planning phases- thus visual as ethics is a consideration along with the width of the trail amongst the active harvest. Stump heights per the contact language were an issue. Field monitoring site inspections were noted in the document in the forester field folder however no notation on the stump height issues discussed with the logger two times. Within the sale was a spray block for a release- For con was the contactor, 40 acres

Stop #2: South Valley State Forest X010432 Active Harvest, logger/contractor not on site Ash Salvage- bridge crossing over class c trout stream, silt fencing in place adjacent to the stream, reviewed the permit that the logger had to obtain, two ponds were established to help keep water off the newly established landing along with silt fencing and bales of hay installed. Cross drains installed, equipment on the landing, water bar discussion with BMP manual.

Stop #3: Elkdale State Forest X010420 Ash salvage, marked to cut, discussion on regeneration and SILVAH

Stop #4: Swift Hill State Allegany 19 Swift Hill State Forest 28 acres' larch sale. Over story removal with a clear cut- not cut area was oak pocket this was delineated in the GIS and was protected by the forester. B & L Logging – Seed tree left White Pine natural regeneration- unplanned stop

Stop #5: Swift Hill State Forest X010632 Allegany 19 Blow down salvage, Gut chess logging contractor awarded 9/21/2017 visual impacts a consideration with the trails system. No known EAB currently on the site

Day 2 Wed Oct. 11, 2017 Region 8 Bath office.

Brief opening meeting held in the office. See the NSF audit attendance sheet

Interviewed 2 new hires, Regional and Supervising Foresters, Field Foresters on the following topics in the office: Wildlife Action Plan located on the internal website(in-site) along with regulations and possible local ordinances, training records(several certificates), knowledge of the Written statement of commitment to the *SFI 2015-2019 Forest Management Standard* and how its communicated throughout the organization, chemical log books, herbicide plan and process, fire plans and applications with maps, logger training per contract provisions requirements, UMP status and the consultation that is conducted in the region, status of regeneration, boundary line management, and visited the garage storage to check on chemical management, spill kits and SDS(MSDS) binder.

Stop #1: (Temporary Removal Permit=TRP) good up to 5 years can be renewed on a short time if needed Site 1 – Birdseye Hollow State Forest (Stebuben Reforestation Area #8) cooperative with the Upper Susquehanna Coalition- legal areas that need was covered with this site was Article 15 Permit in the stream, Article 24, Permit from the Army Corp of Engineers, Permit for Gravel and a Drive way permit. Tree seedlings plants (species- Red Maple, Cotton Wood, Black Walnut and Sycamore) seedlings planted in containers was from the White Oak nursery. Across the road was stabilization to prevent flooding adjacent to the Senora Maintenance Facility

Stop #2: Senora Maintenance Facility (Bath forestry office)3 flammable Cabinets and equipment checked used for Japanese Knotweed Control spray or other applications- SDS book present and chemical cabinets well managed, clean and preventative measure in place to prevent further drips when doing the chemical transfer to the back pack sprayer. 7% Rodeo, 1% imazapyr 4oz \100 gallons' mixture for Escort, Mad dog glyphosate- discussions on PPE and BMP of tracking the chemical in storage and how much is sprayed in the field in each application. Checked certified applications licensure for Supervisor Forester and Field forester for the region. See details in the SFI matrix in chemicals

Stop #2: Reforestation Area #8 -planting to deal with ash killed by EAB second TRP closed- Deer browse was discussed with associated legal requirements

Stop #3: Stopped at Motorized access program with Disabilities for ATV by permit only, doctor note needed in order to gain access, then a permit is issued to recreational user for hunting and fishing. Gate & Signage in place. Adjacent to this access point a 20 year overs troy removal about 15 acres' crop tree release.

- Stop #4: EAB mortality over the 100 acres of wetland, High Conservation Forest was identified within the watershed- monitoring occurs. Since high mortality discussions on wildlife habitat such as pileated woodpeckers.
- Stop #5: Leased road to active gas pad 1.5 acres. Tails man Energy USA Inc. Reviewed the contract X198290 June 2, 2008 section j of document talked about the terms of production and article 13. We talked about land conversion for other aspects beyond typical forestry activities. Checked the current UMP page 276 talks about extraction from the surface and mineral – It was noted in a section of the UMP 17 that covered gas and mineral extractions.
- Stop #6: South Bradford State Forest: Sale was closed and clean up was completed for Stands B-5 and B-60 contract X0009931 cut to length operations, “all weather harvest road” had to be maintained and improved during active harvest. No issues noted while on site. Looked at BMP- skid trails, water bars, deer management internal study for regeneration deer enclosure. Residual trees standing no damage from logging. Patch Larch (b-5) component kept. Reviewed the prescription asked for final close out inspection.
- Stop #7: South Bradford- Sale is in prep. Trees marked. Reviewed prescription, site planning requires gas pipe line and close proximity to the gas well pad. Contact will have specific language on landing will have special mats applied to protect the gas pipe line. Forester checked the Natural Heritage Data base and Coal skink habitat and in the steep terrain rattle snake habitat was noted.
- Stop #8: Goundry Hill State Forest X010360 Sale -Schuyler Reforestation Area – Over story removal prescription, landing clean, steep terrain numerous water bar locations laid out by the forester for the logger to implement, walked over several constructed water bars. Natural Heritage data base provided a known location for the Coal Skink. Walked up slope noticed several tree tops throughout the harvest, this was in part of lack of market for utilization for the logger, however the area walked through some tops were not concentrated by moved in certain location- discussions on regeneration and deer management landscape corridor in the area being adjacent to private land ownership. Forester explained lack of markets in the region including local firewood. Forester also tops can help in reduction of deer browsing and can create wildlife habitat. View a root cellar and old foundation protected by the logger, all tops were away. Logger also respected the access to the adjacent landowner and the boundary line. Checked on status of logger training.
- Stop #8: X010546Mead’s Creek State Forest- Active harvest. Logger not on site Wagner Hardwood sub contracted to Chris Elliot- the logger. Heavy rains. Along the main skid trail rutting was present with soil impact, very minor siltation in undefined channel- logger was expected to corduroy the main skid trail – It was determined there was inadequate corduroy being applied on site per contact specifications. Two trees hung up at this same location which presented a hazard. Checked the boundary line trees marked were cut and dropped to the ground. Low stumps noted and no damage to residual standing trees. Forester showed notes for field communications with logger and upon return to Bath office the NYDEC forester contacted to the logger to discuss observed topics noted in the field during the audit.

Day 3 Thursday Oct. 12, 2017 Region 7 Sherburne Office

Brief opening meeting held in the office. See the NSF audit attendance sheet. Topics covered in office: acreage added to the region to be managed. Discussions of wood utilization and markets. HCVF pre harvest assessments, status of UMP’s, regeneration, inventory, boundary line maintenance, Wildlife- DMAP program- deer active, and Bats with known areas of hibernacula, invasive species, and contact specific language. Staffing changes with now several staff as seasonal forest technicians- Notable is the outreach conducted for a recent UMP drafting and public comments. Forester put together a field tour and each stop encouraged and documented input 15 to 20 people actively participated during the tour from different user groups. Reviewed documented agenda/slide presentation. Confirmed research on long pond. Field foresters spoke about the Bureau wide meeting held last year and the various topics covered. Interviewed 2 internal auditors.

- Stop #1: Moscow hills assembly area- recreation horseback riding, educational kiosk- Aesthetics was a consideration for a cleanup from a previous micro burst occurred at this location. Planting occurred of RM, WO, WP and BC. Winter is for a snow mobile trail for a different user group.
- Stop #2: Charles Baker Forest unplanned- Norway spruce salvage due to a micro burst. Forest Health and regeneration topics discussed. Known FTC in the area which was being monitored.
- Stop #3: Madison Reforestation Area- X010313 A-47 and A-49 Logger interviews topics covered. PPE, spill kit contact maps, BMP topics. Prescription reviewed, walked skid trail off another landing for this same harvest from where logger interview took place. Stream side management zone (SMZ) clearly marked and logger protected the wet areas on the job by not harvesting or not having any equipment in the zone. No rutting observed on main skid trail, however it was observed an inadequate temporary water bar was installed. Two field foresters noted and communicated this to the logger on the other landing improvements needed to be made on the temporary water bar installation. Stump heights low and no noticeable residual damage to trees left standing.

Stop #4: Beaver Creek State Forest-Temporary sign with both logo- Prescription is to conduct a forest type conversion and have it back hardwood.

Stop #5: Unplanned clear cut stop- Took top of larch out of stand- contractor Law Logging LLC. Wayne Law. Logger approached the forester to address avoidance of the sapling and pre- existing regeneration in the stand. Key access point horse trail went through the active sale. It was moved so that trail could be the primary skid trail for the clear cut. Horse trail was rerouted signage was present. Walked into the clear cut observed some regeneration. Discussion occurred with staff on monitoring for regeneration plots 3/5/10 time frame. Discussion occurred about logger contact language and issue of an untrained logger on NYDEC site- refer to SFI matrix

Stop #6: Madison Reforestation Area #12 Beaver Creek State Forest – Stand Diagnosis and Prescription reviewed along with Pre Harvest Regeneration plot tally forms for the packet of information forester presented. Walked into the mechanized thinning every 4 to 5 row thinned called adaptive management. Forest Health concerns associated with the Pine crowns, logger corduroy the low laying swale area. Water bars in place on either side of the swale- active recreational trail was closed with signage when active logging took place. Madison Application Plan reviewed and associated record – Pesticide Application record for contractor “perfect circle forestry” year 2016

Thursday still continued at different Region and field locations

Brief opening meeting at the Herkimer office Region 7 See NSF attendance sheet.

Checked flammable cabinets clean and organized, extra inventory of paint sitting in boxes above. No known herbicide stored on site. Topics covered in the Crown Vick car (motor pool vehicle) ride to the field site: Status of Herkimer of UMP Oneida Hills, Vienna Woods, Forty-Six Corners is finished. Mohawk and Adirondack Hills- topics still to consider is ATV proposed trails, Re inventory for Forty-six corners and Rome Sand Plains. UMP planning outreach included Press release to Albany, adjourning landowner letter, town hall meetings, sportsman listing and Ingenious people were not included in the UMP for Oneida Hills for scoping.

Field site visit contract #X010224 Oneida RA #13, Stand A-6 reviewed the notice of the sale of forest products.

G & C Martin Logging Inc. logger is Carl Martin- NY Logger trained. Active sale but logger had not returned on site since the various external communication occurred.

Reviewed documented letter notice to correct Oneida RA#13 stand A-6 contractor X010224

Areas covered in the document: Log Landing shall be stored or piled on this roadway and not logging equipment shall be allowed to cross, skid logs or park on the roadways, effective was skidding on the roadway was to stop.

Within 7 calendar day of receipt of this notices, the logs and bull doze are to be moved to the designated log landing.

Contractor shall prevent ruts greater than 18 inches in depth on the access system during active timber harvesting. 3 to 4-foot-deep ruts extending for about 50 yards in length. Harvesting may begin in any block as long as it is in compliance with the payment schedule. Letter was signed with Senior Forester.

Visited the site Webster Hill State Forest- X010224 Oneida 13 Stand A-stand acreage 91.5 total Basal Area 165 total trees /acre 254

Technical Guidance used and adjustments made for local conditions and experience, Matrix forests block s

Management Even aged softwood- The retention Policy states the two snags per acre and three cavity trees per acre that are 11” - 177 “ cavity tree per acre that are 18 “ DBH or larger be retained.

Possible re generation black cherry and hard maple. Walked on the landing and along a skid trail to into the block to confirm the documented findings from the field forester for contactor lack of performance.

Friday October 13, 2017 Region 4 Schenectady Office

Brief opening held see NSF attendance see. Topics covered- UMP status, internal audit and charter, new employee training, chemical management, HCVF, contactor and field forester monitoring of site visits, and wood markets in the area.

Stop #1: Pittstown State Forest Active Timber Sale- Revenue sale X009985 Logger interviewed-Henry Ruebel Logging and Trucking, NY Logger Trained and MA training certificates current and supplied by the logger on site. Logger shared communications between forester and the job. Provided a map that covers sensitive areas, T& E, areas to be harvested, boundary lines and location of the landings, and skid trails. Partial completed harvest; cut and squirt for beech for maple to grow on site. Log landing clean and the logger used the matting under the rock that was brought in on site. Once the logging landing is closed out, proposed a future parking site for recreation. Temporary water bars in place. Checked the temporary bridge crossing, bumper trees used, no sediment in the waterway, Permit posted on the tree (#4-3836-00100-000002 expires 6/23/2020

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- Stop #2: Pittstown State Forest Timber Sale- same logger as noted as above, went to the landing, equipment on site- no issues, logs separated for wood marketing by the logger. Walked steep terrain skid trails crossed three areas where the forester identified possible areas where logger had to install water bars, protected a rock wall that was throughout the job, no residual damage to the standing trees, and BMP were applied. Other auditor checked the boundary line to see if it was marked confirmed that no trees were harvested on the other side of the property. No field notes of weekly BMP checks in forestry field folders
- Stop #3: Timber Sale closed 5/1/2009 47 acres' northern hardwood sale, even aged management, unable to obtain a completion report per internal process.
- Stop #4: Pittstown State Hill top trail- Volunteer Stewardship Agreement with the Saratoga Mountain Bike Association, information on the Kiosk at SF entrance- multiple user groups including a mountain bike trail. Visual considerations for the entrance and the layout of the trail
- Stop #5: Tibbits State Forest: log landing adjacent to the State Route 7- high use of the roadway. Contract provisions specified the size specification of the log landing. Forester and Logger consider visual impacts and applied aesthetics considerations in all phases of the operations. Very large water bars throughout the sale appropriate due to steep terrain and state BMP requirements. Two temporary bridge crossing was used and pulled as part of the required closeout. Asked for close out inspection see SFI matrix. Forester communicated that a significant weather event occurred (7 inches of rain in an hour). Discussion occurred about climate change.
- Stop #6: Tibbits State Forest: Active Harvest- equipment on the landing leaking but logger/operator had it in containment mode, no leakage on soil or landing. Small parking lot adjacent to private ownership. Signage present. Weekly checks by the forester but not documented see SFI matrix. Power Line in the sale with a right away crossing- water bar installation was supposed to occur with the power company contractor on main access road but was not completed. Logger expectation when sale closure happens is to now install these water bars. Invasive species adjacent to the sale but not currently in the woods. Tibbits Trails sign posted for temporary trail closure while active harvest is ongoing. Rock wall was protected and walked the skid trail and temporary water bar in place in lower area flagged by the field forester. Recreation to the area is hikers and hunters.

Appendix 3

New York State Department of Environmental Conservation (NYDEC) 2017 SFI Forest Management Public Summary Report

Introduction

The Green Certification Program of the New York State Department of Environmental Conservation (DEC), Division of Lands and Forests, Bureau of State Land Management (BSLM) has demonstrated conformance with the SFI 2015-2019 Standard and Rules, Section 2 – Forest Management Standard, and multi-site requirements in IAF-MD1 according to the NSF Certification Process.

The DEC Division of Lands and Forests is responsible for New York’s extensive system of forest preserves, support for good management of private lands, real property services including handling property conveyances for varied categories of lands (fee and easement), and the management of State Forests. The DEC Green Certification Program is managed by Josh Borst, Green Certification Coordinator. The Division and Bureau are incorporated within the DEC, run by an appointed DEC Commissioner. Appointees with direct line authority over the implementation of land management programs also include two Deputy Commissioners and 7 Regional Directors.

Under the New York State Department of Environmental Conservation (DEC) Commissioner Basil Seggos, the main offices with decision making responsibility, planning and direction for the management of State Forests within the scope of this review are outlined below:

- 1) Office of Natural Resources – Kathleen Moser, Deputy Commissioner
 - a. Division of Lands and Forests – Robert Davies, Director
 - i. Bureau of Forest Resource Management – Robert Messenger, Chief
 1. State Forest Section – Vacant, Section Chief
 - a. Green Certification Coordinator – Josh Borst

Additional resources and administrative assistance for State Forest management may also come from the following Offices, Divisions and Bureaus as listed and explained below:

- 2) Office of Natural Resources – Kathleen Moser, Deputy Commissioner
 - a. Division of Lands and Forests – Robert Davies, Director
 - i. Bureau of Real Property – Robert A. Burgher, Superintendent
(Responsible for land acquisition program and conducting land surveys)
 - b. Division of Fish and Wildlife – Tony Wilkinson, Director
(State Land Foresters rely on this Divisions expertise when developing policy and management decisions on State Forests)
- 3) Office of Regional Affairs & Permitting – Christian Ballantyne, Assistant Commissioner
 - a. Region 3-9 – Regional Directors
 - i. Natural Resources 3-9 – Natural Resource Supervisors
 1. Forestry 3-9 – Regional Forester
 - a. State Land Foresters
(Regional supervision of State Land Foresters)
- 4) Office of Public Protection – Christopher Welch, Assistant Commissioner
 - a. Division of Forest Protection & Fire Management – Eric Lahr, Director
 - i. Forest Rangers by Region
(Responsible for enforcement of the Environmental Conservation Law on State Forests)
- 5) Office of Administration – Jeffrey Stefanko, Deputy Commissioner
 - a. Division of Operations – Mark Malinoski, Director
 - i. Bureau of Maintenance & Technical Services – Roland Ozols, Chief
(Perform construction and maintenance on State Forests as requested by the State Land Foresters and develop policy/technical specifications for bridges, and dams.)

“The Division’s other three bureaus manage and protect the 2.7 million acre Adirondack Forest Preserve and the 288,000 acre Catskill Forest Preserve; promote good forest stewardship practices among private landowners, communities and the forest industry; and handle all land conveyance transactions for the Department.” Source: DEC Web site.

The BSLM has primary responsibility for the management of the resources on State Forests, including the harvesting and sale of State-owned timber. The BSLM manages approximately 789,339 acres of land. Certification pertains to 780,849 acres of State Forests in Regions 3-9.

Lands classified as State Forests include lands purchased under legislative authority that set up three broad programs: reforestation lands, multiple-use lands, and unique areas. Reforestation lands make up the majority of the state forest system. They are described as “... properties are to be forever devoted to ‘reforestation and the establishment and maintenance thereon of forests for watershed protection, the production of timber, and for recreation and kindred purposes.’ This broad program is authorized under Article 9, Title 5 of the Environmental Conservation Law.”

Source: <http://www.dec.ny.gov/lands/4982.html>

Multiple-use lands were purchased for conservation and development of natural resources, including preservation of scenic areas, watershed protection, forestry, and recreation under authority of the “Park and Recreation Land Acquisition Act of 1960” and the “Environmental Quality Bond Acts” of 1972 and 1986. Unique areas were purchased under the same authority, but are designated for management to preserve their special features, and not likely to receive timber management beyond measures to preserve important vegetation communities

The audit was performed by NSF on October 10-13 and October 16, 2017 by an audit team headed by Keri Yankus, SFI Lead Auditor. The audit was conducted in conjunction with an FSC FM audit and the FSC audit team members included Beth Jacqumain, FSC Lead Auditor and, Team Auditor was Stefan Bergmann. Audit team members fulfill the qualification criteria for conducting audits contained in SFI 2015-2019 Standards and Rules, Section 9 - Procedures and Auditor Qualifications and Accreditation. The NYDEC Green Certification Coordinator is Josh Borst.

Audit Process

The objective of the audit was to assess conformance of the firm’s SFI Program to the requirements of the SFI 2015-2019 Standard and Rules, Section 2 – Forest Management. The scope of the audit included forest management operations. Forest practices that were the focus of field inspections included those that have been under active management over the planning period of the past 3 years. In addition, practices conducted earlier were also reviewed as appropriate (regeneration and BMP issues, for example), SFI obligations to promote sustainable forestry practices, to seek legal compliance, and to incorporate continual improvement systems were also within the scope of the audit.

Several of the SFI Section 2 requirements were outside of the scope of NYDEC SFI program and were excluded from the scope of the SFI Certification Audit as follows: Performance Measures Excluded: 1.2, 2.1.5, and 8.3. No indicators were modified.

The audit was governed by a detailed audit plan designed to enable the audit team to efficiently determine conformance with the applicable SFI requirements. The plan provided for the assembly and review of audit evidence consisting of documents, interviews, and on-site inspections of ongoing or completed forest practices. NSF used a formal planning process to confirm the scope of the audit, review the SFI Indicators and evidence to be used to assess conformance, verify that NYDEC was prepared to proceed to Surveillance Audit, and to prepare a detailed audit plan. NSF then conducted the Certification Audit of conformance to the SFI, Section 2. A report was prepared and final approval was done by an independent Certification Board member assigned by NSF. Follow-up or Surveillance Audits are required by SFI, Section 9. The first Surveillance Audit is scheduled for week of September 10, 2018.

The multi-site certificate covers 7 different regions: 9, 8, 7, 6, 5, 4 & 3, including the central office located in downtown Albany, NY. The 2017 audit included office reviews in the following regions 9 (Allegany, NY), 8 (Bath, NY), 7 (Sherburne, NY), 6 (Herkimer, NY) and 4 (Schenectady, NY) and the central office located in Albany, NY. Field visits were conducted in 5 out of a total of 7 regions. This sample size was determined using the guidelines set forth in IAF-MD1. The regions were selected based on a date rotation of total 7 regions. Approximately half of the field sites visited were randomly sampled. Within the 5 selected regions NSF’s lead auditor selected field sites for inspection based upon the risk of environmental impact, likelihood of occurrence, special features, and other criteria outlined in NSF’s protocols and procedures. 6 field offices, 1 central office and 28 field sites were visited. The 28 field sites consisting of the 5 active timber harvests (selective, even aged softwood, hardwood thinning, hardwood even aged, salvage), 2 clear cuts, 1 Norway spruce salvage, 1 conversion softwood to hardwood, 1 over story removal, 1 recently closed sale with wildlife considerations, 1 gas and mineral site, 1 Emerald Ash Borer with High Conservation Forest, 2 Reforestation tree plantings, 3 Ash salvage harvests, 3 recreation sites, 4 inactive harvests, 2 cultural resources, 1 bridge crossing. There were also several roads, several smaller road-trail/stream crossings with cross drains and BMP’s being applied. The Strategic Plan and UMP for NYDEC associated inventory and growth data as well as harvest-related planning documents are used to ensure that plans (Unit Management Plans)

include long term harvest level and consistent with the growth and yield model generated(Sept 2015) updated PAI report from SUNY ESF.

During the audit NSF reviewed a sample of the written documentation assembled to provide objective evidence of conformance. NSF also selected and interviewed stakeholders such as contract loggers, landowners and other interested parties, and interviewed employees within the organization to confirm that the SFI Standard was understood and actively implemented.

The possible findings of the audit included Full Conformance, Major Non-conformance, Minor Non-conformance, Opportunities for Improvement, and Practices that Exceeded the Basic Requirements of the Standard.

2017 Audit Findings

NYDEC was found to be in conformance with the standard, as NSF determined that there were three new non-conformances. Two opportunities for improvement were identified. This finding does not indicate a current deficiency, but served to alert New York DEC to an area that could be strengthened or which could merit future attention

Minor nonconformance(s):

3.1.2. Contract provisions that specify conformance to *best management practices*.

Several, minor isolated BMP topics were observed in the field. Contact provisions such as stump heights, and BMP topics including cross drains, temporary water bars and lack of water bar (two different sites in two different regions for water bars) were not always met. Auditors were unable to obtain documented information two times showing field foresters spoke to contractors asking them to address stump heights. Foresters in each region check to see if a logger is NY logger trained initially. In some instances some forester's field files did not have this documented information showing status of logger training or that they rechecked during the active period of the contact. It is unclear across several regions whether measures taken by forestry staff to ensure contractor provisions like stump heights, other BMP topics, or the use of a NY-trained logger for the life of active contact, are effective.

3.1.3. Monitoring of overall *best management practices* implementation.

Auditor reviewed a sample of hand written field notes in project files, however in some cases hand written field notes or completion reports could not be provided during the field audit. It is unclear if consistent BMP monitoring checks or final completion reports are occurring to ensure effectiveness of BMP implementation across all regions.

8.2.1. *Program* that includes communicating with affected *Indigenous Peoples* to enable *Program Participants* to:

- a. understand and respect traditional forest-related knowledge;
- b. identify and protect spiritually, historically, or culturally important sites;
- c. address the use of non-timber forest products of value to Indigenous Peoples in areas where Program Participants have management responsibilities on public lands; and
- d. respond to Indigenous Peoples' inquiries and concerns received.

Evidence was not provided that NYDEC with forest management responsibilities on public lands consistently confer with affected Indigenous Peoples with respect to sustainable forest management practices across all regions.

NYDEC policy, Contact, Cooperation, and Consultation with Indian Nations (CP-42), requires that the NY DEC undertake good faith efforts to consult with Indian Nations on any Department decision or action which could foreseeably have Indian Nation implications. Albany provided evidence of an annual meeting showing commitment to building relationships with Indian Nations. For example, since 2015 the Office of Environmental Justice has held an Annual DEC/Indian Nations Leaders Meeting to discuss mutual interests. During the audit it was learned that the level of consultation with Indian Nations at the local level varies across the regions. For example, Region 6 staff confirmed that no effort was made to contact Indian Nations as part of developing the Oneida Hills UMP.

Interviews with staff in other regions suggest that not all employees are aware of the requirement for consulting with Indian Nations on forest management planning.

Opportunity for Improvement(s):

Multi-site criteria IAF=MDI 4.4.1 d as it relates to "Internal Audit Team Charter and Internal Audit report".

There is an opportunity for addressing collection, analysis, and evaluation and finalization of internal observations identified in yearly audits for the multi-site criteria in audit report.

11.1.1. Written statement of commitment to the *SFI 2015-2019 Forest Management Standard* communicated throughout the organization, particularly to facility and woodland managers, and field foresters.

There is an opportunity to effectively communicate the signed *SFI 2015-2019 Forest Management Standard* commitment throughout all levels of the organization, especially to seasonal and temporary staff when onboarding occurs with the agency in each of the regions.

NSF also identified the following areas where forestry practice and operation of NYDEC exceed the basic requirement of the SFI Standard:

5.4.1. Provide recreational opportunities for the public, where consistent with forest management *objectives*.

The NYDEC Division of Land and Forest has established an exemplary recreation program to allow multi-user access, while concurrent traditional forestry operations happen and excellent educational kiosks in recreational areas.

5.1.2. Incorporation of aesthetic considerations in harvesting, road, landing design and management, and other management activities where visual impacts are a concern.

The NYDEC Division of Land and Forest has established and incorporated aesthetic considerations in various aspects of planning and management activities (harvesting, and landing design) to minimize visual impacts or concerns).

2016 Audit Findings and Their Resolution

Major Non-conformance Resolved:

15.1.2 System for collecting, reviewing, and reporting information to management regarding progress in achieving *SFI 2015-2019 Forest Management Standard objectives and performance measures*. 15.1.3 Annual review of progress by management and determination of changes and improvements necessary to continually improve conformance to the *SFI 2015-2019 Forest Management Standard*. Reporting of information to management regarding progress of the SFI program status did occur along with reporting of the information. The management determined changes and improvements necessary to make to continually improve the program since the last audit. Full implementation and effectiveness occurred and NSF conducted a closure.

Minor Non-conformances Resolved:

9.1.2. System to achieve compliance with applicable federal, provincial, state, or local laws and regulations.

There is a system in place to achieve compliance with applicable federal, provincial state or local laws and regulations as it relates to chemical checks. Full implementation and effectiveness occurred and NSF closed this finding.

4.1.5 Program to address conservation of known sites with viable occurrences of significant species of concern.

Confirmed that the organization has developed a HCVF monitoring protocol and methodology as it relates to High Conservation Value Forests (HCVF) with in all regions in cooperation with the New York Natural Heritage Program. Full implementation and effectiveness occurred and NSF closed this finding.

Multi-site criteria IAF=MDI 4.4.1 d.: There is minor non-conformance to "Internal Audit Team Charter and Executive Review Process" for addressing collection, analysis, and evaluation of corrective actions identified in yearly audits for the multi-site criteria. "Internal Audit Team Charter Executive Review Process" was updated for collection, analysis, and evaluation of corrective actions identified in yearly audits for the multi-site criteria and observed document evidence in audit report and confirmed through several internal auditor interviews across several regions. Full implementation and effectiveness occurred and NSF closed this finding.

2016 Opportunities for Improvement Resolved:

Regions are starting to consider results of the State Wildlife Action Plan into initial phases in the UMP Process in some of the regions.

The organization has new internal policy in place to forester(s) to check for chemical being used against the Stockholm Convention on Persistent Organic Pollutants (2001) listing.

Certain regions are actively capturing fire and pest prevention and control programs information, and now updating information into SFID while in the field.

General Description of Evidence of Conformity

NSF's audit team used a variety of evidence to determine conformance. A general description of this evidence is provided below, organized by SFI Objective.

Objective 1 Forest Management Planning

To ensure forest management plans include long-term sustainable harvest levels and measures to avoid forest conversion.

Summary of Evidence: The Strategic Plan and UMP for NYDEC and supporting documentation and the associated inventory and growth data as well as harvest-related planning documents were the key evidence of conformance.

Objective 2 Forest Health and Productivity

To ensure long-term forest productivity, carbon storage and conservation of forest resources through prompt reforestation, afforestation, minimized chemical use, soil conservation, and protecting forests from damaging agents.

Summary of Evidence: Field observations and associated records were used to confirm practices. NYDEC has programs for reforestation, for protection against common insects and diseases and wildfire, and for careful management of activities which could potentially impact soil and long-term productivity. Harvests are carefully planned, with winter logging or processor systems used on sensitive soils.

Objective 3 Protection and Maintenance of Water Resources

To protect the water quality of rivers, streams, lakes, wetlands and other water bodies through meeting or exceeding best management practices.

Summary of Evidence: Field observations of a range of sites were the key evidence. During inspections of completed harvests auditors reviewed measures implemented to protect water resources. Compliance with NY BMP's for the protection of these features provided additional evidence.

Objective 4 Conservation of Biological Diversity

To manage the quality and distribution of wildlife habitats and contribute to the conservation of biological diversity by developing and implementing stand- and landscape-level measures that promote a diversity of types of habitat and successional stages, and the conservation of forest plants and animals, including aquatic species, as well as threatened and endangered species, Forests with Exceptional Conservation Value, old-growth forests and ecologically important sites.

Summary of Evidence: Field observations, written plans and policies, and regular staff involvement in conferences and workshops that cover scientific advances were the evidence used to assess the requirements involved biodiversity conservation.

Objective 5 Management of Visual Quality and Recreational Benefits

To manage the visual impact of forest operations and provide recreational opportunities for the public.

Summary of Evidence: Field observations of completed operations and policies/procedures for visual quality were assessed during the evaluation. Further involvement with the multi user recreational groups helped confirm a strong recreation program.

Objective 6 Protection of Special Sites

To manage lands that are geologically or culturally important in a manner that takes into account their unique qualities.

Summary of Evidence: Records of special sites and management and harvest plans were all assessed during the evaluation.

Objective 7 Efficient Use of Fiber Resources

To minimize waste and ensure the efficient use of fiber resources.

Summary of Evidence: Field observations of completed operations, contract clauses, and discussions with supervising field foresters and with loggers provided the key evidence.

Objective 8 Recognize and Respect Indigenous Peoples' Rights

To recognize and respect Indigenous Peoples' rights and traditional knowledge.

Summary of Evidence: Field review and ongoing updated documents for operations.

Objective 9 Legal and Regulatory Compliance

To comply with applicable federal, provincial, state and local laws and regulations.

Summary of Evidence: Field reviews of ongoing and completed operations were the most critical evidence.

Objective 10 Forestry Research, Science and Technology

To invest in forestry research, science and technology, upon which sustainable forest management decisions are based and broaden the awareness of climate change impacts on forests, wildlife and biological diversity.

Summary of Evidence: Financial support was confirmed by contacting the recipients of research support or via websites listing supporting members.

Objective 11 Training and Education

To improve the implementation of sustainable forestry practices through appropriate training and education programs.

Summary of Evidence: Training records of selected personnel, records associated with harvest sites audited, and interviews were the key evidence for this objective.

Objective 12 Community Involvement and Landowner Outreach

To broaden the practice of sustainable forestry through public outreach, education, and involvement, and to support the efforts of SFI Implementation Committees.

Summary of Evidence: Records provided by the audited organization and interviews were used to confirm the requirements.

Objective 13 Public Land Management Responsibilities

To participate and implement sustainable forest management on public lands.

Summary of Evidence: Unit Management Planning (UMP) process confirms the involvement with the public inputs.

Objective 14 Communications and Public Reporting

To increase transparency and to annually report progress on conformance with the SFI Forest Management Standard.

Summary of Evidence: Most of this objective relates to actions to be taken after certification; NYDEC is prepared to complete the required public reporting activities.

Objective 15 Management Review and Continual Improvement

To promote continual improvement in the practice of sustainable forestry by conducting a management review and monitoring performance.

Summary of Evidence: Records of program reviews, agendas and notes from management review meetings, and interviews with personnel from all involved levels in the organization were assessed.

Relevance of Forestry Certification

Third-party certification provides assurance that forests are being managed under the principles of sustainable forestry, which are described in the Sustainable Forestry Initiative Standard as:

1. Sustainable Forestry

To practice sustainable forestry to meet the needs of the present without compromising the ability of future generations to meet their own needs by practicing a land stewardship ethic that integrates reforestation and the managing, growing, nurturing and harvesting of trees for useful products and ecosystem services such as the conservation of soil, air and water quality, carbon, biological diversity, wildlife and aquatic habitats, recreation and aesthetics.

2. Forest Productivity and Health

To provide for regeneration after harvest and maintain the productive capacity of the forest land base, and to protect and maintain long-term forest and soil productivity. In addition, to protect forests from economically or environmentally undesirable levels of wildfire, pests, diseases, invasive exotic plants and animals and other damaging agents and thus maintain and improve long-term forest health and productivity.

3. Protection of Water Resources

To protect water bodies and riparian areas, and to conform with forestry best management practices to protect water quality.

4. Protection of Biological Diversity

To manage forests in ways that protect and promote biological diversity, including animal and plant species, wildlife habitats, and ecological or natural community types.

5. Aesthetics and Recreation

To manage the visual impacts of forest operations, and to provide recreational opportunities for the public.

6. Protection of Special Sites

To manage lands that are ecologically, geologically or culturally important in a manner that takes into account their unique qualities.

7. Responsible Fiber Sourcing Practices in North America

To use and promote among other forest landowners sustainable forestry practices that are both scientifically credible and economically, environmentally and socially responsible.

8. Legal Compliance

To comply with applicable federal, provincial, state, and local forestry and related environmental laws, statutes, and regulations.

9. Research

To support advances in sustainable forest management through forestry research, science and technology.

10. Training and Education

To improve the practice of sustainable forestry through training and education programs.

11. Community Involvement and Social Responsibility

To broaden the practice of sustainable forestry on all lands through community involvement, socially responsible practices, and through recognition and respect of Indigenous Peoples' rights and traditional forest-related knowledge.

12. Transparency

To broaden the understanding of forest certification to the SFI Standard by documenting certification audits and making the findings publicly available.

13. Continual Improvement

To continually improve the practice of forest management, and to monitor, measure and report performance in achieving the commitment to sustainable forestry.

14. Avoidance of Controversial Sources including Illegal Logging in Offshore Fiber Sourcing

(Applies only to the SFI 2015-2019 Fiber Sourcing Standard)



To avoid wood fiber from illegally logged forests when procuring fiber outside of North America, and to avoid sourcing fiber from countries without effective social laws.

Source: Sustainable Forestry Initiative® (SFI) Standard, 2015–2019 Edition

For Additional Information Contact:

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NSF Project Manager

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Appendix 4



Printed: October 5, 2017

NSF Audit Attendance Sheet

Company Name NYDEC

Location Albany and Multi field offices in the regions (Region 9 Allegany/west Almond)

Type of Audit SFI 2015-2019 re-assessment audit

Opening Meeting Date October 10, 2017 Closing Meeting Date October 16, 2017

| NAME (Printed) | TITLE/POSITION | OPENING MEETING (Initials) | CLOSING MEETING (Initials) |
|--|-----------------------------|----------------------------|----------------------------|
| Keri Yankus <i>Keri Yankus</i> | NSF SFI Lead Auditor | X | |
| Nate Tucker <i>Nate Tucker</i> | Forester 1 | NT | |
| Jonathan Cleveland | Forester Trainee 2 | JC | |
| Ron Abraham <i>Ron Abraham</i> | Forester 1 | RA | |
| Chelsea Sheridan | Research Technician II | CS | |
| Ricky Silvestro | FORESTER 1 | RS | |
| Josh Barst <i>Josh Barst</i> | FORESTER 2 | JB | |
| JEFF BROCKELBANK | FORESTER 1 | JB | |
| Keith Carrow <i>Keith Carrow</i> | Forester 1 | KC | |
| Daniel Shaffer <i>Daniel Shaffer</i> | Forestry Tech | DS | |
| Theresa Laune <i>Theresa Laune</i> | Principal Tech | TL | |
| David Paradowski <i>David Paradowski</i> | Regional Forester | DP | |
| Paul McKeown <i>Paul McKeown</i> | Natural Resource Supervisor | PM | |
| BOB MESSENGER | BUREAU CHIEF | BWM | |
| Katie Walters <i>Katie Walters</i> | Forestry Tech. I 70% | KW | |
| KELLY BLOOD | FORESTRY TECH - SEASONAL | KB | |
| PATRICK MARRIN <i>PATRICK MARRIN</i> | SUPV. FORESTER | PM | |
| Chris Enser <i>Chris Enser</i> | Private lands forester etc | | |



NSF Audit Attendance Sheet

Company Name NYDEC
 Location Albany and Multi field offices in the regions (Region 8) Bath
 Type of Audit SFI 2015-2019 re-assessment audit
 Opening Meeting Date October 10, 2017 Closing Meeting Date October 16, 2017

| NAME (Printed) | TITLE/POSITION | OPENING MEETING (Initials) | CLOSING MEETING (Initials) |
|--------------------------------|----------------------------------|----------------------------|----------------------------|
| Keri Yankus <i>Keri Yankus</i> | NSF SFI Lead Auditor | <i>KY</i> | |
| Stefan Bergmann | SCS auditor (PSC) | <i>SB</i> | |
| JOEL FISKE | NYDEC | <i>JF</i> | |
| John Gibbs | Natural Resources Supervisor DEC | <i>JG</i> | |
| Beth Jagarrain | SCS | <i>BJ</i> | |
| Mark Gooding | Regional Forester | <i>MG</i> | |
| Gretchen Czara | Forester | <i>GC</i> | |
| JOSH BORST | FORESTER 2 | <i>JB</i> | |
| Cody Lafter | Forest Tech. 1 | <i>CL</i> | |
| Nicholas Szatkowski | Forest Tech 1 | <i>NS</i> | |
| Tad Norton | Forester 1 | <i>TN</i> | |
| Eric Egger | Forest Technician II | <i>EE</i> | |
| ROB MESSENGER | BUREAU CHIEF | <i>RM</i> | |
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NSF Audit Attendance Sheet

Company Name NYDEC
 Location Albany and Multi field offices in the regions (let 7) Regional Herkimer + Sherburne
 Type of Audit SFI 2015-2019 re-assessment audit
 Opening Meeting Date October 10, 2017 Closing Meeting Date October 16, 2017

| NAME (Printed) | TITLE/POSITION | OPENING MEETING (Initials) | CLOSING MEETING (Initials) |
|------------------|--------------------------------|----------------------------|----------------------------|
| Keri Yankus | NSF SFI Lead Auditor | | |
| Jake Murphy | Forest technician 1 (Cortland) | JM | |
| Nick Wilcox | Forest technician 1 | NW | |
| ANDY GOELLER | SUPERVISING FORESTER | AG | |
| Andy Blum | Forester 1 | AB | |
| Erin Stoddard | Forest technician | EES | |
| Tom Williams | Forest Technician 2 (Cortland) | TW | |
| Travis Petit | Forest Technician (Cortland) | TP | |
| Stefan Bergmann | SCS FM Auditor | SB | |
| DAVID SULLIVAN | REGIONAL FORESTER | DS | |
| Chris Sprague | Forester 1 | CS | |
| Robert Hoff | Forester 1 | RHO | |
| BOB MESSENGER | BUREAU CHIEF | BM | |
| JOSH BORST | FORESTER 2 | JB | |
| Beth Jacaman | SCS Certification Forester | BJ | |
| Jason Silverberg | Forester 1 | JS | |
| BREB OWENS | SR. FORESTER | BO | |
| Mary Kay Allen | Senior Forester | MKA | |
| Jessica Mosher | Forest tech | JLM | |
| Dave Smith | Regional Forester | DS | |
| Scott Healy | Supervising Forester | SAH | |
| Tony Sparacino | Forester | TZS | |
| Andrea Mercurio | Forester | A | |
| Ed Sykes | Forester | | |
| Dora Redner | Forest Tech | DLR | |

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NSF Audit Attendance Sheet

Company Name NYDEC

Location Albany and Multi field offices in the regions

Type of Audit SFI 2015-2019 re-assessment audit

Opening Meeting Date October 10, 2017 Closing Meeting Date October 16, 2017

| NAME (Printed) | TITLE/POSITION | OPENING MEETING (Initials) | CLOSING MEETING (Initials) |
|-----------------|----------------------|----------------------------|----------------------------|
| Keri Yankus | NSF SFI Lead Auditor | Ke | |
| Stefan Bergmann | SCS FM Auditor | SB | |
| Michael Callan | Supervising Forester | MJC | |
| Bill Seltman | Regional Forester | BS | |
| Josh Borst | FORESTER 2 | JB | |
| Joe Sweeney | Forest Tech 1 | JS | |
| Vicki Cross | FORESTER 1 | VC | |
| Scott Maxham | Forester 1 | SM | |
| Robert Cross | Forester 1 | RC | |
| Mike Mulligan | Forester 1 | MM | |
| Rob Messenger | Bureau Chief | RM | |
| Beth Jackman | SCS | BJ | |
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NSF Audit Attendance Sheet

Company Name NYDEC
 Location Albany and Multi field offices in the regions - Albany Central office
 Type of Audit SFI 2015-2019 re-assessment audit
 Opening Meeting Date October 10, 2017 Closing Meeting Date October 16, 2017

| NAME (Printed) | TITLE/POSITION | OPENING MEETING (Initials) | CLOSING MEETING (Initials) |
|-----------------|------------------------------------|----------------------------|----------------------------|
| Keri Yankus | NSF SFI Lead Auditor | KY | KY |
| JOSH BORST | FORESTER 2 | JB | JB |
| BOB MESSENGER | BUREAU CHIEF | BM | BM |
| Nathan Fink | Forester 1 Region 4 | Via phone | |
| Peter Innes | Assistant Director Lands & Forests | PI | |
| Kathy Moller | Dep Comm Nat Res | KM | |
| Robert Davies | Director, Lands & Forests | RD | |
| Dave Paradowski | Reg Forester - 9 | Via phone | |
| Joel Fiske | Sup. Forester - 8 | ↓ | |
| Mark Gooding | Reg Forester - 8 | | |
| Dave Smith | Reg. Forester - 6 | | |
| Scott Healy | Sup. Forester - 6 | | |
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